

Logic-Based Natural Language Semantics  
SS 2025  
Lecture Notes

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## 0.1 Preface

### 0.1.1 This Document

This document contains the [lecture notes](#) for the course “*Logic-Based Natural Language Semantics*” (LBS) held at FAU Erlangen-Nürnberg in the Winter Semesters 2017/18 ff.

This [course](#) is a one-semester introductory course that provides an overview over logic-based semantics of [natural language](#). It follows the [method of fragments](#) introduced by Richard Montague, and builds a sequence of fragments of English with increasing coverage and a sequence of logics that serve as target representation formats. The [course](#) can be seen as both a course on semantics and as a [course](#) on applied logics.

As this [course](#) is predominantly about modeling [natural language](#) and not about the theoretical aspects of the [logics](#) themselves, we give the discussion about these as a “suggested readings” section part in ???. This material can safely be skipped (thus it is in the appendix), but contains the missing parts of the “bridge” from logical forms to [truth conditions](#) and textual entailment.

**Presentation:** The [document](#) mixes the slides presented in [class](#) with comments of the [instructor](#) to give [students](#) a more complete background reference.

**Caveat:** This [document](#) is primarily made available for the [students](#) of the LBS [course](#) only. After multiple iterations of this [course](#) it is reasonably feature-complete, but will evolve and be polished in coming [academic years](#).

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**Knowledge Representation Experiment:** This [document](#) is also an [experiment](#) in [knowledge representation](#). Under the hood, it uses the [sTeX package](#) [Koh08; sTeX], a [TeX/L<sup>A</sup>TeX](#) extension for semantic markup, which allows to export the contents into [active documents](#) that adapt to the [reader](#) and can be instrumented with [services](#) based on the explicitly [represented meaning](#) of the [documents](#).

**Comments:** Comments and extensions are always welcome, please send them to the author.

### 0.1.2 Acknowledgments

**Materials:** Some of the material in this [course](#) is based on a course “Formal Semantics of Natural Language” held by the author jointly with Prof. Mandy Simons at Carnegie Mellon University in 2001.

**ComSem Students:** The [course](#) is based on a series of [courses](#) “Computational Natural Language Semantics” held at Jacobs University Bremen and shares a lot of material with these. The following [students](#) have submitted corrections and suggestions to this and earlier versions of the notes: Bastian Laubner, Ceorgi Chulkov, Stefan Anca, Elena Digor, Xu He, and Frederik Schäfer.

**LBS Students:** The following [students](#) have submitted corrections and suggestions to this and earlier versions of the notes: Maximilian Lattka, Frederik Schaefer, Navid Roux.

## 0.2 Recorded Syllabus

The recorded syllabus – a record the progress of the course in the SS 2025 – is in the course page in the ALEA system at <https://courses.voll-ki.fau.de/course-home/lbs>. The table of contents in the LBS [lecture notes](#) at <https://kwarc.info/teaching/LBS> indicates the material covered to date in yellow.

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## Elevator Pitch for LBS

- ▷ **Mission:** In this course we will
  - ▷ explore how to model the *meaning of natural language* via transformation into *logical systems*
  - ▷ use *logical inference* there to unravel the missing pieces; the *information* that is *not linguistically realized*, but is conveyed anyways.
- ▷ **Warning:** This course is only for you if you like logic!  
You are going to get lots of it and we are going to introduce our own logics, usually a new facet every week or fortnight.
- ▷ **Theory in this course:** We will do so in an abstract, mathematical fashion, but concrete enough that we could implement all moving parts – NL grammars, *semantics construction*, and inference systems – in meta-grammatical/logical systems.
- ▷ **Practice in PSNLP Project:** We will implement them in the meta-grammatical/logical GLIF system (based on GF, MMT, and ELPI) in the Symbolic NLP Project (5 ECTS; lab work).  
(see me if you are interested)



# Chapter 1

## Preliminaries

In this chapter, we want to get all the organizational matters out of the way, so that we can get course contents unencumbered. We will talk about the necessary administrative details, go into how [students](#) can get most out of the [course](#), talk about where the various resources provided with the [course](#) can be found, and finally introduce the [ALEA](#) system, an experimental – using [AI](#) methods – learning support system for the LBS [course](#).

### 1.1 Administrative Ground Rules

We will now go through the ground rules for the [course](#). This is a kind of a social contract between the [instructor](#) and the [students](#). Both have to keep their side of the deal to make [learning](#) as [efficient](#) and painless as possible.

#### Prerequisites for LBS

- ▷ **Content Prerequisites:** The mandatory [courses](#) in CS@FAU; Sem 1-4, in particular:
  - ▷ [course](#) “Grundlagen der Logik in der Informatik” (GLOIN)
  - ▷ some of the CS Math [courses](#) “Mathematik C1-4” (IngMath1-4) (math tolerance)
  - ▷ [algorithms](#) and [data structures](#) (programming/complexity)
  - ▷ AI-1 (“Artificial Intelligence I”) (for the logic part)
- ▷ **Intuition:** (take them with a kilo of salt)
  - ▷ This is what I assume you know! (I have to assume something)
  - ▷ In many cases, the dependency of LBS on these is partial and “in spirit”.
  - ▷ If you have not taken these [courses](#) (or do not remember),
    - ▷ read up on them as needed! (preferred, do it in a group)
    - ▷ We can cover them in class (if there are more of you)
- ▷ **The real Prerequisite:** Motivation, interest, curiosity, hard work. (LBS is non-trivial)

▷ You can do this [course](#) if you want!

(We will help you)



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Now we come to a topic that is always interesting to the [students](#): the [grading](#) scheme.

## Assessment, Grades

### ▷ Overall (Module) Grade:

- ▷ [Grade](#) via the [exam](#) (Klausur)  $\sim$  100% of the [grade](#).
- ▷ Up to 10% bonus on-top for an [exam](#) with  $\geq 50\%$  points. ( $< 50\% \sim$  no bonus)
- ▷ Bonus points  $\hat{=}$  [percentage sum](#) of the best 10 [prepquizzes](#) divided by 100.

▷ **Exam:** [exam](#) conducted in presence on paper! ( $\sim$  July 20. 2025)

▷ **Retake Exam:** 60 minutes [exam](#) six months later. ( $\sim$  October 10. 2025)

▷  You have to register for [exams](#) in <https://campo.fau.de> in the first month of classes.

▷ **Note:** You can de-register from an [exam](#) on <https://campo.fau.de> up to three working days before [exam](#). (do not miss that if you are not prepared)



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## Preparedness Quizzes

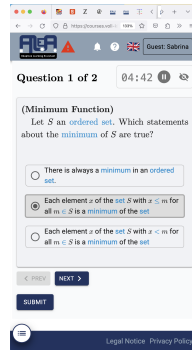
▷ **PrepQuizzes:** Before every [lecture](#) we offer a 10 min online [quiz](#) – the [PrepQuiz](#) – about the material from the previous week. ( $\sim$  10:07-10:15 (check on [ALEA](#)); starts in week 2)

▷ **Motivations:** We do this to

- ▷ keep you prepared and working continuously. (primary)
- ▷ bonus points if the exam has  $\geq 50\%$  points (potential part of your [grade](#))
- ▷ update the [ALEA learner model](#). (fringe benefit)

▷ The [prepquizzes](#) will be given in the [ALEA](#) system

- ▷ <https://courses.voll-ki.fau.de/quiz-dash/lbs>
- ▷ You have to be [logged into ALEA!](#) (via [FAU IDM](#))
- ▷ You can take the [prepquiz](#) on your laptop or phone, ...
- ▷ ... in the [lecture](#) or at home ...
- ▷ ... via WLAN or 4G Network. (do not overload)
- ▷ [Prepquizzes](#) will only be available ~ 10:07-10:15 (check on [ALEA](#))!



## Next Week: Pretest

- ▷ Next week we will try out the [prepquiz](#) infrastructure with a [pretest](#)!
  - ▷ **Presence:** bring your laptop or cellphone.
  - ▷ **Online:** you can and should take the [pretest](#) as well.
  - ▷ Have a recent [firefox](#) or [chrome](#) ([chrome](#): younger than March 2023)
  - ▷ Make sure that you are [logged into ALEA](#) (via [FAU IDM](#); see below)
- ▷ **Definition 1.1.1.** A [pretest](#) is an [assessment](#) for evaluating the preparedness of [learners](#) for further studies.
- ▷ **Concretely:** This [pretest](#)
  - ▷ establishes a baseline for the [competency](#) expectations in and
  - ▷ tests the [ALEA quiz](#) infrastructure for the [prepquizzes](#).
- ▷ Participation in the [pretest](#) is optional; it will not influence grades in any way.
- ▷ The [pretest](#) covers the prerequisites of LBS and some of the material that may have been covered in other [courses](#).
- ▷ The test will be also used to refine the [ALEA learner model](#), which may make learning experience in [ALEA](#) better. (see below)



## 1.2 Getting Most out of LBS

In this section we will discuss a couple of measures that [students](#) may want to consider to get most out of the LBS [course](#).

None of the things discussed in this section – [homeworks](#), [tutorials](#), [study groups](#), and attendance – are mandatory (we cannot force you to do them; we offer them to you as [learning opportunities](#)), but most of them are very clearly correlated with success (i.e. passing the [exam](#) and getting a good [grade](#)), so taking advantage of them may be in your own interest.

### LBS Homework Assignments

- ▷ **Goal:** [Homework assignments](#) reinforce what was taught in [lectures](#).
- ▷ **Homework Assignments:** Small individual problem/[programming](#)/proof task
  - ▷ but take time to solve (at least read them directly ~ questions)
- ▷ **Didactic Intuition:** [Homework assignments](#) give you material to test your understanding and show you how to apply it.
- ▷  [Homeworks](#) give no points, but without trying you are unlikely to pass the [exam](#).
- ▷ **Our Experience:** Doing your homework is probably even *more* important (and predictive of [exam](#) success) than attending the [lecture](#) in person!
- ▷ [Homeworks](#) will be mainly [peer-graded](#) in the [ALEA](#) system.
- ▷ **Didactic Motivation:** Through [peer grading](#) [students](#) are able to see [mistakes](#) in their thinking and can correct any problems in future [assignments](#). By [grading assignments](#), [students](#) may [learn](#) how to complete [assignments](#) more accurately and how to improve their future results. (not just us being lazy)



It is very well-established experience that without doing the [homework assignments](#) (or something similar) on your own, you will not master the concepts, you will not even be able to ask sensible questions, and take very little home from the [course](#). Just sitting in the [course](#) and nodding is not enough!

### LBS Homework Assignments – Howto

- ▷ **Homework Workflow:** in [ALEA](#) (see below)
  - ▷ [Homework assignments](#) will be published on thursdays: see <https://courses.voll-ki.fau.de/hw/lbs>
  - ▷ Submission of solutions via the [ALEA](#) system in the week after
  - ▷ [Peer grading/feedback](#) (and master solutions) via answer classes.
- ▷ **Quality Control:** [TAs](#) and [instructors](#) will monitor and supervise [peer grading](#).
- ▷ **Experiment:** Can we motivate enough of you to make [peer assessment](#) self-sustaining?
  - ▷ I am appealing to your sense of community responsibility here ...

- ▷ You should only expect other's to **grade** your submission if you **grade** their's  
(cf. Kant's "Moral Imperative")
- ▷ **Make no mistake:** The **grader** usually **learns** at least as much as the **grantee**.
- ▷ **Homework/Tutorial Discipline:**
  - ▷ **Start early!** (many assignments need more than one evening's work)
  - ▷ Don't start by sitting at a blank screen (talking & study groups help)
  - ▷ Humans will be trying to understand the text/code/math when **grading** it.
  - ▷ **Go to the tutorials, discuss with your TA!** (they are there for you!)

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If you have questions please make sure you discuss them with the **instructor**, the **teaching assistants**, or your fellow **students**. There are three sensible venues for such discussions: online in the **lectures**, in the **tutorials**, which we discuss now, or in the **course forum** – see below. Finally, it is always a very good idea to form **study groups** with your friends.

## Collaboration

- ▷ **Definition 1.2.1.** **Collaboration** (or **cooperation**) is the process of groups of **agents** **acting** together for common, mutual benefit, as opposed to **acting** in **competition** for selfish benefit. In a **collaboration**, every **agent** contributes to the common goal and benefits from the contributions of others.
- ▷ In **learning** situations, the benefit is "better **learning**".
- ▷ **Observation:** In **collaborative learning**, the overall result can be significantly better than in **competitive learning**.
- ▷ **Good Practice:** Form **study groups**. (long- or short-term)
  1. ⚠ Those **learners** who work/help most, **learn** most!
  2. ⚠ **Freeloaders** – individuals who only watch – **learn** very little!
- ▷ It is OK to **collaborate** on **homework assignments** in LBS! (no bonus points)
- ▷ Choose your **study group** well! (ALeA helps via the **study buddy** feature)

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As we said above, almost all of the components of the LBS **course** are optional. That even applies to attendance. But make no mistake, attendance is important to most of you. Let me explain, ...

## Do I need to attend the LBS Lectures

- ▷ Attendance is not mandatory for the LBS **course**. (official version)
- ▷ **Note:** There are two ways of learning: (both are OK, your mileage may vary)
  - ▷ Approach **B:** Read a **book/papers** (here: **lecture notes**)
  - ▷ Approach **I:** come to the **lectures**, be **involved**, interrupt the **instructor** whenever you have a question.

The only advantage of **I** over **B** is that books/papers do not answer questions

- ▷ Approach **S**: come to the **lectures** and **sleep does not work!**
- ▷ The closer you get to research, the more we need to **discuss!**



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### 1.3 Learning Resources for LBS

#### Supplemental Literature

- ▷ **Classical Semantics/Pragmatics:** (in the FAU Library)
  - ▷ Primary reference for LBS: [CKG09] (in the FAU Library)
  - ▷ also: [HHS07; Bir13; Rie10; ZS13; Sta14; Sae03; Por04; Kea11; Jac83; Cru11; Ari10]
- ▷ **Computational Semantics:** [BB05; EU10]
- ▷ **For GLIF:** Frederik's Master's Thesis [Sch20]



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#### Course Notes, Forum, Matrix

- ▷ **Lecture notes** will be posted at <https://kwarc.info/teaching/LBS>
  - ▷ We mostly prepare/update them as we go along (semantically preloaded ~ research resource)
  - ▷ Please report any errors/shortcomings you notice. (improve for the group/successors)
- ▷ **StudOn Forum:** For announcements – ⟨forum⟩
- ▷ **Matrix Channel:** ⟨matrixURL⟩ for questions, discussion with instructors and among your fellow students. (your channel, use it!)
 

Login via **FAU IDM** ~ instructions
- ▷ **Course Videos** are at at ⟨fautvURL⟩.
- ▷ **Do not let the videos mislead you:** Coming to **class** is highly correlated with passing the **exam!**



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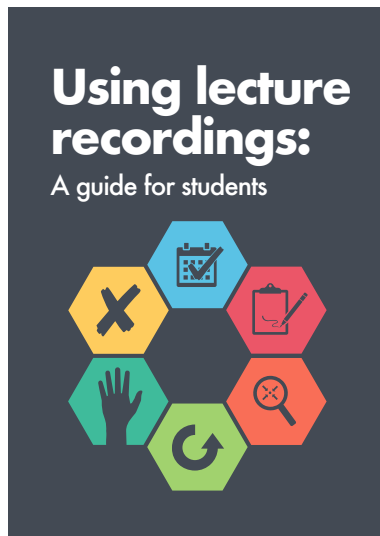
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FAU has issued a very insightful guide on using **lecture videos**. It is a good idea to heed these recommendations, even if they seem annoying at first.

#### Practical recommendations on Lecture Videos

- ▷ **Excellent Guide:** [Nor+18a] (German version at [Nor+18b])



-  Attend lectures.
-  Take notes.
-  Be specific.
-  Catch up.
-  Ask for help.
-  Don't cut corners.

## ALEA in LBS

- ▷ We assume that you already know the [ALEA](#) system from AI-1/2



- ▷ Use it for

- ▷ lecture notes (notes- vs slides-oriented)
- ▷ flashcards (drill yourself on the LBS jargon/concepts)
- ▷ course forum (questions, discussions and error reporting)
- ▷ solving and peer-grading homework assignments

- ▷ finding [study groups](#) (you need not endure LBS alone)
- ▷ practicing with targeted problems (e.g. from old [exams](#))
- ▷ doing the [prepquizzes](#) (before each lecture)



**Excursion:** We will recap an introduction to [ALEA](#) system in???

## Chapter 2

# An Introduction to Natural Language Semantics

In this chapter we will introduce the topic of this course and situate it in the larger field of [natural language understanding](#). But before we do that, let us briefly step back and marvel at the wonders of [natural language](#), perhaps one of the most human of abilities.

### Fascination of (Natural) Language

- ▷ **Definition 2.0.1.** A [natural language](#) is any form of [spoken](#) or signed means of [communication](#) that has evolved naturally in humans through use and repetition without conscious planning or premeditation.
- ▷ **In other words:** the language you use all day long, e.g. English, German, . . .
- ▷ **Why Should we care about natural language?:**
  - ▷ Even more so than thinking, [language](#) is a skill that only humans have.
  - ▷ It is a miracle that we can express complex thoughts in a [sentence](#) in a matter of seconds.
  - ▷ It is no less miraculous that a child can learn tens of thousands of [words](#) and complex [syntax](#) in a matter of a few years.



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With this in mind, we will embark on the intellectual journey of building artificial systems that can process (and possibly understand) [natural language](#) as well.

## 2.1 Natural Language and its Meaning

Before we embark on the journey into understanding the [meaning](#) of [natural language](#), let us get an overview over what the concept of “[semantics](#)” or “[meaning](#)” means in various disciplines.

### What is Natural Language Semantics? A Difficult Question!

- ▷ **Question:** What is “Natural Language Semantics”?
- ▷ **Definition 2.1.1 (Generic Answer).** [Semantics](#) is the study of [reference](#), [meaning](#),

or **truth**.

- ▷ **Definition 2.1.2.** A **sign** is anything that **communicates** a **meaning** that is not the **sign** itself to the interpreter of the **sign**. The **meaning** can be intentional, as when a **word** is **uttered** with a specific **meaning**, or unintentional, as when a symptom is taken as a **sign** of a particular medical condition

**Meaning** is a relationship between **signs** and the **objects** they intend, express, or signify.

- ▷ **Definition 2.1.3.** **Reference** is a relationship between **objects** in which one **object** (the **name**) designates, or acts as a means by which to **refer** to – i.e. to connect to or link to – another **object** (the **referent**).
- ▷ **Definition 2.1.4.** **Truth** is the **property** of being in accord with **reality** in a/the **mind-independent** world. An **object** ascribed **truth** is called **true**, iff it is, and **false**, if it is not.
- ▷ **Definition 2.1.5.** For **natural language semantics**, the **signs** are usually **utterances** and **names** are usually **phrases**.
- ▷ That is all very abstract and general, can we make this more concrete?
- ▷ Different (academic) disciplines find different concretizations.

## What is (NL) Semantics? Answers from various Disciplines!

- ▷ **Observation:** Different (academic) disciplines specialize the notion of **semantics** (of **natural language**) in different ways.
- ▷ **Philosophy:** has a long history of trying to answer it, e.g.
  - ▷ Platon  $\leadsto$  cave allegory, Aristotle  $\leadsto$  **sylogisms**.
  - ▷ Frege/Russell  $\leadsto$  **sense** vs. **referent**. (*"Michael Kohlhase"* vs. *"Odysseus"*)
- ▷ **Linguistics/Language Philosophy:** We need semantics e.g. in translation  
*"Der Geist ist willig aber das Fleisch ist schwach!"* vs.  
*"Der Schnaps ist gut, aber der Braten ist verkocht!"* (**meaning counts**)
- ▷ **Psychology/Cognition:** Semantics  $\hat{=}$  "what is in our brains" ( $\leadsto$  **mental models**)
- ▷ **Mathematics** has driven much of modern logic in the quest for foundations.
  - ▷ Logic as "foundation of mathematics" solved as far as possible
  - ▷ In daily practice **syntax** and **semantics** are not differentiated (much).
- ▷ **Logic@AI/CS** tries to define **meaning** and **compute** with them. (**applied semantics**)
  - ▷ makes **syntax** explicit in a **formal language** (**formulae, sentences**)
  - ▷ defines **truth/validity** by mapping **sentences** into "world" (**interpretation**)

- ▷ gives rules of **truth-preserving reasoning**

(inference)



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A good probe into the issues involved in **natural language understanding** is to look at translations between **natural language utterances** – a task that arguably involves understanding the **utterances** first.

## Meaning of Natural Language; e.g. Machine Translation

- ▷ **Idea:** **Machine translation** is very simple! (we have good **lexica**)
- ▷ **Example 2.1.6.** “*Peter liebt Maria.*”  $\leadsto$  “*Peter loves Mary.*”
- ▷  this only works for simple examples!
- ▷ **Example 2.1.7.** “*Wirf der Kuh das Heu über den Zaun.*”  $\not\leadsto$  “*Throw the cow the hay over the fence.*” (differing grammar; Google Translate)
- ▷ **Example 2.1.8.**  Grammar is not the only problem
  - ▷ “*Der Geist ist willig, aber das Fleisch ist schwach!*”
  - ▷ “*Der Schnaps ist gut, aber der Braten ist verkocht!*”
- ▷ **Observation 2.1.9.** We have to understand the **meaning** for high-quality translation!



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If it is indeed the **meaning** of **natural language**, we should look further into how the form of the **utterances** and their **meaning** interact.

## Language and Information

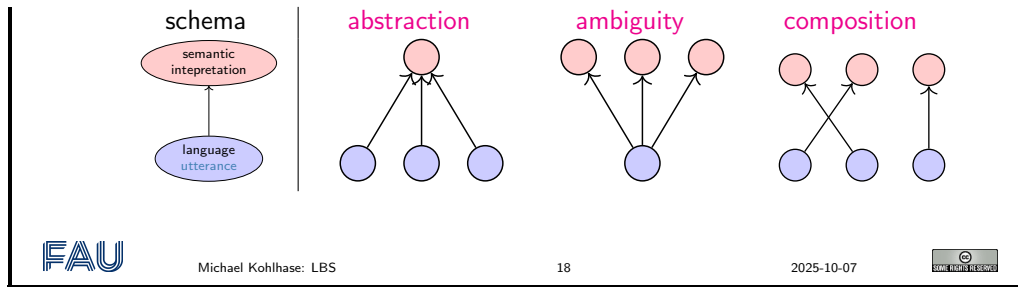
- ▷ **Observation:** Humans use **words** (**sentences**, **texts**) in **natural languages** to represent and communicate **information**.
- ▷ **But:** What really counts is not the **words** themselves, but the **meaning information** they carry.
- ▷ **Example 2.1.10 (Word Meaning).**

“*Newspaper*”  $\leadsto$



- ▷ For questions/answers, it would be very useful to find out what **words** (**sentences/texts**) **mean**.
- ▷ **Definition 2.1.11.** Interpretation of **natural language utterances**: three problems

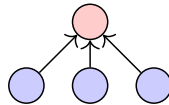




Let us support the last claim a couple of initial examples. We will come back to these phenomena again and again over the course of the course and study them in detail.

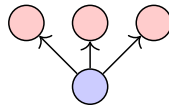
### Language and Information (Examples)

▷ **Example 2.1.12 (Abstraction).**



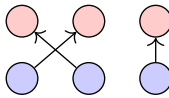
"Car" and "automobile" have the same meaning.

▷ **Example 2.1.13 (Ambiguity).**



A "bank" can be a financial institution or a geographical feature.

▷ **Example 2.1.14 (Composition).**



"Every student sleeps"  $\leadsto \forall x.student(x) \Rightarrow sleep(x)$

But there are other phenomena that we need to take into account when compute the meaning of NL utterances.

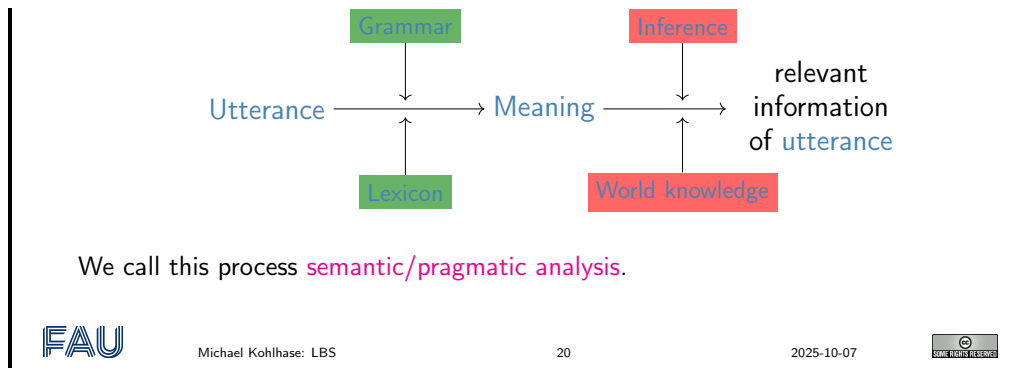
### Context Contributes to the Meaning of NL Utterances

▷ **Observation:** Not all information conveyed is linguistically realized in an utterance.

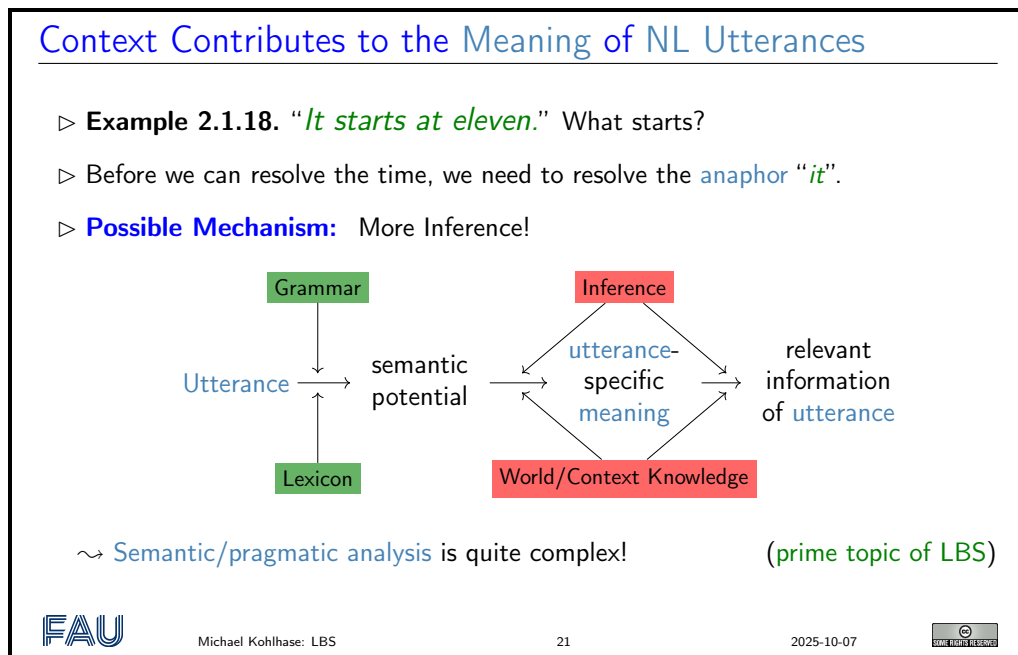
▷ **Example 2.1.15.** "The lecture begins at 11:00 am." What lecture? Today?

▷ **Definition 2.1.16.** We call a piece  $i$  of information linguistically realized in an utterance  $U$ , iff, we can trace  $i$  to a fragment of  $U$ .

▷ **Definition 2.1.17 (Possible Mechanism).** Inferring the missing pieces from the context and world knowledge:



We will look at another example, that shows that the situation with **semantic/pragmatic analysis** is even more complex than we thought. Understanding this is one of the prime objectives of the LBS lecture.



Example 2.1.18 is also a very good example for the claim Observation 2.1.9 that even for high-quality (machine) translation we need semantics. We end this very high-level introduction with a caveat.

### Semantics is not a Cure-It-All!

How many animals of each species did Moses take onto the ark?



▷ Actually, it was Noah

(But you understood the question anyways)

## But Semantics works in some cases

▷ The only thing that currently really helps is a restricted domain:

▷ I. e. a restricted vocabulary and world model.

▷ **Demo:**

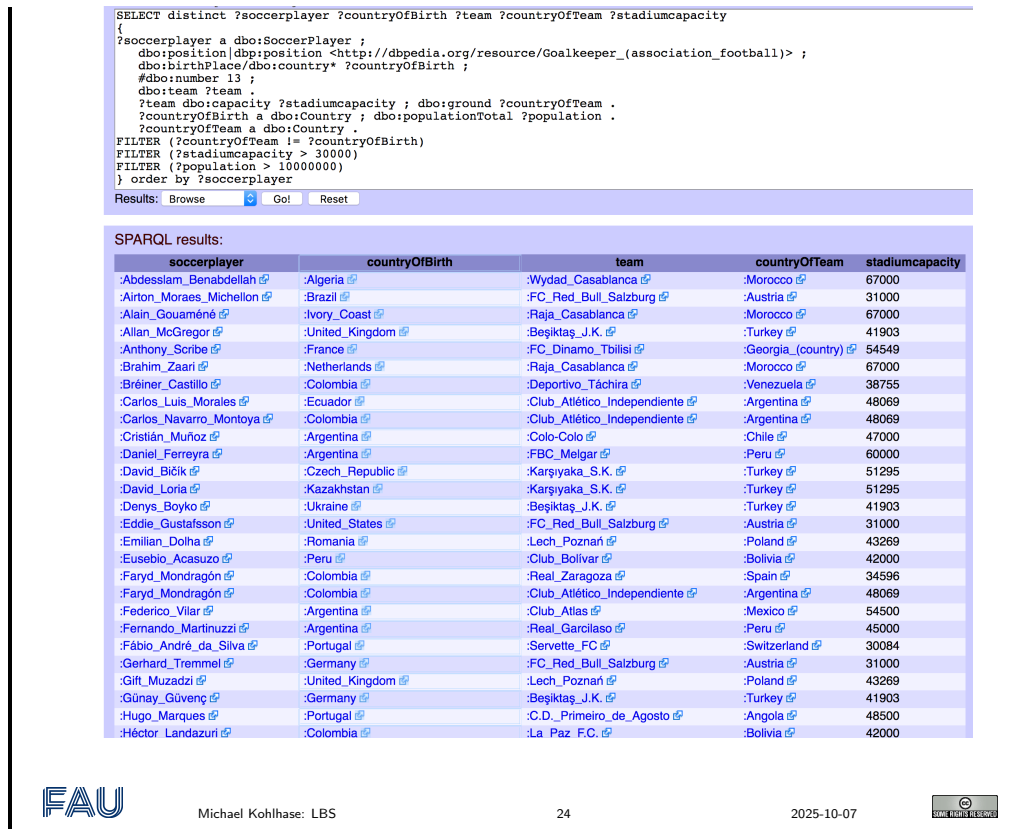
DBPedia <http://dbpedia.org/snorql/>

**Query:** Soccer players, who are born in a country with more than 10 million inhabitants, who played as goalkeeper for a club that has a stadium with more than 30.000 seats and the club country is different from the birth country

## But Semantics works in some cases

▷ **Answer:**

(is computed by DBPedia from a [SPARQL query](#))



```

SELECT distinct ?soccerplayer ?countryOfBirth ?team ?countryOfTeam ?stadiumcapacity
{
  ?soccerplayer a dbo:SoccerPlayer ;
    dbo:position <http://dbpedia.org/resource/Goalkeeper_(association_football)> ;
    dbo:birthPlace/dbo:country* ?countryOfBirth ;
    #dbo:number 13 ;
    dbo:team ?team .
  ?team dbo:capacity ?stadiumcapacity ; dbo:ground ?countryOfTeam .
  ?countryOfBirth a dbo:Country ; dbo:populationTotal ?population .
  ?countryOfTeam a dbo:Country .
  FILTER (?countryOfTeam != ?countryOfBirth)
  FILTER (?stadiumcapacity > 30000)
  FILTER (?population > 1000000)
} order by ?soccerplayer

```

Results:

SPARQL results:

| soccerplayer            | countryOfBirth | team                        | countryOfTeam     | stadiumcapacity |
|-------------------------|----------------|-----------------------------|-------------------|-----------------|
| Abdellam_Benabdellah    | Algeria        | Wydad_Casablanca            | Morocco           | 67000           |
| Airton_Moraes_Michellon | Brazil         | FC_Red_Bull_Salzburg        | Austria           | 31000           |
| Aïain_Gouaméné          | Ivory_Coast    | Raja_Casablanca             | Morocco           | 67000           |
| Allan_McGregor          | United_Kingdom | Beşiktaş_J.K.               | Turkey            | 41903           |
| Anthony_Scribe          | France         | FC_Dinamo_Tbilisi           | Georgia_(country) | 54549           |
| Brahim_Zaari            | Netherlands    | Raja_Casablanca             | Morocco           | 67000           |
| Bréiner_Castillo        | Colombia       | Deportivo_Táchira           | Venezuela         | 38755           |
| Carlos_Luis_Morales     | Ecuador        | Club_Atlético_Independiente | Argentina         | 48069           |
| Carlos_Navarro_Montoya  | Colombia       | Club_Atlético_Independiente | Argentina         | 48069           |
| Cristián_Muñoz          | Argentina      | Colo-Colo                   | Chile             | 47000           |
| Daniel_Ferreyra         | Argentina      | FBC_Melgar                  | Peru              | 60000           |
| David_Bičik             | Czech_Republic | Karşıyaka_S.K.              | Turkey            | 51295           |
| David_Lonia             | Kazakhstan     | Karşıyaka_S.K.              | Turkey            | 51295           |
| Denys_Boiko             | Ukraine        | Beşiktaş_J.K.               | Turkey            | 41903           |
| Eddie_Gustafsson        | United_States  | FC_Red_Bull_Salzburg        | Austria           | 31000           |
| Emilian_Dolha           | Romania        | Lech_Poznań                 | Poland            | 43269           |
| Eusebio_Acasuzo         | Peru           | Club_Bolívar                | Bolivia           | 42000           |
| Faryd_Mondragón         | Colombia       | Real_Zaragoza               | Spain             | 34596           |
| Faryd_Mondragón         | Colombia       | Club_Atlético_Independiente | Argentina         | 48069           |
| Federico_Vilar          | Argentina      | Club_Atlas                  | Mexico            | 54500           |
| Fernando_Martinuzzi     | Argentina      | Real_Garcilaso              | Peru              | 45000           |
| Fábio_André_da_Silva    | Portugal       | Servette_FC                 | Switzerland       | 30084           |
| Gerhard_Tremmel         | Germany        | FC_Red_Bull_Salzburg        | Austria           | 31000           |
| Gift_Muzadzi            | United_Kingdom | Lech_Poznań                 | Poland            | 43269           |
| Günay_Güvenç            | Germany        | Beşiktaş_J.K.               | Turkey            | 41903           |
| Hugo_Marques            | Portugal       | C.D._Primeiro_de_Agosto     | Angola            | 48500           |
| Héctor_Landazuri        | Colombia       | La_Paz_F.C.                 | Bolivia           | 42000           |

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Even if we can get a perfect grasp of the **semanticss** (aka. **meanings**) of **NL utterances**, their structure and context dependency – we will try this in this lecture, but of course fail, since the issues are much too involved and complex for just one lecture – then we still cannot account for all the human mind does with language. But there is hope, for limited and well-understood domains, we can to amazing things. This is what this course tries to show, both in theory as well as in practice.

## 2.2 Natural Language Understanding as Engineering

Even though this course concentrates on computational aspects of **natural language semantics**, it is useful to see it in the context of the field of **natural language processing**.

### Language Technology

- ▷ Language Assistance:
  - ▷ written language: Spell/grammar/style-checking,
  - ▷ spoken language: dictation systems and screen readers,
  - ▷ multilingual text: machine-supported text and dialog translation, eLearning.
- ▷ Information management:
  - ▷ search and classification of documents, (e.g. Google/Bing)
  - ▷ information extraction, question answering. (e.g. <http://ask.com>)

▷ Dialog Systems/Interfaces:

- ▷ **information systems**: at airport, tele-banking, e-commerce, call centers,
- ▷ dialog interfaces for **computers**, robots, cars. (e.g. Siri/Alexa)

- ▷ **Observation**: The earlier technologies largely rely on pattern matching, the latter ones need to compute the **meaning** of the input **utterances**, e.g. for **database** lookups in **information systems**.



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The general context of LBS is **natural language processing (NLP)**, and in particular **natural language understanding (NLU)**. The dual side of NLU: **natural language generation (NLG)** requires similar foundations, but different techniques is less relevant for the purposes of this course.

## What is Natural Language Processing?

- ▷ **Generally**: Studying of **natural languages** and development of systems that can use/generate these.
- ▷ **Definition 2.2.1**. **Natural language processing (NLP)** is an engineering field at the intersection of **computer science**, **AI**, and **linguistics** which is concerned with the **interactions** between **computers** and human (natural) languages. Most challenges in **NLP** involve:
  - ▷ **Natural language understanding (NLU)** that is, enabling **computers** to derive **meaning** (representations) from human or natural language input.
  - ▷ **Natural language generation (NLG)** which aims at generating **natural language** or **speech** from **meaning** representation.
- ▷ For communication with/among humans we need both **NLU** and **NLG**.



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## What is the State of the Art In NLU?

- ▷ Two avenues of attack for the problem: knowledge-based and statistical techniques (**they are complementary**)

|                                 |                                       |                                            |
|---------------------------------|---------------------------------------|--------------------------------------------|
| Deep                            | Knowledge-based<br><b>We are here</b> | Not there yet<br><b>cooperation?</b>       |
| Shallow                         | no-one wants this                     | Statistical Methods<br><b>applications</b> |
| Analysis ↑<br>vs.<br>Coverage → | narrow                                | wide                                       |

- ▷ We will cover foundational methods of deep processing in the course and a mixture

of deep and shallow ones in the lab.



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On the last slide we have classified the two main approaches to [NLU](#). In the last 10 years the community has almost entirely concentrated on statistical- and machine-learning based methods, because that has led to applications like google translate, Siri, and the likes. We will now borrow an argument by Arne Ranta to show that there are (still) interesting applications for knowledge-based methods in [NLP](#), even if they are less visible.

### Environmental Niches for both Approaches to NLU

▷ **Definition 2.2.2.** There are two kinds of applications/tasks in [NLU](#):

- ▷ **Consumer tasks:** consumer grade applications have tasks that must be fully generic and wide coverage. (e.g. [machine translation like Google Translate](#))
- ▷ **Producer tasks:** producer grade applications must be high-precision, but can be domain-specific (e.g. [multilingual documentation, machinery-control, program verification, medical technology](#))

| Precision |                                                           |
|-----------|-----------------------------------------------------------|
| 100%      | Producer Tasks                                            |
| 50%       | Consumer Tasks                                            |
|           | $10^{3\pm 1}$ Concepts $10^{6\pm 1}$ Concepts    Coverage |

after Arne Ranta [Ran17].

- ▷ **Example 2.2.3.** Producing/managing machine manuals in multiple languages across machine variants is a critical [producer task](#) for machine tool company.
- ▷ A [producer domain](#) I am interested in: [mathematical/technical documents](#).



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An example of a producer task – indeed this is where the name comes from – is the case of a machine tool manufacturer  $T$ , which produces digitally programmed machine tools worth multiple million Euro and sells them into dozens of countries. Thus  $T$  must also comprehensive machine operation manuals, a non-trivial undertaking, since no two machines are identical and they must be translated into many languages, leading to hundreds of documents. As those manual share a lot of semantic content, their management should be supported by [NLP](#) techniques. It is critical that these [NLP](#) maintain a high precision, operation errors can easily lead to very costly machine damage and loss of production. On the other hand, the domain of these manuals is quite restricted. A machine tool has a couple of hundred components only that can be described by a couple of thousand attribute only.

Indeed companies like  $T$  employ high-precision [NLP](#) techniques like the ones we will cover in this course successfully; they are just not so much in the public eye as the [consumer tasks](#).

### NLP for NLU: The Waterfall Model

- ▷ **Definition 2.2.4 (The NLU Waterfall).** NL understanding is often modeled as a simple linear process: the **NLU waterfall** consists of five consecutive steps:
- 0) **speech processing**: acoustic signal  $\leadsto$  word hypothesis graph
  - 1) **syntactic processing**: word sequence  $\leadsto$  phrase structure
  - 2) **semantics construction**: phrase structure  $\leadsto$  (quasi-)logical form
  - 3) **semantic/pragmatic analysis**: (quasi-)logical form  $\leadsto$  knowledge representation
  - 4) **problem solving**: using the generated knowledge (application-specific)
- ▷ **Definition 2.2.5.** We call any formalization of an utterance as a logical formula a **logical form**. A **quasi-logical form (QLF)** is a representation which can be turned into a logical form by further computation.<sup>2</sup>
- ▷ **In this course:** steps 1), 2) and 3).

The **waterfall model** shown above is of course only an engineering-centric model of **natural language understanding** and not to be confused with a **cognitive model**; i.e. an account of what happens in human cognition. Indeed, there is a lot of evidence that this simple sequential processing model is not adequate, but it is the simplest one to **implement** and can therefore serve as a background reference to situating the processes we are interested in.

## 2.3 Looking at Natural Language

The next step will be to make some observations about **natural language** and its **meaning**, so that we get an intuition of what problems we will have to overcome on the way to modeling **natural language**.

### Fun with Diamonds (are they real?) [Dav67b]

- ▷ **Example 2.3.1.** We study the **truth conditions** of adjectival complexes:
- |                                                    |                                                      |
|----------------------------------------------------|------------------------------------------------------|
| ▷ “ <i>This is a diamond.</i> ”                    | ( $\models \text{diamond}$ )                         |
| ▷ “ <i>This is a blue diamond.</i> ”               | ( $\models \text{diamond}, \models \text{blue}$ )    |
| ▷ “ <i>This is a big diamond.</i> ”                | ( $\models \text{diamond}, \not\models \text{big}$ ) |
| ▷ “ <i>This is a fake diamond.</i> ”               | ( $\models \neg \text{diamond}$ )                    |
| ▷ “ <i>This is a fake blue diamond.</i> ”          | ( $\models \text{blue?}, \models \text{diamond?}$ )  |
| ▷ “ <i>Mary knows that this is a diamond.</i> ”    | ( $\models \text{diamond}$ )                         |
| ▷ “ <i>Mary believes that this is a diamond.</i> ” | ( $\not\models \text{diamond}$ )                     |

**Logical analysis vs. conceptual analysis:** These examples — mostly borrowed from Davidson: tam67 — help us to see the difference between “logical-analysis” and “conceptual-analysis”.

We observed that from “*This is a big diamond.*” we cannot conclude “*This is big.*”. Now consider the sentence “*Jane is a beautiful dancer.*”. Similarly, it does not follow from this that Jane is beautiful, but only that she dances beautifully. Now, what it is to be beautiful or to be a beautiful dancer is a complicated matter. To say what these things are is a problem of conceptual

analysis. The job of semantics is to uncover the **logical form** of these **sentences**. Semantics should tell us that the two **sentences** have the same **logical forms**; and ensure that these **logical forms** make the right predictions about the entailments and **truth conditions** of the **sentences**, specifically, that they don't entail that the object is big or that Jane is beautiful. But our semantics should provide a distinct **logical form** for **sentences** of the type: "*This is a fake diamond.*" From which it follows that the thing is fake, but not that it is a diamond.

### Ambiguity: The dark side of Meaning

▷ **Definition 2.3.2.** We call an **utterance ambiguous**, iff it has multiple **meanings**, which we call **readings**.

▷ **Example 2.3.3.** All of the following **sentences** are **ambiguous**:

- ▷ "*John went to the bank.*" (river or financial?)
- ▷ "*You should have seen the bull we got from the pope.*" (three readings!)
- ▷ "*I saw her duck.*" (animal or action?)
- ▷ "*John chased the gangster in the red sports car.*" (three-way too!)



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One way to think about the examples of **ambiguity** on the previous slide is that they illustrate a certain kind of indeterminacy in **sentence meaning**. But really what is indeterminate here is what **sentence** is represented by the physical realization (the written **sentence** or the phonetic string). The symbol "*duck*" just happens to be associated with two different things, the **noun** and the **verb**. Figuring out how to interpret the **sentence** is a matter of deciding which item to select. Similarly for the syntactic **ambiguity** represented by PP attachment. Once you, as interpreter, have selected one of the options, the interpretation is actually fixed. (This doesn't mean, by the way, that as an interpreter you necessarily do select a particular one of the options, just that you can.) **A brief digression:** Notice that this discussion is in part a discussion about **compositionality**, and gives us an idea of what a **non-compositional** account of **meaning** could look like. The Radical Pragmatic View is a **non-compositional** view: it allows the information content of a **sentence** to be fixed by something that has no linguistic reflex.

To help clarify what is meant by **compositionality**, let me just mention a couple of other ways in which a semantic account could fail to be **compositional**.

- Suppose your syntactic theory tells you that  $S$  has the structure  $[a[bc]]$  but your semantics computes the **meaning** of  $S$  by first combining the **meanings** of  $a$  and  $b$  and then combining the result with the **meaning** of  $c$ . This is **non-compositional**.
- Recall the difference between:
  1. Jane knows that George was late.
  2. Jane believes that George was late.

Sentence 1. entails that George was late; sentence 2. doesn't. We might try to account for this by saying that in the environment of the verb "*believe*", a clause doesn't mean what it usually means, but something else instead. Then the clause "*that George was late*" is assumed to contribute different things to the informational content of different **sentences**. This is a **non-compositional** account.

### Quantifiers, Scope and Context



|                                                                                                                  |                                  |
|------------------------------------------------------------------------------------------------------------------|----------------------------------|
| ▷ <b>Example 2.3.4.</b> “ <i>Every man loves a woman.</i> ”                                                      | (Keira Knightley or his mother!) |
| ▷ <b>Example 2.3.5.</b> “ <i>Every car has a radio.</i> ”                                                        | (only one reading!)              |
| ▷ <b>Example 2.3.6.</b> “ <i>Some student in every course sleeps in every class at least some of the time.</i> ” | (how many readings?)             |
| ▷ <b>Example 2.3.7.</b> “ <i>The president of the US is having an affair with an intern.</i> ”                   | (2002 or 2000?)                  |
| ▷ <b>Example 2.3.8.</b> “ <i>Everyone is here.</i> ”                                                             | (who is everyone?)               |



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**Observation:** If we look at the first *sentence*, then we see that it has two *readings*:

1. there is one woman who is loved by every man.
2. for each man there is one woman whom that man loves.

These correspond to distinct situations (or possible worlds) that make the *sentence* true. We call this *quantifier scope ambiguity*

**Observation:** For the second example we only get one *reading*: the analogue of 2. The reason for this lies not in the logical structure of the *sentence*, but in concepts involved. We interpret the *meaning* of the word “*has*” as the relation “has as physical part”, which in our world carries a certain uniqueness condition: If *a* is a physical part of *b*, then it cannot be a physical part of *c*, unless *b* is a physical part of *c* or vice versa. This makes the structurally possible analogue to 1. impossible in our world and we discard it.

**Observation:** In the examples above, we have seen that (in the worst case), we can have one reading for every ordering of the quantificational phrases in the *sentence*. So, in the third example, we have four of them, we would get  $4! = 24$  readings. It should be clear from introspection that we (humans) do not entertain 12 readings when we understand and process this *sentence*. Our models should account for such effects as well.

**Context and Interpretation:** It appears that the last two *sentences* have different informational content on different occasions of use. Suppose I say “*Everyone is here.*” at the beginning of class. Then I mean that everyone who is meant to be in the class is here. Suppose I say it later in the day at a meeting; then I mean that everyone who is meant to be at the meeting is here. What shall we say about this? Here are three different kinds of solution:

**Radical Semantic View** On every occasion of use, the *sentence* literally means that everyone in the world is here, and so is strictly speaking false. An interpreter recognizes that the speaker has said something false, and uses general principles to figure out what the speaker actually meant.

**Radical Pragmatic View** What the semantics provides is in some sense incomplete. What the *sentence* means is determined in part by the context of *utterance* and the speaker’s intentions. The differences in *meaning* are entirely due to extra-linguistic facts which have no linguistic reflex.

**The Intermediate View** The *logical form* of *sentences* with the quantifier “*every*” contains a slot for information which is contributed by the context. So extra-linguistic information is required to fix the meaning; but the contribution of this information is mediated by linguistic form.

We now come to a phenomenon of natural language, that is a paradigmatic challenge for *pragmatic analysis*: *anaphora* – the practice of replacing a (complex) reference with a mere *pronoun*.

### More Context: Anaphora – Challenge for Pragmatic Analysis

▷ **Example 2.3.9 (Anaphoric References).**

- ▷ “*John is a bachelor. His wife is very nice.*” (Uh, what?, who?)
- ▷ “*John likes his dog Spiff even though he bites him sometimes.*” (who bites?)
- ▷ “*John likes Spiff. Peter does too.*” (what to does Peter do?)
- ▷ “*John loves his wife. Peter does too.*” (whom does Peter love?)
- ▷ “*John loves golf, and Mary too.*” (who does what?)

▷ **Definition 2.3.10.** A word or phrase is called **anaphoric** (or an **anaphor**), if its interpretation depends upon another phrase in context. In a narrower sense, an **anaphor** refers to an earlier phrase (its **antecedent**), while a **cataphor** to a later one (its **postcedent**).

**Definition 2.3.11.** The process of determining the antecedent or postcedent of an anaphoric phrase is called **anaphor resolution**.

**Definition 2.3.12.** An anaphoric connection between anaphor and its antecedent or postcedent is called **direct**, iff it can be understood purely syntactically. An anaphoric connection is called **indirect** or a **bridging reference** if additional knowledge is needed.

- ▷ **Anaphora** are another example, where natural languages use the inferential capabilities of the hearer/reader to “shorten” utterances.
- ▷ **Anaphora** challenge pragmatic analysis, since they can only be resolved from the context using world knowledge.



**Anaphora** are also interesting for pragmatic analysis, since they introduce (often initially massive amounts of) **ambiguity** that needs to be taken care of in the language understanding process. We now come to another challenge to pragmatic analysis: **presuppositions**. Instead of just being subject to the context of the readers/hearers like **anaphora**, they even have the potential to change the context itself or even affect their **world knowledge**.

### Context is Personal and Keeps Changing

▷ **Example 2.3.13.** Consider the following sentences involving **definite description**:

1. “*The king of America is rich.*” (true or false?)
2. “*The king of America isn’t rich.*” (false or true?)
3. “*If America had a king, the king of America would be rich.*” (true or false?)
4. “*The king of Buganda is rich.*” (Where is Buganda?)
5. “*... Joe Smith... The CEO of Westinghouse announced budget cuts.*”  
(CEO=J.S.!)

How do they interact with your context and world knowledge?

- ▷ The interpretation or whether they make sense at all dep
- ▷ **Note:** Last two examples feed back into the context or even world knowledge:

- ▷ If 4. is uttered by an Africa expert, we add “*Buganda exists and is a monarchy*” to our world knowledge
- ▷ We add “*Joe Smith is the CEO of Westinghouse to the context/world knowledge*” (happens all the time in newspaper articles)



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## 2.4 A Taste of Language Philosophy

We will now discuss some concerns from language philosophy as they pertain to the LBS course. Note that this discussion is only intended to give our discussion on natural language semantics some perspective; in particular, it is in no way a complete introduction to language philosophy, or does the discussion there full justice.

We start out our tour through language philosophy with some examples – as linguists and philosophers often do – to obtain an intuition of the phenomena we want to understand.

### What is the Meaning of Natural Language Utterances?

- ▷ **Question:** What is the meaning of the word “*chair*”?
- ▷ **Answer:** “the set of all chairs” (difficult to delineate, but more or less clear)
- ▷ **Question:** What is the meaning of the word “*Michael Kohlhase*”?
- ▷ **Answer:** The word refers to an object in the real world: the instructor of LBS.
- ▷ **Alternatively:** The singleton with that object (as for “set of chairs” above)
- ▷ **Question:** What about “*Michael Kohlhase sits on a chair*”?
- ▷ **Towards an Answer:** We have to combine the two sets, via the meaning of “sits”.
- ▷ **Question:** What is the meaning of the word “*John F. Kennedy*” or “*Odysseus*”?
- ▷ **Problem:** There are no objects in the real worlds, so the meaning of both is  $\emptyset$  and thus equal ☹.



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The main intuition we get is that meaning is more complicated than we may have thought in the beginning.

### 2.4.1 Epistemology: The Philosophy of Science

We start out by looking at the foundations of epistemology, which sets the basis for modern (empirical) science. Our presentation here is modeled on Karl Popper’s work on the theory of science. Naturally, our account here is simplified to fit the occasion, see [Pop34; Pop59] for the full story.

Note that like any foundational account of complex concepts like knowledge, belief, rationality, and their justification, we have to base our philosophy on some concepts we take at face value. Here these are natural and formal languages, worlds, situations, etc. which will stay very general in the current foundational setting.

We will later instantiate these by more concrete notions as we go along in the LBS course.

### Epistemology – Propositions & Observations

- ▷ **Definition 2.4.1.** **Epistemology** is the branch of philosophy concerned with **studying** nature of **knowledge**, its **justification**, the rationality of **belief**, **scientific theories** and **predictions**, and various related issues.
- ▷ **Definition 2.4.2.** A **proposition** is a **sentence** about the **actual world** or a class of worlds deemed possible whose **meaning** can be expressed as being **true** or **false** in a specific world.
- ▷ **Definition 2.4.3.** A **belief** is a **proposition**  $\varphi$  that an **agent**  $a$  holds **true** about a class of worlds. This is a characterizing feature of the **agent**.
- ▷ **Definition 2.4.4 (Knowledge - The JTB Account).** **Knowledge** is **justified**, **true** **belief**.
- ▷ **Problem:** How can an **agent** **justify** a **belief** to obtain **knowledge**.
- ▷ **Definition 2.4.5.** Given a world  $w$ , the **observed value** (or just **value**, i.e. **true** or **false**) of a **proposition** (in  $w$ ) can be determined by **observations**, that is an **agent**, the **observer**, either **observes** (experiences) that  $\varphi$  is **true** in  $w$  or conducts a deliberate, systematic **experiment** that determines  $\varphi$  to be **true** in  $w$ .



The crucial intuition here is that we express **belief** and possibly **knowledge** about the world using language. But we can only access truth in the world by observation, a possibly flawed operation. So we will never be able to ascertain the “**true belief**” part, and need to work all the harder on the “**justified**” part.

### Epistemology – Reproducibility & Phenomena

- ▷ **Problem:** **Observations** are sometimes unreliable, e.g. observer  $o$  perceives  $\varphi$  to be **true**, while it is **false** or vice versa.
- ▷ **Idea:** Repeat the **observations** to raise the probability of getting them right.
- ▷ **Definition 2.4.6.** An **observation**  $\varphi$  is said to be **reproducible**, iff  $\varphi$  can **observed** by different **observers** in different situations.
- ▷ **Definition 2.4.7.** A **phenomenon**  $\varphi$  is a **proposition** that is **reproducibly observable** to be **true** in a class of worlds.
- ▷ **Problem:** We would like to **verify** a **phenomenon**  $\varphi$ , i.e. **observe**  $\varphi$  in all worlds, But relevant world classes are too large to make this practically feasible.
- ▷ **Definition 2.4.8.** A world  $w$  is a **counterexample** to a **proposition**  $\varphi$ , if  $\varphi$  is **observably false** in  $w$ .
- ▷ **Intuition:** The absence of **counterexamples** is the best we can hope for in general for accepting **phenomena**.
- ▷ **Intuition:** The **phenomena** constitute the “world model” of an **agent**.

- ▷ **Problem:** It is impossible/inefficient (for an **agent**) to **know** all **phenomena**.
- ▷ **Idea:** An **agent** could retain only a small **subset** of **known propositions**, from this all phenomena can be derived.



We will pursue this last idea. The (small) subset of **propositions** from which the **phenomena** that are relevant to an **agent** can be derived will become the **beliefs** of the **agent**. An **agent** will make strive to **justify** these **beliefs** to succeed in the world. This is where our notion of **knowledge** comes from.

## Epistemology – Explanations & Hypotheses

- ▷ **Definition 2.4.9.** A **proposition**  $\psi$  **follows** from a **proposition**  $\varphi$ , iff  $\psi$  is **true** in any world where  $\varphi$  is.
- ▷ **Definition 2.4.10.** An **explanation** of a **phenomenon**  $\varphi$  is a **set**  $\Phi$  of **propositions**, such that  $\varphi$  **follows** from  $\Phi$ .
- ▷ **Example 2.4.11.**  $\{\varphi\}$  is a (rather useless) **explanation** for  $\varphi$ .
- ▷ **Intuition:** We prefer **explanations**  $\Phi$  that explain more than just  $\varphi$ .
- ▷ **Observation:** This often coincides with **explanations** that are in some sense “simpler” or “more elementary” than  $\varphi$ . ( $\leadsto$  **Occam’s razor**)
- ▷ **Definition 2.4.12.** A **proposition** is called **falsifiable**, iff **counterexamples** are theoretically possible and the **observation** of a **reproducible** series of **counterexample** is practically feasible.
- ▷ **Definition 2.4.13.** A **hypothesis** is a proposed **explanation** of a **phenomenon** that is **falsifiable**.



We insist that a **hypothesis** be **falsifiable**, because we cannot hope to **verify** it and indeed the absence of **counterexamples** is the best we can hope for. But if finding **counterexamples** is hopeless, it is not even worth bothering with a **hypothesis**. This gives rise to a very natural strategy of accumulating **propositions** to represent (what could) **knowledge** about the world.

## Epistemology – Scientific Theories

- ▷ **Knowledge Strategy:** Collect **hypotheses** about the world, drop those with **counterexamples** and those that can be **explained** themselves.
- ▷ **Definition 2.4.14.** A **hypothesis**  $\varphi$  can be **tested** in world/situation  $w$  by **observing** the **value** of  $\varphi$  in  $w$ . If the **value** is **true**, then we say that the **observation**  $o$  **supports**  $\varphi$  or is **evidence** for  $\varphi$ . If it is **false** then  $o$  **falsifies**  $\varphi$ .
- ▷ **Definition 2.4.15.** A (**scientific**) **theory** for a **collection**  $\Phi$  of **phenomena** is a **set**  $\Theta$  of **hypotheses** that
  - ▷ has been **tested** extensively and rigorously without finding **counterexamples**, and

▷ is **minimal** in the sense that no sub-collection of  $\Theta$  **explains**  $\Phi$ .

▷ **Definition 2.4.16.** We call any **proposition**  $\varphi$  that **follows** from a **theory**  $\Phi$  a **prediction** of  $\Phi$ .

▷ **Note:** To **falsify** a **theory**  $\Phi$ , it is sufficient to **falsify** any **prediction**. Any **observation** of a **prediction**  $\varphi$  of  $\Phi$  **supports**  $\Phi$ .

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Indeed the **epistemological** approach described in this subsection has become the predominant one in modern science. We will introduce both on very simple examples next.

## 2.4.2 Meaning Theories

If the **meaning** of **natural language** is indeed complicated, then we should really admit to that and instead of directly answering the question, allow for multiple opinions and embark on a regime of testing them against **reality**. We review some concepts from language philosophy towards that end.

We now specialize the general **epistemology** for natural language the “world” we try to model empirically.

### Theories of Meaning

▷ **The Central Question:** What is the **meaning** of **natural language**?

▷ This is difficult to answer definitely, . . .

▷ **But** we can form **meaning theory** that make predictions that we can test.

▷ **Definition 2.4.17.** A **semantic meaning theory** assigns semantic contents to expressions of a language.

▷ **Definition 2.4.18.** A **foundational meaning theory** tries to explain why language expressions have the **meanings** they have; e.g. in terms of mental states of individuals and groups.

▷ It is important to keep these two notions apart.

▷ We will concentrate on **semantic meaning theories** in this course.

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In [Spe17], an excellent survey on **meaning theories**, the author likens the difference between **semantic** and **foundational theories** of **meaning** to the differing tasks of an anthropologist trying to fully document the table manner of a distant tribe ( $\hat{=}$  **semantic meaning theory**) or to explain why the table manners evolve ( $\hat{=}$  **foundational meaning theory**).

Let us fortify our intuition about **semantic meaning theories** by showing one that can deal with the meaning of names we started our subsection with.

### The Meaning of Singular Terms

▷ Let's see a **semantic meaning theory** in action.

▷ **Definition 2.4.19.** A **singular term** is a **phrase** that purports to **denote** or designate

a particular individual person, place, or other object.

- ▷ **Example 2.4.20.** “*Michael Kohlhase*” and “*Odysseus*” are **singular terms**.
- ▷ **Definition 2.4.21.** In [Fre92], Gottlob Frege distinguishes between **sense** (Sinn) and **referent** (Bedeutung) of **singular terms**.
- ▷ **Example 2.4.22.** Even though “*Odysseus*” does not have a **referent**, it has a very real **sense**. (but what is a sense?)
- ▷ **Example 2.4.23.** The ancient greeks knew the planets “*Hesperos*” (the evening star) and “*Phosphoros*” (the morning star). These words have different **senses**, but the – as we now know – same **referent**: the planet Venus.
- ▷ **Remark:** Bertrand Russell views **singular terms** as disguised **definite descriptions** – “*Hesperos*” as “the brightest heavenly body that sometimes rises in the evening”. Frege’s **sense** can often be conflated with Russell’s descriptions. (there can be more than one definite description)

We think of Frege’s conceptualization as a **semantic meaning theory**, since it assigns semantic content – the pair of sense and referent, whatever they might concretely be – to **singular terms**.

### Cresswell’s “Most Certain Principle” and Truth Conditions

- ▷ **Problem:** How can we test **meaning theories** in practice?
- ▷ **Definition 2.4.24.** Cresswell’s (1982) **most certain principle (MCP)**: [Cre82]  
*I’m going to begin by telling you what I think is the most certain thing I think about meaning. Perhaps it’s the only thing. It is this. If we have two sentences A and B, and A is true and B is false, then A and B do not mean the same.*
- ▷ **Definition 2.4.25.** The **truth conditions** of a **sentence** are the conditions of the world under which it is true. These conditions must be such that if all obtain, the **sentence** is true, and if one doesn’t obtain, the **sentence** is false.
- ▷ **Observation:** **Meaning** determines **truth conditions** and vice versa.
- ▷ **In Fregean terms** The **sense** of a **sentence** (a thought) determines its **referent** (a truth value).

This **principle** sounds trivial – and indeed it is, if you think about it – but gives rise to the notion of **truth conditions**, which form the most important way of finding out about the **meaning** of **sentences**: the determinations of **truth conditions**.

### Truth Conditions in Practice

- ▷ **Idea:** To test/determine the **truth conditions** of a **sentence** *S* in practice, we tell little stories that describe situations/worlds that embed *S*.
- ▷ **Example 2.4.26.** Consider the **ambiguous sentence** from Example 2.3.3:  
*“John chased the gangster in the red sports car.”*

For each of three **readings** there is story  $\hat{=}$  **truth conditions**

- ▷ John drives the red sports car and chases the gangster.
- ▷ John chases the gangster who drives the red sports car.
- ▷ John chases the gangster on the back seat of a (very very big) red sports car.

All of these stories correspond to different worlds, so by the **MCP** there must be at least three **readings**!

## Compositionality

- ▷ **Definition 2.4.27.** A **meaning theory**  $T$  is **compositional**, iff the meaning of an expression is a function of the **meanings** of its parts. We say that  $T$  obeys the **compositionality principle** or simply **compositionality** if it is.
- ▷ To compute the **meaning** of an **expression**, look up the **meanings** of the basic expressions forming it and successively **compute** the **meanings** of larger parts until a **meaning** for the whole **expression** is found.
- ▷ **Example 2.4.28 (Compositionality at work in arithmetic).** To **compute** the value of  $(x + y)/(z \cdot u)$ , look up the values of  $x$ ,  $y$ ,  $z$ , and  $u$ , then compute  $x + y$  and  $z \cdot u$ , and finally compute the value of the whole expression.
- ▷ Many philosophers and linguists hold that **compositionality** is at work in ordinary language too.

## Why Compositionality is Attractive

- ▷ **Compositionality** gives a nice building block for a **meaning theory**:
- ▷ **Example 2.4.29.** “[Expressions [are [built [from [words [that [combine [into [[larger [and larger]] subexpressions]]]]]]]]]”
- ▷ **Consequence:** To **compute** the **meaning** of an **expression**, look up the **meanings** of its **words** and successively compute the **meanings** of larger parts until a **meaning** for the whole **expression** is found.
- ▷ **Compositionality** explains how people can easily understand **sentences** they have never heard before, even though there are an **infinite** number of **sentences** any given person at any given time has not heard before.

## Compositionality and the Congruence Principle

- ▷ Given reasonable assumptions **compositionality** entails the



▷ **Definition 2.4.30.** The **congruence principle** states that whenever  $A$  is part of  $B$  and  $A'$  means just the same as  $A$ , replacing  $A$  by  $A'$  in  $B$  will lead to a result that means just the same as  $B$ .

▷ **Example 2.4.31.** Consider the following (complex) sentences:

1. "blah blah blah **such and such** blah blah"
2. "blah blah blah **so and so** blah blah"

If "**such and such**" and "**so and so**" mean the same thing, then 1. and 2. mean the same too.

▷ **Conversely:** if 1. and 2. do not mean the same, then "**such and such**" and "**so and so**" do not either.

## A Test for Synonymy

▷ Suppose we accept the **most certain principle** (difference in **truth conditions** implies difference in **meaning**) and the **congruence principle** (replacing words by **synonyms** results in a **synonymous utterance**). Then we have a diagnostics for **synonymy**: **Replacing utterances by synonyms preserves truth conditions**, or equivalently

▷ **Definition 2.4.32.** The following is called the **truth conditional synonymy test**:

If replacing  $A$  by  $B$  in some **sentence**  $C$  does not preserve **truth conditions**, then  $A$  and  $B$  are not **synonymous**.

▷ We can use this as a test for the question of **individuation**: when are the **meanings** of two **words** the same – when are they **synonymous**?

▷ **Example 2.4.33 (Unsurprising Results).** The following **sentences** differ in **truth conditions**.

1. "The **cat** is on the mat."
2. "The **dog** is on the mat."

Hence "**cat**" and "**dog**" are not **synonymous**. The converse holds for

1. "John is a **Greek**."
2. "John is a **Hellene**."

In this case there is no difference in **truth conditions**.

▷ But there might be another context that does give a difference.

## Contentious Cases of Synonymy Test

▷ **Example 2.4.34 (Problem).** The following **sentences** differ in truth values:

1. “*Mary believes that John is a Greek*”
2. “*Mary believes that John is a Hellene*”

So “*Greek*” is not *synonymous* to “*Hellene*”. The same holds in the classical example:

1. “*The Ancients knew that Hesperus was Hesperus*”
2. “*The Ancients knew that Hesperus was Phosphorus*”

In these cases most language *users* do perceive a difference in *truth conditions* while some philosophers vehemently deny that the *sentences* under 1. could be true in situations where the 2. *sentences* are false.

- ▷ It is important here of course that the context of substitution is within the scope of a verb of *propositional attitude*. (maybe later!)

## A better Synonymy Test

- ▷ **Definition 2.4.35 (Synonymy).** The following is called the *truth conditional synonymy test*:

If replacing *A* by *B* in some *sentence C* does not preserve *truth conditions* in a *compositional part* of *C*, then *A* and *B* are not *synonymous*.

## Testing Truth Conditions with Logic

- ▷ **Definition 2.4.36.** A *logical language model*  $\mathcal{M}$  for a *natural language* *L* consists of a *logical system*  $\langle \mathcal{L}, \models \rangle$  and a *function*  $\varphi$  from *L sentences* to  $\mathcal{L}$ -formulae.

- ▷ **Problem:** How do we find out whether  $\mathcal{M}$  models *L* faithfully?

- ▷ **Idea:** Test *truth conditions* of *sentences* against the *predictions*  $\mathcal{M}$  makes.

- ▷ **Problem:** The *truth conditions* for a *sentence S* in *L* can only be formulated and verified by humans that speak *L*.

- ▷ **In Practice:** *Truth conditions* are expressed as “stories” that specify salient situations. Native speakers of *L* are asked to judge whether they make *S* true/false.

- ▷ **Observation 2.4.37.** A *logical language model*  $\mathcal{M} := \langle L, \mathcal{L}, \varphi \rangle$  can be *tested*:

1. Select a *sentence S* and a situation *W* that makes *S* true in *W*. (according to humans)
2. Translate *S* in to an  $\mathcal{L}$ -formula  $S' := \varphi(S)$ .
3. Express *W* as a set  $\Phi$  of  $\mathcal{L}$ -formulae. ( $\Phi \cong$  *truth conditions*)
4.  $\mathcal{M}$  is *supported* if  $\Phi \models S'$ , *falsified* if  $\Phi \not\models S'$ .

- ▷ **Corollary 2.4.38.** A *logical language model* constitutes a *semantic meaning theory*.

## 2.5 Computational Semantics as a Natural Science

**Overview:** Formal [natural language semantics](#) is an approach to the study of [meaning](#) in natural language which utilizes the tools of [logic](#) and [model theory](#). Computational semantics adds to this the task of representing the role of inference in interpretation. By combining these two different approaches to the study of linguistic interpretation, we hope to expose you (the students) to the best of both worlds.

### Computational Semantics as a Natural Science

- ▷ **In a nutshell:** Formal [logic](#) studies [formal languages](#), their relation with the world (in particular the [truth conditions](#)). [Computational logic](#) adds the question about the computational behavior of the relevant aspects of the [formal languages](#).
- ▷ This is almost the same as the task of [natural language semantics](#)!
- ▷ It is one of the key ideas that [logics](#) are good scientific models for [natural languages](#), since they simplify certain aspects so that they can be studied in isolation. In particular, we can use the general [scientific method](#) of
  1. [observing](#)
  2. building [formal theories](#) for an aspect of reality,
  3. deriving the [consequences](#) of the [hypotheses](#) about the world in the [theories](#)
  4. [testing](#) the [predictions](#) made by the [theory](#) against the real-world data. If the [theory predicts](#) the data, then this [supports](#) the [theory](#), if not, we refine the [theory](#), starting the process again at 2.

**Excursion:** In natural sciences, this is established practice; e.g. astronomers observe the planets, and try to make predictions about the locations of the planets in the future. If you graph the location over time, it appears as a complicated zig-zag line that is difficult to understand. In 1609 Johannes Kepler postulated the model that the planets revolve around the sun in ellipses, where the sun is in one of the focal points. This model made it possible to predict the future whereabouts of the planets with great accuracy by relatively simple [mathematical](#) computations. Subsequent observations have confirmed this theory, since the predictions and observations match.

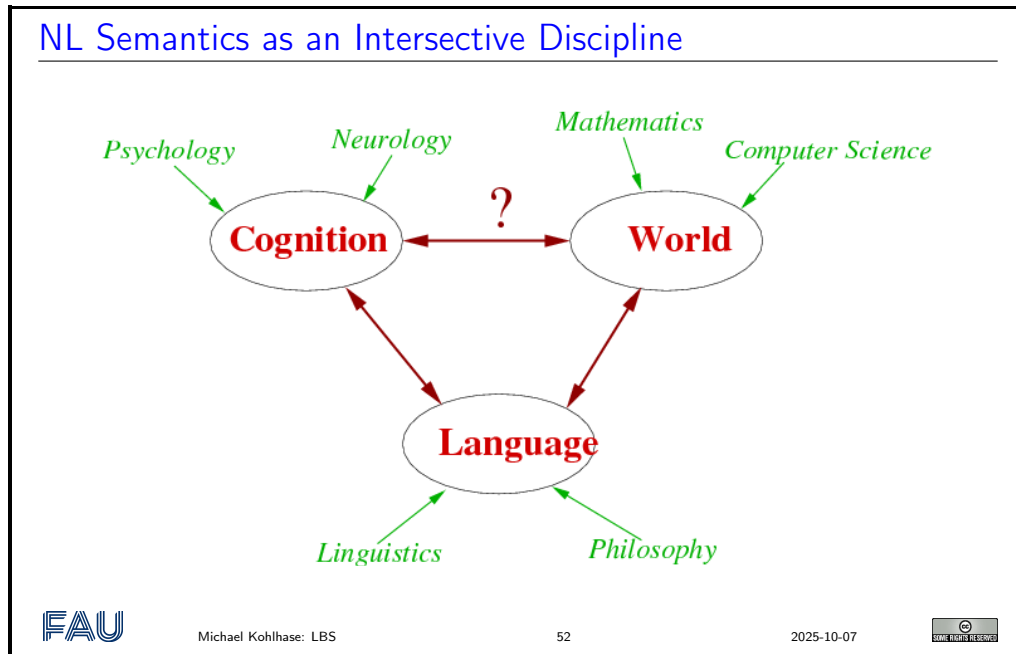
Later, the model was refined by Isaac Newton, by a theory of gravitation; it replaces the Keplerian assumptions about the geometry of planetary orbits by simple assumptions about gravitational forces (gravitation decreases with the inverse square of the distance) which entail the geometry.

Even later, the Newtonian theory of celestial mechanics was replaced by Einstein's relativity theory, which makes better predictions for great distances and high-speed objects.

All of these theories have in common, that they build a [mathematical](#) model of the physical reality, which is simple and precise enough to compute/derive consequences of basic assumptions, that can be tested against observations to validate or falsify the model/theory.

The study of [natural language](#) (and of course its meaning) is more complex than natural sciences, where we only observe objects that exist independently of ourselves as observers. Language is an inherently human activity, and deeply interdependent with human cognition (it is arguably one of its motors and means of expression). On the other hand, language is used to communicate about phenomena in the world around us, the world in us, and about hypothetical worlds we only imagine.

Therefore, *natural language semantics* must necessarily be an intersective discipline and a trans-disciplinary endeavour, combining methods, results and insights from various disciplines.





## Part I

# English as a Formal Language: The Method of Fragments



## Chapter 3

# Logic as a Tool for Modeling NL Semantics

In this chapter we will briefly introduce formal logic and motivate how we will use it as a tool for developing precise theories about [natural language semantics](#).

We want to build a [compositional, semantic meaning theory](#) based on [truth conditions](#), so that we can directly model the [truth conditional synonymy test](#). We will see how this works in detail in section 3.3 after we have recapped the necessary concepts about logic.

### 3.1 The Method of Fragments

We will proceed by the “[method of fragments](#)”, introduced by Richard Montague in [Mon70], where he insists on specifying a complete [syntax](#) and [semantics](#) for a specified [subset](#) (“[fragment](#)”) of a [natural language](#), rather than [writing](#) rules for the a single construction while making implicit assumptions about the rest of the [grammar](#). [Mon70]

In the present paper I shall accordingly present a precise treatment, culminating in a theory of truth, of a formal language that I believe may be reasonably regarded as a fragment of ordinary English.

R. Montague 1970 [Mon70, p.188]

The first step in defining a [fragment](#) of [natural language](#) is to define which [sentences](#) we want to consider. We will do this by means of a [context-free grammar](#). This will do two things: act as an oracle deciding which [sentences](#) (of [natural language](#)) are OK, and secondly to build up [parse trees](#), which we will later use for [semantics construction](#).

#### Natural Language Fragments

- ▷ **Methodological Problem:** How to organize the [scientific method](#) for [natural language](#)?
- ▷ **Delineation Problem:** What is [natural language](#), e.g. English?  
Which aspects do we want to [study](#)?
- ▷ **Idea:** Select a [subset](#) (NL) [sentences](#) we want to [study](#) by a [grammar](#)!  
~ Richard Montague’s [method of fragments](#) (1972).
- ▷ **Definition 3.1.1.** The [language](#)  $L$  of a [context-free grammar](#) is called a [fragment](#) of a [natural language](#)  $N$ , iff  $L \subseteq N$ .



- ▷ **Scientific Fiction:** We can exhaust English with ever-increasing **fragments**, develop a **semantic meaning theory** for each.



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So far so good, these are nice **ideas**, but what does this **mean** in practice?

## Using CFGs for NL Fragments

- ▷ **Idea:** Use **nonterminals** to **classify** NL phrases.
- ▷ **Definition 3.1.2.** We call a **nonterminal symbol** of a **context-free grammar** a **phrasal category**. We distinguish two kinds of **rules**:
- structural rules:**  $\mathcal{L}: H \rightarrow c_1, \dots, c_n$  with **head**  $H$ , **label**  $\mathcal{L}$ , and a sequence of **phrasal categories**  $c_i$ .
- lexical rules:**  $\mathcal{L}: H \rightarrow t_1 \mid \dots \mid t_n$ , where the  $t_i$  are **terminals** (i.e. NL **phrases**)
- ▷ **Definition 3.1.3.** In the **method of fragments** we use a **CFG** to **parse** sentences from the **fragment** into a **parse tree** (also called **abstract syntax tree (AST)** for further **processing**.
- ▷ **Todo:** We have to restrict our **logical language models** to **fragments**.
- ▷ **Definition 3.1.4.** A **language fragment model** consists of a **CFG**  $G$ , a **logical system**  $\mathcal{L}$ , and a **semantics construction mapping**  $\varphi$  from  $G$ -**parse trees** to  $\mathcal{L}$ -**propositions**.



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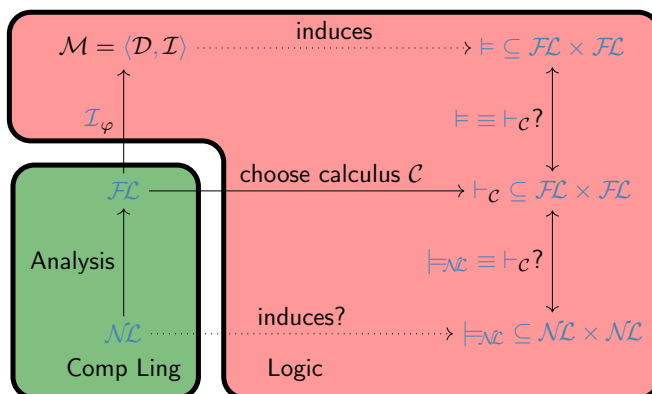
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We generically distinguish two parts of a **grammar**: the **structural rules** and the **lexical rules**, because they are guided by differing intuitions. The former **set of rules** govern how NL **phrases** can be composed to **sentences** (and later even to **discourses**). The latter **rules** are a simple **representation** of a **lexicon**, i.e. a structure which tells us about **words** (the atomic **objects of language**): their **phrasal categories**, their **meaning**, etc.

## Formal Natural Language Semantics with Fragments

- ▷ **Idea:** We will follow the picture we have discussed before



Choose a **target logic**  $\mathcal{L}$  and specify a **translation** from **syntax trees** to **formulae**!

## Semantics by Translation

- ▷ **Idea:** We translate sentences by translating their syntax trees via tree node translation rules.
- ▷ **Note:** This makes the induced meaning theory compositional.
- ▷ **Definition 3.1.5.** We represent a node  $\alpha$  in a syntax tree with children  $\beta_1, \dots, \beta_n$  by  $[X_{1\beta_1}, \dots, X_{n\beta_n}]_\alpha$  and write a translation rule as

$$\mathcal{L}: [X_{1\beta_1}, \dots, X_{n\beta_n}]_\alpha \rightsquigarrow \Phi(X_1', \dots, X_n')$$

if the translation of the node  $\alpha$  can be computed from those of the  $\beta_i$  via a semantical function  $\Phi$ .

- ▷ **Definition 3.1.6.** For a natural language utterance or text  $A$ , we will use  $\langle A \rangle$  for the result of translating  $A$  and call it the interpretation of  $A$ .
- ▷ **Definition 3.1.7 (Default Rule).** For every word  $w$  in the fragment we assume a constant  $w'$  in the logic  $\mathcal{L}$  and the “pseudo-rule”  $t1: w \rightsquigarrow w'$ . (if no other translation rule applies)

## 3.2 What is Logic?

### What is Logic?

- ▷ **Definition 3.2.1.** Logic  $\hat{=}$  formal languages, inference and their relation with the world
  - ▷ **Formal language  $\mathcal{FL}$ :** set of formulae ( $2 + 3/7, \forall x.x + y = y + x$ )
  - ▷ **Formula:** sequence/tree of symbols ( $x, y, f, g, p, 1, \pi, \in, \neg, \forall, \exists$ )
  - ▷ **Model:** things we understand (e.g. number theory)
  - ▷ **Interpretation:** maps formulae into models ( $[\text{three plus five}]^{\mathcal{I}} = 8$ )
  - ▷ **Validity:**  $\mathcal{M} \models \mathbf{A}$ , iff  $[\mathbf{A}]^{\mathcal{I}} = \mathbf{T}$  (five greater three is valid)
  - ▷ **Entailment:**  $\mathbf{A} \models \mathbf{B}$ , iff  $\mathcal{M} \models \mathbf{B}$  for all  $\mathcal{M} \models \mathbf{A}$ . (generalize to  $\mathcal{H} \models \mathbf{A}$ )
  - ▷ **Inference:** rules to transform (sets of) formulae ( $\mathbf{A}, \mathbf{A} \Rightarrow \mathbf{B} \vdash \mathbf{B}$ )
  - ▷ **Syntax:** formulae, inference (just a bunch of symbols)
  - ▷ **Semantics:** models, interpr., validity, entailment (math. structures)
- ▷ **Important Question:** relation between syntax and semantics?

So logic is the study of formal representations of objects in the real world, and the formal statements that are true about them. The insistence on a *formal language* for representation is actually

something that simplifies life for us. Formal languages are something that is actually easier to understand than e.g. *natural languages*. For instance it is usually *decidable*, whether a string is a member of a formal language. For *natural language* this is much more difficult: there is still no program that can reliably say whether a sentence is a grammatical sentence of the English language.

We have already discussed the meaning mappings (under the monicker “semantics”). Meaning mappings can be used in two ways, they can be used to understand a formal language, when we use a mapping into “something we already understand”, or they are the mapping that legitimize a representation in a formal language. We understand a formula (a member of a formal language)  $\mathbf{A}$  to be a representation of an object  $\mathcal{O}$ , iff  $[\mathbf{A}] = \mathcal{O}$ .

However, the game of representation only becomes really interesting, if we can do something with the representations. For this, we give ourselves a set of syntactic rules of how to manipulate the *formulae* to reach new representations or facts about the world.

Consider, for instance, the case of calculating with numbers, a task that has changed from a difficult job for highly paid specialists in Roman times to a task that is now feasible for young children. What is the cause of this dramatic change? Of course the formalized reasoning procedures for *arithmetic* that we use nowadays. These *calculi* consist of a set of rules that can be followed purely syntactically, but nevertheless manipulate *arithmetic expressions* in a correct and fruitful way. An essential prerequisite for syntactic manipulation is that the objects are given in a *formal language* suitable for the problem. For example, the introduction of the decimal system has been instrumental to the simplification of arithmetic mentioned above. When the *arithmetical* calculi were sufficiently well-understood and in principle a mechanical procedure, and when the art of clock-making was mature enough to design and build mechanical devices of an appropriate kind, the invention of calculating machines for *arithmetic* by (1623), (1642), and (1671) was only a natural consequence.

We will see that it is not only possible to calculate with numbers, but also with representations of statements about the world (propositions). For this, we will use an extremely simple example; a fragment of *propositional logic* (we restrict ourselves to only one *connective*) and a small *calculus* that gives us a set of rules how to manipulate *formulae*.

In computational semantics, the picture is slightly more complicated than in Physics. Where Physics considers *mathematical* models, we build logical models, which in turn employ the term “model”. To sort this out, let us briefly recap the components of logics, we have seen so far.

Logics make good (scientific<sup>1</sup>) models for *natural language*, since they are *mathematically* precise and relatively simple.

**Formal languages** simplify *natural languages*, in that problems of grammaticality no longer arise. Well-formedness can in general be decided by a simple recursive procedure.

**Semantic models** simplify the real world by concentrating on (but not restricting itself to) *mathematically* well-understood structures like sets or numbers. The induced semantic notions of validity and logical consequence are precisely defined in terms of semantic models and allow us to make predictions about *truth conditions* of *natural language*.

The only missing part is that we can conveniently compute the predictions made by the model. The underlying problem is that the semantic notions like validity and semantic consequence are defined with respect to *all* models, which are difficult to handle.

Therefore, logics typically have a third part, an *inference system*, or a *calculus*, which is a syntactic counterpart to the semantic notions. Formally, a calculus is just a set of rules (called *inference rules*) that transform (sets of) formulae (the *assumptions*) into other (sets of) formulae (the *conclusions*). A sequence of rule applications that transform the empty set of assumptions into a formula  $\mathbf{T}$ , is called a *proof* of  $\mathbf{A}$ . To make these assumptions clear, let us look at a very simple example.

<sup>1</sup>As we use the word “model” in two ways, we will sometimes explicitly label it by the attribute “scientific” to signify that a whole logic is used to model a *natural language* phenomenon and with the attribute “semantic” for the *mathematical* structures that are used to give *meaning* to *formal languages*

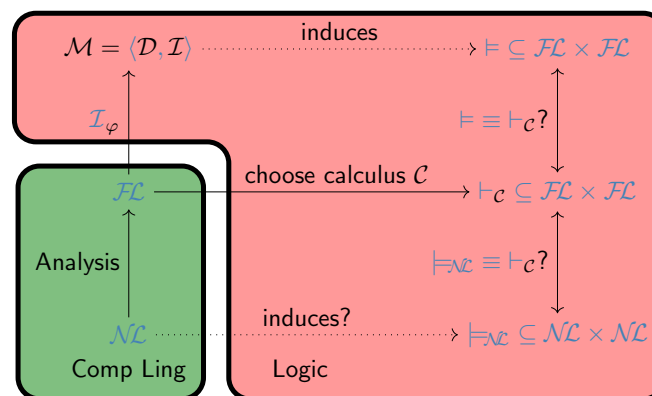
### 3.3 Using Logic to Model Meaning of Natural Language

#### Modeling Natural Language Semantics

- ▷ **Problem:** Find formal (logic) system for the meaning of natural language.
- ▷ History of ideas
  - ▷ Propositional logic [ancient Greeks like Aristotle]
    - \* “*Every human is mortal*”
  - ▷ First-Order Predicate logic [Frege  $\leq$  1900]
    - \* “*I believe, that my audience already knows this.*”
  - ▷ Modal logic [Lewis18, Kripke65]
    - \* “*A man sleeps. He snores.*”  $((\exists X.\text{man}(X) \wedge \text{sleeps}(X))) \wedge \text{snores}(X)$
  - ▷ Various dynamic approaches (e.g. DRT, DPL)
    - \* “*Most men wear black*”
  - ▷ Higher-order Logic, e.g. generalized quantifiers
  - ▷ ...

Let us now reconsider the role of all of this for natural language semantics. We have claimed that the goal of the course is to provide you with a set of methods to determine the meaning of natural language. If we look back, all we did was to establish translations from natural languages into formal languages like first-order or higher-order logic (and that is all you will find in most semantics papers and textbooks). Now, we have just tried to convince you that these are actually syntactic entities. So, *where is the semantics?*

#### Natural Language Semantics?



As we mentioned, the green area is the one generally covered by natural language semantics. In the analysis process, the natural language utterance (viewed here as formulae of a language  $\mathcal{NL}$ ) are translated to a formal language  $\mathcal{FL}$  (a set  $\text{wff}(\cdot)$  of well-formed formulae). We claim that this is all that is needed to recapture the semantics even if this is not immediately obvious at first: Theoretical Logic gives us the missing pieces.

Since  $\mathcal{FL}$  is a formal language of a logical system, it comes with a notion of model and an value

function  $\mathcal{I}_\varphi$  that translates  $\mathcal{FL}$  formulae into objects of that model. This induces a notion of **logical consequence**<sup>2</sup> as explained in ???. It also comes with a **calculus**  $\mathcal{C}$  acting on  $\mathcal{FL}$  formulae, which (if we are lucky) is **sound** and **complete** (then the mappings in the upper rectangle commute).

What we are really interested in **natural language semantics** is the **truth conditions** and natural consequence relations on **natural language utterances**, which we have denoted by  $\models_{\mathcal{NL}}$ . If the calculus  $\mathcal{C}$  of the logical system  $\langle \mathcal{FL}, \mathcal{K}, \models \rangle$  is adequate (it might be a bit presumptuous to say **sound** and **complete**), then it is a model of the **linguistic entailment** relation  $\models_{\mathcal{NL}}$ . Given that both rectangles in the diagram commute, then we really have a model for **truth conditions** and **logical consequence** for text/speech fragments, if we only specify the analysis mapping (the green part) and the **calculus**.

### Logic-Based Knowledge Representation for NLP

- ▷ Logic (and related formalisms) allow to integrate **world knowledge**
  - ▷ explicitly (gives more understanding than statistical methods)
  - ▷ transparently (symbolic methods are monotonic)
  - ▷ systematically (we can prove theorems about our systems)
- ▷ **Signal + world knowledge makes more powerful model**
  - ▷ Does not preclude the use of statistical methods to guide inference
- ▷ Problems with logic-based approaches
  - ▷ Where does the **world knowledge** come from? (Ontology problem)
  - ▷ How to guide search induced by **logical calculi**? (combinatorial explosion)
- ▷ **One possible answer: Description Logics.** (Recall the AI-1 lecture?)

<sup>2</sup>Relations on a set  $S$  are subsets of the Cartesian product of  $S$ , so we use  $R \subseteq S^n \times S$  to signify that  $R$  is a ( $n$ -ary) relation on  $X$ .

# Chapter 4

## Fragment 1

We will now put the [ideas](#) from the last chapter into practice in the setting of the Montague’s “[Method of Fragments](#)”. We will introduce a first very simple [fragment](#) mostly for the purpose of setting up the conceptual infrastructure and seeing how the various bits and pieces might interact, not so much because the [fragment](#) in and of itself is [linguistically](#) interesting.

### 4.1 The First Fragment: Setting up the Basics

The first [fragment](#) will primarily be used for setting the stage, and introducing the [method of fragments](#) itself. the coverage of the [fragment](#) is too small to do anything useful with it, but it will allow us to discuss the salient features of the [method](#), the particular setup of the [grammars](#) and [semantics](#) before graduating to more useful [fragments](#).

#### Fragment $\mathcal{F}_1$ Data (Sentences we want to cover)

▷ **Fragment  $\mathcal{F}_1$  Data:** We delineate the intended [fragment](#) by giving [examples](#)

1. “*Ethel kicked the cat and Fiona laughed*”
2. “*Peter is the teacher*”
3. “*The teacher is happy*”
4. “*It is not the case that Bertie ran*”
5. “*It is not the case that Jo is happy*”

▷ We can later use these [sentences](#) as [benchmark tests](#).

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Now that we have the target [logic](#) we can complete the analysis arrow in slide 56. We do this again, by giving [translation rules](#).

#### 4.1.1 Natural Language Syntax (Fragment 1)

#### Structural Grammar Rules

▷ **Definition 4.1.1.**  $\mathcal{F}_1$  uses the following eight [phrasal categories](#)

|       |                   |          |                 |
|-------|-------------------|----------|-----------------|
| $S$   | sentence          | $NP$     | noun phrase     |
| $N$   | noun              | $N_{pr}$ | proper name     |
| $V^i$ | intransitive verb | $V^t$    | transitive verb |
| conj  | coordinator       | Adj      | adjective       |

▷ **Definition 4.1.2.** We have the following production rules in  $\mathcal{F}_1$ .

- $S1: S \rightarrow NP V^i$ ,
- $S2: S \rightarrow NP V^t NP$ ,
- $N1: NP \rightarrow N_{pr}$ ,
- $N2: NP \rightarrow \text{the } N$ ,
- $S3: S \rightarrow \text{It is not the case that } S$ ,
- $S4: S \rightarrow S \text{ conj } S$ ,
- $S5: S \rightarrow NP \text{ is } NP$ , and
- $S6: S \rightarrow NP \text{ is } Adj$

## Lexical insertion rules for Fragment $\mathcal{F}_1$

▷ **Definition 4.1.3.** We have the following lexical insertion rules in fragment  $\mathcal{F}_1$ .

- $L1: N_{pr} \rightarrow \text{Prudence} \mid \text{Ethel} \mid \text{Chester} \mid \text{Jo} \mid \text{Bertie} \mid \text{Fiona}$ ,
- $L2: N \rightarrow \text{book} \mid \text{cake} \mid \text{cat} \mid \text{golfer} \mid \text{dog} \mid \text{lecturer} \mid \text{student} \mid \text{singer}$ ,
- $L3: V^i \rightarrow \text{ran} \mid \text{laughed} \mid \text{sang} \mid \text{howled} \mid \text{screamed}$ ,
- $L4: V^t \rightarrow \text{read} \mid \text{poisoned} \mid \text{ate} \mid \text{liked} \mid \text{loathed} \mid \text{kicked}$ ,
- $L5: \text{conj} \rightarrow \text{and} \mid \text{or}$ ,
- $L6: \text{Adj} \rightarrow \text{happy} \mid \text{crazy} \mid \text{messy} \mid \text{disgusting} \mid \text{wealthy}$

▷ **Definition 4.1.4.** A production rule whose head is a single non-terminal and whose body consists of a single terminal is called lexical or a lexical insertion rule.

▷ **Notation:** Lexical insertion rules are usually written using BNF alternative in the body  $\hookrightarrow$  grouping rules with the same head.

▷ **Definition 4.1.5.** The subset of lexical rules of a grammar  $G$  is called the lexicon of  $G$  and the set of body symbols the vocabulary (or alphabet). The nonterminals in their heads are called lexical categories of  $G$ .

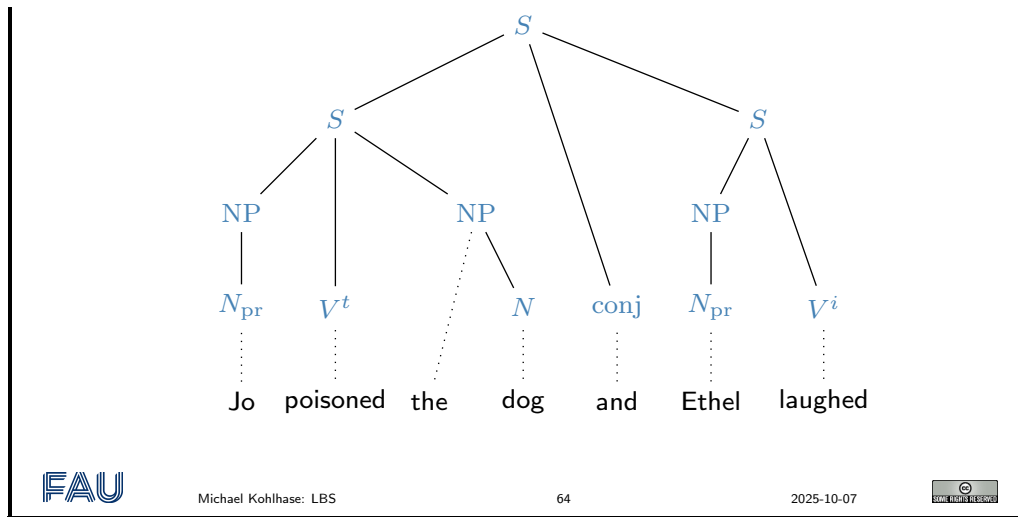
▷ **Note:** We will adopt the convention that new lexical insertion rules can be generated spontaneously as needed.

These rules represent a simple lexicon, they specify which words are accepted by the grammar and what their phrasal categories are.

## Syntax Example: “Jo poisoned the dog and Ethel laughed”

▷ **Observation 4.1.6.** “Jo poisoned the dog and Ethel laughed” is a sentence of fragment 1

▷ We can construct a parse tree for it!



### 4.1.2 Predicate Logic without Quantifiers

The next step will be to introduce the logical model we will use for **fragment  $\mathcal{F}_1$ : Predicate Logic without Quantifiers**. Syntactically, this logic is a fragment of first-order logic, but its expressivity is equivalent to propositional logic.

#### Individuals and their Properties/Relationships

- ▷ **Observation:** We want to talk about **individuals** like Stefan, Nicole, and Jochen and their **properties**, e.g. being blond, or studying AI and **relationships**, e.g. that "*Stefan loves Nicole*".
- ▷ **Idea:** Re-use  $PL^0$ , but replace **propositional variables** with something more expressive! (instead of fancy variable name trick)
- ▷ **Definition 4.1.7.** A **first-order signature**  $\langle \Sigma^f, \Sigma^p \rangle$  consists of
  - ▷  $\Sigma^f := \bigcup_{k \in \mathbb{N}} \Sigma_k^f$  of **function constants**, where members of  $\Sigma_k^f$  denote  $k$ -ary functions on individuals,
  - ▷  $\Sigma^p := \bigcup_{k \in \mathbb{N}} \Sigma_k^p$  of **predicate constants**, where members of  $\Sigma_k^p$  denote  $k$ -ary relations among individuals,
 where  $\Sigma_k^f$  and  $\Sigma_k^p$  are pairwise disjoint, countable sets of symbols for each  $k \in \mathbb{N}$ . A 0-ary function constant refers to a single individual, therefore we call it a **individual constant**.

#### A Grammar for $PL^q$



▷ **Definition 4.1.8.** The formulae of  $\text{PL}^q$  are given by the following grammar

|                     |       |       |                        |                     |
|---------------------|-------|-------|------------------------|---------------------|
| function constants  | $f^k$ | $\in$ | $\Sigma_k^f$           |                     |
| predicate constants | $p^k$ | $\in$ | $\Sigma_k^p$           |                     |
| terms               | $t$   | $::=$ | $f^0$                  | individual constant |
|                     |       |       | $ $                    |                     |
|                     |       |       | $f^k(t_1, \dots, t_k)$ | application         |
| formulae            | $A$   | $::=$ | $p^k(t_1, \dots, t_k)$ | atomic              |
|                     |       |       | $ $                    |                     |
|                     |       |       | $\neg A$               | negation            |
|                     |       |       | $ $                    |                     |
|                     |       |       | $A_1 \wedge A_2$       | conjunction         |

## $\text{PL}^q$ Semantics

▷ **Definition 4.1.9.** Domains  $\mathcal{D}_0 = \{\top, \text{F}\}$  of truth values and  $\mathcal{D}_i \neq \emptyset$  of individuals.

▷ **Definition 4.1.10.** Interpretation  $\mathcal{I}$  assigns values to constants, e.g.

▷  $\mathcal{I}(\neg): \mathcal{D}_0 \rightarrow \mathcal{D}_0; \top \mapsto \text{F}; \text{F} \mapsto \top$  and  $\mathcal{I}(\wedge) = \dots$  (as in  $\text{PL}^0$ )

▷  $\mathcal{I}: \Sigma_0^f \rightarrow \mathcal{D}_i$  (interpret individual constants as individuals)

▷  $\mathcal{I}: \Sigma_k^f \rightarrow \mathcal{D}_i^k \rightarrow \mathcal{D}_i$  (interpret function constants as functions)

▷  $\mathcal{I}: \Sigma_k^p \rightarrow \mathcal{P}(\mathcal{D}_i^k)$  (interpret predicate constants as relations)

▷ **Definition 4.1.11.** The value function  $\mathcal{I}$  assigns values to formulae: (recursively)

▷  $\mathcal{I}(f(A^1, \dots, A^k)) := \mathcal{I}(f)(\mathcal{I}(A^1), \dots, \mathcal{I}(A^k))$

▷  $\mathcal{I}(p(A^1, \dots, A^k)) := \top$ , iff  $\langle \mathcal{I}(A^1), \dots, \mathcal{I}(A^k) \rangle \in \mathcal{I}(p)$

▷  $\mathcal{I}(\neg A) = \mathcal{I}(\neg)(\mathcal{I}(A))$  and  $\mathcal{I}(A \wedge B) = \mathcal{I}(\wedge)(\mathcal{I}(A), \mathcal{I}(B))$  (just as in  $\text{PL}^0$ )

▷ **Definition 4.1.12.** Model:  $\mathcal{M} = \langle \mathcal{D}_i, \mathcal{I} \rangle$  varies in  $\mathcal{D}_i$  and  $\mathcal{I}$ .

▷ **Theorem 4.1.13.**  $\text{PL}^q$  is isomorphic to  $\text{PL}^0$  (interpret atoms as prop. variables)

All of the definitions above are quite abstract, we now look at them again using a very concrete – if somewhat contrived – example: The relevant parts are a universe  $\mathcal{D}$  with four elements, and an interpretation that maps the signature into individuals, functions, and predicates over  $\mathcal{D}$ , which are given as concrete sets.

## A Model for $\text{PL}^q$

▷ **Example 4.1.14.** Let  $L := \{a, b, c, d, e, P, Q, R, S\}$ , we set the universe  $\mathcal{D} := \{\clubsuit, \spadesuit, \heartsuit, \diamondsuit\}$ , and specify the interpretation function  $\mathcal{I}$  by setting

▷  $a \mapsto \clubsuit, b \mapsto \spadesuit, c \mapsto \heartsuit, d \mapsto \diamondsuit$ , and  $e \mapsto \diamondsuit$  for constants,

▷  $P \mapsto \{\clubsuit, \spadesuit\}$  and  $Q \mapsto \{\spadesuit, \diamondsuit\}$ , for unary predicate constants.

▷  $R \mapsto \{\langle \heartsuit, \diamondsuit \rangle, \langle \diamondsuit, \heartsuit \rangle\}$ , and  $S \mapsto \{\langle \diamondsuit, \spadesuit \rangle, \langle \spadesuit, \clubsuit \rangle\}$  for binary predicate constants.

▷ **Example 4.1.15 (Computing Meaning in this Model).**

- ▷  $\mathcal{I}(R(a, b) \wedge P(c)) = \top$ , iff
  - ▷  $\mathcal{I}(R(a, b)) = \top$  and  $\mathcal{I}(P(c)) = \top$ , iff
  - ▷  $\langle \mathcal{I}(a), \mathcal{I}(b) \rangle \in \mathcal{I}(R)$  and  $\mathcal{I}(c) \in \mathcal{I}(P)$ , iff
  - ▷  $\langle \clubsuit, \spadesuit \rangle \in \{ \langle \heartsuit, \diamondsuit \rangle, \langle \diamondsuit, \heartsuit \rangle \}$  and  $\heartsuit \in \{ \clubsuit, \spadesuit \}$
- So,  $\mathcal{I}(R(a, b) \wedge P(c)) = \text{F}$ .

The [example](#) above also shows how we can [compute](#) of [meaning](#) by in a [concrete model](#): we just follow the [evaluation](#) rules to the letter.

We now come to the central technical result about  $\text{PE}^{\text{q}}$ : it is essentially the same as [propositional logic](#) ( $\text{PL}^0$ ). We say that the two [logic](#) are isomorphic. Technically, this [means](#) that the [formulae](#) of  $\text{PE}^{\text{q}}$  can be translated to  $\text{PL}^0$  and there is a corresponding [model](#) translation from the [models](#) of  $\text{PL}^0$  to those of  $\text{PE}^{\text{q}}$  such that the respective notions of [evaluation](#) are [assigned](#) to each other.

### $\text{PE}^{\text{q}}$ and $\text{PL}^0$ are Isomorphic

- ▷ **Observation:** For every choice of  $\Sigma$  of [signature](#), the set  $\mathcal{A}_{\Sigma}$  of [atomic  \$\text{PE}^{\text{q}}\$  formulae](#) is [countable](#), so there is a  $\mathcal{V}_{\Sigma} \subseteq \mathcal{V}_0$  and a [bijection](#)  $\theta_{\Sigma}: \mathcal{A}_{\Sigma} \rightarrow \mathcal{V}_{\Sigma}$ .  
 $\theta_{\Sigma}$  can be extended to a [bijection](#) on [formulae](#) as  $\text{PE}^{\text{q}}$  and  $\text{PL}^0$  share [connectives](#).
- ▷ **Lemma 4.1.16.** For every [model](#)  $\mathcal{M} = \langle \mathcal{D}, \mathcal{I} \rangle$ , there is a [variable assignment](#)  $\varphi_{\mathcal{M}}$ , such that  $\mathcal{I}_{\varphi_{\mathcal{M}}}(\mathbf{A}) = \mathcal{I}(\mathbf{A})$ .
- ▷ *Proof sketch:* We just define  $\varphi_{\mathcal{M}}(X) := \mathcal{I}(\theta_{\Sigma}^{-1}(X))$ , then the assertion follows by induction on  $\mathbf{A}$ .
- ▷ **Lemma 4.1.17.** For every [variable assignment](#)  $\psi: \mathcal{V}_{\Sigma} \rightarrow \{\top, \text{F}\}$  there is a [model](#)  $\mathcal{M}^{\psi} = \langle \mathcal{D}^{\psi}, \mathcal{I}^{\psi} \rangle$ , such that  $\mathcal{I}_{\psi}(\mathbf{A}) = \mathcal{I}^{\psi}(\mathbf{A})$ .
- ▷ *Proof sketch:* see next slide
- ▷ **Corollary 4.1.18.**  $\text{PE}^{\text{q}}$  is isomorphic to  $\text{PL}^0$ , i.e. the following [diagram commutes](#):

$$\begin{array}{ccc}
 \langle \mathcal{D}^{\psi}, \mathcal{I}^{\psi} \rangle & \xleftarrow{\psi \mapsto \mathcal{M}^{\psi}} & \mathcal{V}_{\Sigma} \rightarrow \{\top, \text{F}\} \\
 \uparrow \mathcal{I}^{\psi}() & & \uparrow \mathcal{I}_{\varphi_{\mathcal{M}}}() \\
 \text{PE}^{\text{q}}(\Sigma) & \xrightarrow{\theta_{\Sigma}} & \text{PL}^0(\mathcal{A}_{\Sigma})
 \end{array}$$

- ▷ **Note:** This constellation with a language isomorphism and a corresponding model isomorphism (in converse direction) is typical for a logic isomorphism.

The practical upshot of the [commutative diagram](#) from ??? is that if we have a way of [computing evaluation](#) (or [entailment](#) for that matter) in  $\text{PL}^0$ , then we can “[borrow](#)” it for  $\text{PE}^{\text{q}}$  by [composing](#) it with the language and model translations. In other words, we can reuse [calculi](#) and [automated theorem provers](#) from  $\text{PL}^0$  for  $\text{PE}^{\text{q}}$ .

But we still have to provide the [proof](#) for ???, which we do now.

## Valuation and Satisfiability

▷ **Lemma 4.1.19.** For every *variable assignment*  $\psi: \mathcal{V}_\Sigma \rightarrow \{\mathsf{T}, \mathsf{F}\}$  there is a *model*  $\mathcal{M}^\psi = \langle \mathcal{D}^\psi, \mathcal{I}^\psi \rangle$ , such that  $\mathcal{I}_\psi(\mathbf{A}) = \mathcal{I}^\psi(\mathbf{A})$ .

▷ *Proof:* We construct  $\mathcal{M}^\psi = \langle \mathcal{D}^\psi, \mathcal{I}^\psi \rangle$  and show that it works as desired.

1. Let  $\mathcal{D}^\psi$  be the set of  $\text{PE}^q$  terms over  $\Sigma$ , and
  - ▷  $\mathcal{I}^\psi(f) : \mathcal{D}^{\psi^k} \rightarrow \mathcal{D}^\psi ; \langle \mathbf{A}_1, \dots, \mathbf{A}_k \rangle \mapsto f(\mathbf{A}_1, \dots, \mathbf{A}_k)$  for  $f \in \Sigma_k^f$
  - ▷  $\mathcal{I}^\psi(p) := \{ \langle \mathbf{A}_1, \dots, \mathbf{A}_k \rangle \mid \psi(\theta_\psi^{-1} p(\mathbf{A}_1, \dots, \mathbf{A}_k)) = \mathsf{T} \}$  for  $p \in \Sigma_k^p$ .
2. We show  $\mathcal{I}^\psi(\mathbf{A}) = \mathbf{A}$  for terms  $\mathbf{A}$  by induction on  $\mathbf{A}$ 
  - 2.1. If  $\mathbf{A} = c$ , then  $\mathcal{I}^\psi(\mathbf{A}) = \mathcal{I}^\psi(c) = c = \mathbf{A}$
  - 2.2. If  $\mathbf{A} = f(\mathbf{A}_1, \dots, \mathbf{A}_n)$  then
 
$$\mathcal{I}^\psi(\mathbf{A}) = \mathcal{I}^\psi(f)(\mathcal{I}(\mathbf{A}_1), \dots, \mathcal{I}(\mathbf{A}_n)) = \mathcal{I}^\psi(f)(\mathbf{A}_1, \dots, \mathbf{A}_k) = \mathbf{A}.$$
4. For a  $\text{PE}^q$  formula  $\mathbf{A}$  we show that  $\mathcal{I}^\psi(\mathbf{A}) = \mathcal{I}_\psi(\mathbf{A})$  by induction on  $\mathbf{A}$ .
  - 4.1. If  $\mathbf{A} = p(\mathbf{A}_1, \dots, \mathbf{A}_k)$ , then  $\mathcal{I}^\psi(\mathbf{A}) = \mathcal{I}^\psi(p)(\mathcal{I}(\mathbf{A}_1), \dots, \mathcal{I}(\mathbf{A}_n)) = \mathsf{T}$ , iff  $\langle \mathbf{A}_1, \dots, \mathbf{A}_k \rangle \in \mathcal{I}^\psi(p)$ , iff  $\psi(\theta_\psi^{-1} \mathbf{A}) = \mathsf{T}$ , so  $\mathcal{I}^\psi(\mathbf{A}) = \mathcal{I}_\psi(\mathbf{A})$  as desired.
  - 4.2. If  $\mathbf{A} = \neg \mathbf{B}$ , then  $\mathcal{I}^\psi(\mathbf{A}) = \mathsf{T}$ , iff  $\mathcal{I}^\psi(\mathbf{B}) = \mathsf{F}$ , iff  $\mathcal{I}^\psi(\mathbf{B}) = \mathcal{I}_\psi(\mathbf{B})$ , iff  $\mathcal{I}^\psi(\mathbf{A}) = \mathcal{I}_\psi(\mathbf{A})$ .
  - 4.3. If  $\mathbf{A} = \mathbf{B} \wedge \mathbf{C}$  then we argue similarly
6. Hence  $\mathcal{I}^\psi(\mathbf{A}) = \mathcal{I}_\psi(\mathbf{A})$  for all  $\text{PE}^q$  formulae and we have concluded the proof. □

Now that we have the target logic we can complete the analysis arrow in slide 56. We do this again, by giving translation rules.

### 4.1.3 Natural Language Semantics via Translation

## Translation rules for non-basic expressions (NP and $S$ )

▷ **Definition 4.1.20.** We have the following translation rules for non-leaf node of the syntax tree

- T1:  $[X_{\text{NP}}, Y_{V^i}]_S \rightsquigarrow Y'(X')$
- T2:  $[X_{\text{NP}}, Y_{V^t}, Z_{\text{NP}}]_S \rightsquigarrow Y'(X', Z')$
- T3:  $[X_{N_{\text{pr}}}]_{\text{NP}} \rightsquigarrow X'$
- T4:  $[\text{the}, X_N]_{\text{NP}} \rightsquigarrow \text{the} X'$
- T5:  $[\text{It is not the case that } X_S]_S \rightsquigarrow (\neg X')$
- T6:  $[X_S, Y_{\text{conj}}, Z_S]_S \rightsquigarrow Y'(X', Z')$
- T7:  $[X_{\text{NP}}, \text{is}, Y_{\text{NP}}]_S \rightsquigarrow X' = Y'$
- T8:  $[X_{\text{NP}}, \text{is}, Y_{\text{Adj}}]_S \rightsquigarrow Y'(X')$

Read e.g.  $[Y, Z]_X$  as a node with label  $X$  in the syntax tree with children  $X$  and  $Y$ . Read  $X'$  as the translation of  $X$  via these rules.

▷ Note that we have exactly one translation per syntax rule.

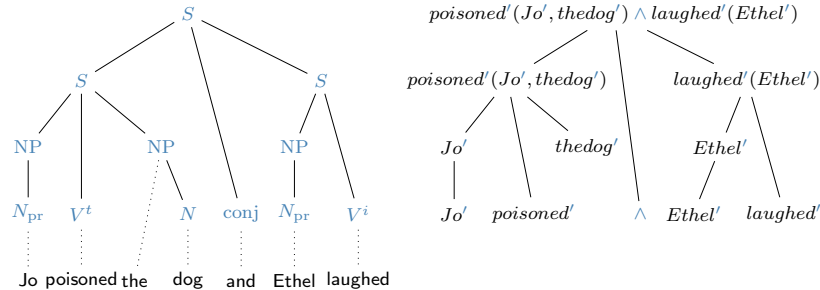
### Translation rule for basic lexical items

- ▷ **Definition 4.1.21.** The target logic for  $\mathcal{F}_1$  is  $\text{PL}^{\text{a}}$ , the fragment of  $\text{PL}^1$  without quantifiers.
- ▷ **Lexical Translation Rules for  $\mathcal{F}_1$  Categories:**
  - ▷ If  $w$  is a proper name, then  $w' \in \Sigma_0^f$ . (individual constant)
  - ▷ If  $w$  is an intransitive verb, then  $w' \in \Sigma_1^p$ . (one-place predicate)
  - ▷ If  $w$  is a transitive verb,  $w' \in \Sigma_2^p$ . (two-place predicate)
  - ▷ If  $w$  is a noun phrase, then  $w' \in \Sigma_0^f$ . (individual constant)
- ▷ **Semantics by Translation:** We translate sentences by translating their syntax trees via tree node translation rules.
- ▷ For any lexical item (i.e. word)  $w$ , we have the “pseudo-rule”  $t1: w \rightsquigarrow w'$ .
- ▷ **Note:** This rule does not apply to the syncategorematic items *is* and *the*.
- ▷ Translations for logical connectives

$t2: \text{and} \rightsquigarrow \wedge$ ,  $t3: \text{or} \rightsquigarrow \vee$ ,  $t4: \text{it is not the case that} \rightsquigarrow \neg$

### Translation Example

- ▷ **Observation 4.1.22.** “Jo poisoned the dog and Ethel laughed” is a sentence of fragment  $\mathcal{F}_1$ .
- ▷ We can construct a syntax tree for it!



## 4.2 Testing Truth Conditions via Inference

Now that our language fragment model is complete for fragment  $\mathcal{F}_1$ , we can test it to see whether it makes the correct predictions.

We use one of the examples from introduction even though we have to somewhat force-fit into fragment  $\mathcal{F}_1$ . As the fragment was mostly introduced to show the basic setup, this may be

forgivable.

### Testing Truth Conditions in $\text{PL}^q$

- ▷ **Idea 1:** To test our language model ( $\mathcal{F}_1$ )
  - ▷ Select a sentence  $S$  and a situation  $W$  that makes  $S$  true. (according to humans)
  - ▷ Translate  $S$  in to a formula  $S'$  in  $\text{PL}^q$ .
  - ▷ Express  $W$  as a set  $\Phi$  of formulae in  $\text{PL}^q$  ( $\Phi \hat{=}$  truth conditions)
  - ▷ Our language model is supported if  $\Phi \models S'$ , falsified if  $\Phi \not\models S'$ .
- ▷ **Example 4.2.1 (John chased the gangster in the red sports car).**
  - ▷ We claimed that we have three readings Example 2.3.3  
 $R_1 := c(j, g) \wedge in(j, s)$ ,  $R_2 := c(j, g) \wedge in(g, s)$ , and  $R_3 := c(j, g) \wedge in(j, s) \wedge in(g, s)$
  - ▷ So there must be three distinct situations  $W$  that make  $S$  true
    1. "John is in the red sports car, but the gangster isn't"  
 $W_1 := c(j, g) \wedge in(j, s) \wedge \neg in(g, s)$ , so  $W_1 \models R_1$ , but  $W_1 \not\models R_2$  and  $W_1 \not\models R_3$
    2. "The gangster is in the red sports car, but John isn't"  
 $W_2 := c(j, g) \wedge in(g, s) \wedge \neg in(j, s)$ , so  $W_2 \models R_2$ , but  $W_2 \not\models R_1$  and  $W_2 \not\models R_3$
    3. "Both are in the red sports car"  
 $\hat{=}$  they run around on the back seat of a very big sports car  
 $W_3 := c(j, g) \wedge in(j, s) \wedge in(g, s)$ , so  $W_3 \models R_3$ , but  $W_3 \not\models R_1$  and  $W_3 \not\models R_2$
- ▷ **Idea 2:** Use a calculus to model  $\models$ , e.g.  $\mathcal{ND}_0$

## 4.3 Summary & Evaluation

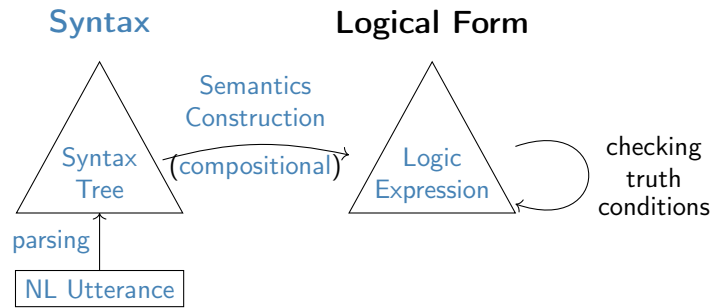
So let us evaluate what we have achieved so far:

### Fragment $\mathcal{F}_1$ – Summary

- ▷ Fragment  $\mathcal{F}_1$  of English (defined by grammar + lexicon)
- ▷ Logic  $\text{PL}^q$  (serves as a mathematical model for  $\mathcal{F}_1$ )
  - ▷ Formal Language (individuals, predicates,  $\neg, \wedge, \vee, \Rightarrow$ )
  - ▷ Semantics  $\mathcal{I}_\varphi$  defined recursively on formula structure ( $\leadsto$  validity, entailment)
  - ▷ Tableau calculus for validity and entailment (CALCULEMUS!)
- ▷ Analysis function  $\mathcal{F}_1 \leadsto \text{PL}^q$  (Translation)
- ▷ Test the model by checking predictions (calculate truth conditions)
- ▷ **Coverage:** Extremely Boring! (accounts for 0 examples from the intro) but the conceptual setup is fascinating

### Summary: The Interpretation Process (so far)

▷ **The Interpretation Process in  $\mathcal{F}_1$ :** Can be visualized in the following diagram:





## Chapter 5

# Fragment 2: Pronouns and World Knowledge $\leadsto$ Semantic/Pragmatic Analysis

In this chapter we will extend [fragment  \$\mathcal{F}\_1\$](#)  from last chapter with and [pronouns](#): We want to cover [discourses](#) like “*Peter loves Fido. Even though he bites him sometimes*”. As we already [observed](#) there, we crucially need a notion of context to determine the [meaning](#) of the [pronoun](#) during [semantic/pragmatic analysis](#), which we focus on here.

In particular, the example shows us that we will need to take into account [world knowledge](#) as a way to integrate [world knowledge](#) to filter out one interpretation/[reading](#), i.e. “*Humans don’t bite dogs.*”

For this purpose, we introduce a new [concept](#): the notion of a [tableau machine](#) that casts [semantic/pragmatic analysis](#) as an [inferential process](#).

### 5.1 Fragment 2: Pronouns and Anaphora

We start out with the new [data](#) we want to cover in this [fragment](#) and some [ideas](#) of all the things we need to adapt. Actually there that is only one new [sentence](#): The Peter/Fido [example](#) from the introduction of LBS.

Fragment  $\mathcal{F}_2$  ( $\mathcal{F}_2 \hat{=} \mathcal{F}_1 + \text{Anaphoric Pronouns}$ )

▷ **Want to cover:** “*Peter loves Fido. He bites him*”. (almost intro)

▷ **We need:** Translation and interpretation for pronouns like “*he*”, “*she*”, “*him*”, . . .

▷ **Also:** A way to integrate world knowledge to filter out one interpretation. (i.e. “*Humans don’t bite dogs.*”)

▷ **Idea:** Integrate variables into  $\text{PL}^q$  (work backwards from that)

▷ **Logical System:**  $\text{PL}^q(\mathcal{V}) = \text{PL}^q + \text{variables}$  (Translate pronouns to variables)

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For the [syntax](#), the necessary changes are quite minor as well. We need to extend the [grammar](#) from [fragment 1](#) by one new [phrasal category](#) and one [derivation rule](#):



## New Grammar in $\mathcal{F}_2$ (Pronouns)

▷ **Definition 5.1.1.** We have the following structural grammar rules in  $\mathcal{F}_2$

$$\begin{aligned} S1: S &\rightarrow NP, V^i, \\ S2: S &\rightarrow NP, V^t, NP, \\ N1: NP &\rightarrow N_{\text{pr}}, \\ N2: NP &\rightarrow \text{Pron}, \\ N3: NP &\rightarrow \text{the}, N, \\ S3: S &\rightarrow \text{it is not the case that}, S, \\ S4: S &\rightarrow S, \text{conj}, S, \\ S5: S &\rightarrow NP, \text{is}, NP, \\ S6: S &\rightarrow NP, \text{is}, \text{Adj} \end{aligned}$$

and one additional lexical rule:

$$L7: \text{Pron} \rightarrow he \mid she \mid it \mid we \mid they$$



We also have to adapt the logical system we want to translate into, and we do this by adding variables. Recall that variables denote arbitrary individuals and can be instantiated in inference-processes. That makes them seem suitable as a logical counterpart for pronouns.

The main idea here is to extend  $\text{PL}^q$  – the fragment of first-order logic we use as a model for natural language – to include free variables, and assume that pronouns like “he”, “she”, “it”, and “they” are translated to distinct free variables i.e. every occurrence of a pronoun to a new variable.

The mathematical development of  $\text{PL}^q(\mathcal{V})$  itself is rather simple: it extends  $\text{PL}^q$ , but stays a fragment of first-order logic, so we can get by with the methods developed for that.

Note that we do not allow quantifiers yet that will come in chapter 7, as quantifiers will pose new problems, and we can already solve some linguistically interesting problems without them.

## Predicate Logic with Variables (but no Quantifiers)

▷ **Definition 5.1.2 (Logical System  $\text{PL}^q(\mathcal{V})$ ).**  $\text{PL}^q(\mathcal{V}) := \text{PL}^q + \text{variables}$

▷ **Definition 5.1.3 ( $\text{PL}^q(\mathcal{V})$  Syntax).**

Category  $\mathcal{V} = \{X, Y, Z, X^1, X^2, \dots\}$  of variables (allow variables wherever individual constants were allowed)

▷ **Definition 5.1.4 ( $\text{PL}^q(\mathcal{V})$  Semantics).**

First-order model  $\mathcal{M} = \langle \mathcal{D}, \mathcal{I} \rangle$  (need to evaluate variables)

▷ variable assignment:  $\varphi: \mathcal{V}_i \rightarrow U$

▷ value function:  $\mathcal{I}_\varphi(X) = \varphi(X)$  (defined like  $\mathcal{I}$  elsewhere)

▷ call a  $\text{PL}^q(\mathcal{V})$  formula  $\mathbf{A}$  valid in  $\mathcal{M}$  under  $\varphi$ , iff  $\mathcal{I}_\varphi(\mathbf{A}) = \text{T}$ ,

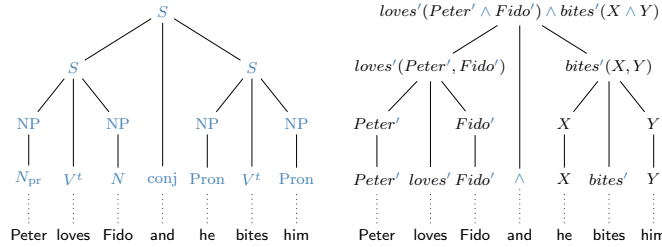
▷ call it satisfiable in  $\mathcal{M}$ , iff there is a variable assignment  $\varphi$ , such that  $\mathcal{I}_\varphi(\mathbf{A}) = \text{T}$



And now, the translation to  $\text{PL}^q(\mathcal{V})$  is again very simple:

### Translation for $\mathcal{F}_2$ (first attempt)

- ▷ **Idea:** Pronouns are translated into **new variables** (so far)
- ▷ **New Translation Rule:** We translate pronouns by the “rule”:  
 $T9: [X]_{\text{Pron}} \leadsto Y_{\text{new}}$ , where  $Y_{\text{new}}$  is a new **variable**.
- ▷ The **syntax/semantic trees** for “*Peter loves Fido and he bites him.*” are straightforward (almost intro)



Here we see how the **principle of compositionality** we impose on **semantics construction** makes our life easy: for every **syntax rule**, we need exactly one **translation rule** – here the one above.

## 5.2 Inference with World Knowledge and Free Variables – A Case Study

In  $\mathcal{F}_1$  we did not have a dedicated **semantic/pragmatic analysis** phase, but in  $\mathcal{F}_2$  we have **anaphoric pronouns** which need to be **resolved**. So we will start **experimenting** with **model generation tableaux** to see where this will go with respect to **anaphor resolution**.

### 5.2.1 Pragmatics via Model Generation Tableaux?

As we have established (see ???) that  $\text{PL}^q$  is isomorphic to  $\text{PL}^0$ , we can directly use the **propositional tableau calculus** for **deciding entailment** in  $\text{PL}^q$ . For  $\text{PL}^q(\mathcal{V})$ , we have to do more, especially, if we want to deal with **anaphora** and the **world knowledge** we have to use to process them. In particular we will have to extend our **tableau calculus** with new **inference rules** for the new **language** capabilities.

### A Tableau Calculus for $\text{PL}^q(\mathcal{V})$

- ▷ **Definition 5.2.1 (Tableau Calculus for  $\text{PL}^q(\mathcal{V})$ ).**  $\mathcal{T}_V^p = \mathcal{T}_0 +$  new **tableau rules** for **formulae** with **variables**

$$\frac{\begin{array}{c} \vdots \\ \mathbf{A}^\alpha \quad c \in \mathcal{H} \\ \vdots \end{array}}{([c/X](\mathbf{A}))^\alpha} \mathcal{T}_V^{pWK} \qquad \frac{\begin{array}{c} \vdots \\ \mathcal{H} = \{a_1, \dots, a_n\} \\ \text{free}(\mathbf{A}) = \{X_1, \dots, X_m\} \\ \boxed{\mathbf{A}} \end{array}}{(\sigma_1(\mathbf{A}))^\top \mid \dots \mid (\sigma_n(\mathbf{A}))^\top} \mathcal{T}_V^{pAna}$$

$\mathcal{H}$  is the set of ind. constants in the branch above (Herbrand universe)  
 and the  $\sigma_i$  are substitutions that instantiate the  $X_j$  with any combinations of the  $a_k$  (there are  $n^m$  of them).

- ▷ the first rule is used for world knowledge (up in the branch)
- ▷ the second rule is used for input logical forms ...  
 this rule has to be applied eagerly (while they are still at the leaf)

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We use free variables for two purposes in our new fragment: Free variables in the input stand for pronouns, their value will be determined by random instantiation. Free variables in the world knowledge allow us to express schematic knowledge. For instance, if we want to express “*Humans don’t bite dogs.*”, then we can do this by the formula  $\text{human}(X) \wedge \text{dog}(Y) \Rightarrow \neg \text{bites}(X, Y)$ .

Let us look at two examples: To understand the role of background knowledge we interpret “*Peter snores*” with respect to the knowledge that “*Only sleeping people snore*”.

To allow for world knowledge, we generalize the notion of an initial tableau. Instead of allowing only the initial labeled formula at the root node, we allow a linear tree whose nodes are labeled formulae with positive formulae representing the world knowledge. As the world knowledge resides in the initial tableau (intuitively before all input), we will also speak of background knowledge.

### Some Examples in $\mathcal{F}_2$

- ▷ **Example 5.2.2 (Peter snores).** (Only sleeping people snore)
 

$$\begin{array}{c}
 (\text{snores}(X) \Rightarrow \text{sleeps}(X))^{\top} \\
 \boxed{\text{snores}(\text{peter})} \\
 (\text{snores}(\text{peter}) \Rightarrow \text{sleeps}(\text{peter}))^{\top} \\
 \text{sleeps}(\text{peter})^{\top}
 \end{array}$$
- ▷ **Example 5.2.3 (Peter sleeps. John walks. He snores).** (who snores?)
 

$$\begin{array}{c}
 \boxed{\text{sleeps}(\text{peter})} \\
 \boxed{\text{walks}(\text{john})} \\
 \boxed{\text{snores}(X)} \\
 \text{snores}(\text{peter})^{\top} \mid \text{snores}(\text{john})^{\top}
 \end{array}$$

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The background knowledge is represented in the schematic formula in the first line of the tableau. Upon receiving the input, the tableau instantiates the schema to line three and uses the chaining rule from ??? to derive the fact that Peter must sleep.

The third input formula contains a free variable, which is instantiated by all constant in the Herbrand universe (two in our case). This gives rise to two Herbrand models that correspond to the two readings of the discourse.

Let us now look at an example with more realistic background knowledge. Say we know that birds fly, if they are not penguins. Furthermore, eagles and penguins are birds, but eagles are not penguins. Then we can answer the classic question “*Does Tweety fly?*” by the following two

tableaux.

### Does Tweety Fly? The everlasting Question in AI

▷ **Example 5.2.4.**

“Tweety is a bird”

$$\begin{array}{c}
 (\text{bird}(X) \Rightarrow (\text{flies}(X) \vee \text{penguin}(X)))^T \\
 (\text{penguin}(X) \Rightarrow \neg \text{flies}(X))^T \\
 \boxed{\text{bird}(\text{tweety})} \\
 (\text{flies}(\text{tweety}) \vee \text{penguin}(\text{tweety}))^T \\
 \text{flies}(\text{tweety})^T \mid \text{penguin}(\text{tweety})^T \\
 \quad \neg \text{flies}(\text{tweety})^T \\
 \quad \text{flies}(\text{tweety})^F
 \end{array}$$

“Tweety is an eagle”

$$\begin{array}{c}
 (\text{bird}(X) \Rightarrow (\text{flies}(X) \vee \text{penguin}(X)))^T \\
 (\text{eagle}(X) \Rightarrow \text{bird}(X))^T \\
 (\text{penguin}(X) \Rightarrow \neg \text{eagle}(X))^T \\
 (\text{penguin}(X) \Rightarrow \neg \text{flies}(X))^T \\
 \boxed{\text{eagle}(\text{tweety})} \\
 \text{bird}(\text{tweety})^T \\
 (\text{flies}(\text{tweety}) \vee \text{penguin}(\text{tweety}))^T \\
 \text{flies}(\text{tweety})^T \mid \text{penguin}(\text{tweety})^T \\
 \quad (\neg \text{eagle}(\text{tweety}))^T \\
 \quad \text{eagle}(\text{tweety})^F \\
 \quad \perp
 \end{array}$$

▷ For the second we need to add more world knowledge.

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### 5.2.2 Case Study: Peter loves Fido, even though he sometimes bites him

Let us now return to the motivating example from the introduction, and see how our system fares with it (this allows us to test our computational/linguistic theory). We will do this in a completely naive manner and see what comes out, and worry about the theory in the next subsection.

The first problem we run into immediately is that we do not know how to cope with “*even though*” and “*sometimes*”, so we simplify the discourse to “*Peter loves Fido and he bites him.*”.

### Finally: “Peter loves Fido. He bites him.”

▷ Let’s try it naively (worry about the problems later.)

$$\begin{array}{c}
 \boxed{l(p, f)} \\
 \boxed{b(X, Y)} \\
 b(p, p)^T \mid b(p, f)^T \mid b(f, p)^T \mid b(f, f)^T
 \end{array}$$

▷ **Problem:** We get four readings instead of one!

▷ **Idea:** We have not specified enough world knowledge.

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The next problem is obvious: We get four readings instead of one (or two)! What has happened? If we look at the models, we see that we did not even specify the background knowledge that was supposed filter out the one intended reading.

We try again with the additional **knowledge** that “*Nobody bites himself*” and “*Humans do not bite dogs*”.

### Peter and Fido with World Knowledge

---

▷ Nobody bites himself, humans do not bite dogs.

$$\begin{array}{c}
 d(f)^T \\
 m(p)^T \\
 b(X, X)^F \\
 (d(X) \wedge m(Y) \Rightarrow \neg b(Y, X))^T \\
 \boxed{l(p, f)} \\
 \boxed{b(X, Y)} \\
 \begin{array}{ccc}
 \begin{array}{c} b(p, p)^T \\ b(p, p)^F \\ \perp \end{array} & \begin{array}{c} b(p, f)^T \\ (d(f) \wedge m(p) \Rightarrow \neg b(p, f))^T \\ b(p, f)^F \\ \perp \end{array} & \begin{array}{c} b(f, p)^T \\ b(f, f)^T \\ b(f, f)^F \\ \perp \end{array}
 \end{array}
 \end{array}$$

▷ **Observation:** Anaphor resolution introduces ambiguities.

▷ **Pragmatics:** Use world knowledge to filter out impossible readings.


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We **observe** that our extended **tableaucalculus** was indeed able to handle this example, if we only give it enough **background knowledge** to act upon.

But the **world knowledge** we can express in  $PE^q(\mathcal{V})$  is very limited. We can say that humans do not bite dogs, but we cannot provide the **background knowledge** to understand a **sentence** like “*Peter was late for class today, the car had a flat tire.*”, which needs **knowledge** like “*Every car has wheels, which have a tire.*” and “*if a tire is flat, the car breaks down.*”, which is outside the realm of  $PE^q(\mathcal{V})$ .

### 5.2.3 The Computational Role of Ambiguities

In the **case study** above we have seen that **anaphor resolution** introduces **ambiguities**, and we can use **world knowledge** to filter out impossible **readings**. Generally in the traditional **waterfall model** of **language processing** – which posits that **NL understanding** is a **process** that analyzes the input in stages: **syntax**, **semantics construction**, **pragmatics** – every **processing** stage introduces **ambiguities** that need to be **resolved** in this stage or later.

### The computational Role of Ambiguities

---

▷ **Observation:** (in the traditional waterfall model)  
Every **processing** stage introduces **ambiguities** that need to be **resolved**.

- ▷ **Syntax:** e.g. “*Peter chased the man in the red sports car*” (attachment)
- ▷ **Semantics:** e.g. “*Peter went to the bank*” (lexical)
- ▷ **Pragmatics:** e.g. “*Two men carried two bags*” (collective vs. distributive)

▷ **Question:** Where does **pronoun ambiguity** belong? (much less clear)

▷ **Answer:** we have freedom to choose

|                                                          |                           |
|----------------------------------------------------------|---------------------------|
| 1. resolve the pronouns in the syntax                    | (generic waterfall model) |
| $\leadsto$ multiple syntactic representations            | (pragmatics as filter)    |
| 2. resolve the pronouns in the pragmatics                | (our model here)          |
| $\leadsto$ need underspecified syntactic representations | (e.g. variables)          |
| $\leadsto$ pragmatics needs ambiguity treatment          | (e.g. tableaux)           |

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For pronoun ambiguities, this is much less clear. In a way we have the freedom to choose. We can

1. resolve the pronouns in the syntax as in the generic waterfall model, then we arrive at multiple syntactic representations, and can use pragmatics as filter to get rid of unwanted readings
2. resolve the pronouns in the pragmatics (our model here) then we need underspecified syntactic representations (e.g. variables) and pragmatics needs ambiguity treatment (in our case the tableaux).

We will continue to explore the second alternative in more detail, and refine the approach. One of the advantages of treating the anaphoric ambiguities in the syntax is that syntactic agreement information like gender can be used to disambiguate. Say that we vary the example from subsection 5.2.2 to “*Peter loves Mary. She loves him.*”.

### Translation for Fragment $\mathcal{F}_2$ Reconsidered

▷ **Idea:** Pronouns are translated into new variables. (so far)

▷ **Problem:** “*Peter loves Mary. She loves him.*”

$$\begin{array}{c} \boxed{\text{loves}(\text{peter}, \text{mary})} \\ \boxed{\text{loves}(X, Y)} \end{array}$$

$$\text{loves}(\text{peter}, \text{peter})^\top \mid \text{loves}(\text{peter}, \text{mary})^\top \mid \text{loves}(\text{mary}, \text{peter})^\top \mid \text{loves}(\text{mary}, \text{mary})^\top$$

▷ **Idea:** Attach world knowledge to pronouns. (just as with Peter and Fido)

    ▷ Use the world knowledge to distinguish (linguistic) gender by predicates masc and fem.

▷ **Problem:** Properties of

    ▷ proper names are given in the model,

    ▷ pronouns must be given by the syntax-semantics interface.

▷ **In particular:** How to generate  $\text{loves}(X, Y) \wedge \text{masc}(X) \wedge \text{fem}(Y)$  compositionally?

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The tableau (over)-generates the full set of pronoun readings. At first glance it seems that we can fix this just like we did in subsection 5.2.2 by attaching world knowledge to pronouns, just as with Peter and Fido. Then we could use the world knowledge to distinguish gender by predicates, say masc and fem.

But if we look at the whole picture of building a system, we can see that this idea will not work. The problem is that properties of proper names like Fido are given in the background knowledge, whereas the relevant properties of pronouns must be given by the syntax-semantics interface. Concretely, we would need to generate  $\text{loves}(X, Y) \wedge \text{masc}(X) \wedge \text{fem}(Y)$  for “*She loves him.*”. How can we do such a thing compositionally?

Again we basically have two options, we can either design a clever **syntax-semantics interface**, or we can follow the lead of Montague semantics and extend the **logic**, so that **compositionality** becomes simpler to **achieve**. We will explore the latter option in the next section. The problem we stumbled across in the last section is how to associate certain **properties** (in this case **agreement information**) with **variables compositionally**. Fortunately, there is a ready-made **logical theory** for it. **Sorted first-order logic**. Actually there are various **sorted first-order logics**, but we will only need the simplest one for our **application** at the moment. Sorted first-order logic extends the language with a set  $\mathcal{S}$  of **sorts**  $\mathbb{A}, \mathbb{B}, \mathbb{C}, \dots$ , which are just special symbols that are attached to all terms in the language.

Syntactically, all constants, and variables are assigned sorts, which are annotated in the lower index, if they are not clear from the context. Semantically, the universe  $\mathcal{D}$  is subdivided into subsets  $\mathcal{D}_{\mathbb{A}} \subseteq \mathcal{D}$ , which denote the objects of sort  $\mathbb{A}$ ; furthermore, the interpretation function  $\mathcal{I}$  and variable assignment  $\varphi$  have to be **well sorted**. Finally, on the calculus level, the only change we have to make is to restrict instantiation to well-sorted **substitutions**:

### Sorts refine World Categories

- ▷ **Definition 5.2.5 (Sorted Logics).** (in our case  $PL_S^1$ )  
Assume a set of **sorts**  $\mathcal{S} := \{\mathbb{A}, \mathbb{B}, \mathbb{C}, \dots\}$ , annotate every syntactic and semantic structure with **them**. Make all constructions and operations **well worted**:
  - ▷ **Syntax**: Variables and constants are sorted  $X_{\mathbb{A}}, Y_{\mathbb{B}}, Z_{\mathbb{C}_1}^1, \dots, a_{\mathbb{A}}, b_{\mathbb{A}}, \dots$
  - ▷ **Semantics**: Subdivide the universe  $\mathcal{D}$  into subsets  $\mathcal{D}_{\mathbb{A}} \subseteq \mathcal{D}$   
Interpretation  $\mathcal{I}$  and variable assignment  $\varphi$  have to be well-sorted.  $\mathcal{I}(a_{\mathbb{A}}), \varphi(X_{\mathbb{A}}) \in \mathcal{D}_{\mathbb{A}}$ .
  - ▷ **Calculus**: **Substitutions** must be well sorted  $[a_{\mathbb{A}}/X_{\mathbb{A}}]$  OK,  $[a_{\mathbb{A}}/X_{\mathbb{B}}]$  not.
- ▷ **Observation**: Sorts do not add expressivity in principle (just practically) For every sort  $\mathbb{A}$ , we introduce a first-order predicate  $\mathcal{R}_{\mathbb{A}}$  and
  - ▷ Translate  $R(X_{\mathbb{A}}) \wedge \neg P(Z_{\mathbb{C}})$  to  $\mathcal{R}_{\mathbb{A}}(X) \wedge \mathcal{R}_{\mathbb{C}}(Z) \Rightarrow R(X) \wedge \neg P(Z)$  in **world knowledge**.
  - ▷ Translate  $R(X_{\mathbb{A}}) \wedge \neg P(Z_{\mathbb{C}})$  to  $\mathcal{R}_{\mathbb{A}}(X) \wedge \mathcal{R}_{\mathbb{C}}(Z) \wedge R(X, Y) \wedge \neg P(Z)$  in **input**.
  - ▷ **Meaning** is preserved, but translation is **non-compositional**!

## 5.3 Tableaux and Model Generation

Now that we have seen that using tableaux in model generation mode – i.e. decorate the initial formula with **T** and see what branches develop – let us supply some of the theory after the fact, and clean up all the details that have been missing.

The main result of this section is the a tableau machine – an online inferential process for natural language interpretation – that we will develop further as a model for semantic/pragmatic analysis in this course.

### 5.3.1 Tableau Branches and Herbrand Models

We have claimed above that the set of **literals** in **open saturated tableau branches** corresponds to a **model**. To gain an intuition, we will study our example above,

### Model Generation and Interpretation

▷ **Example 5.3.1 (from above).** In ??? we claimed that the set

$$\mathcal{B} := \{\text{loves}(\text{john}, \text{mary})^F, \text{loves}(\text{mary}, \text{bill})^T\}$$

of literals on the open branch of the tableau  $\mathcal{T}$  below

$$\begin{array}{c|c} (\text{loves}(\text{mary}, \text{bill}) \vee \text{loves}(\text{john}, \text{mary}))^T & \\ \text{loves}(\text{john}, \text{mary})^F & \\ \text{loves}(\text{mary}, \text{bill})^T & \text{loves}(\text{john}, \text{mary})^T \\ \hline & \perp \end{array}$$

constitutes a “model”.

(it can be conveniently read off)

▷ **Recap:** A first-order model  $\mathcal{M}$  is a pair  $\langle \mathcal{D}, \mathcal{I} \rangle$ , where  $\mathcal{D}$  is a set of individuals, and  $\mathcal{I}$  is an interpretation function.

▷ **Problem:** Find  $\mathcal{D}$  and  $\mathcal{I}$  based on  $\mathcal{B}$ .



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So the first task is to find a domain  $\mathcal{D}$  of interpretation. Our formula mentions “*Mary*”, “*John*”, and “*Bill*”, which we assume to refer to distinct individuals so we need (at least) three individuals in the domain; so let us take  $\mathcal{D} := \{A, B, C\}$  and fix  $\mathcal{I}(\text{mary}) = A$ ,  $\mathcal{I}(\text{bill}) = B$ ,  $\mathcal{I}(\text{john}) = C$ .

So the only task is to find a suitable interpretation for the predicate *loves* that makes *loves*(john, mary) false and *loves*(mary, bill) true. This is simple: we just take  $\mathcal{I}(\text{loves}) = \{\langle A, B \rangle\}$ . Indeed we have

$$\mathcal{I}_\varphi(\text{loves}(\text{mary}, \text{bill}) \vee \text{loves}(\text{john}, \text{mary})) = T$$

but  $\mathcal{I}_\varphi(\text{loves}(\text{john}, \text{mary})) = F$  according to the rules in<sup>1</sup>.

### Model Generation and Models

▷ **Idea:** Choose the universe  $\mathcal{D}$  as the set  $\Sigma_0^f$  of constants, choose  $\mathcal{I} = \text{Id}_{\Sigma_0^f}$ , interpret  $p \in \Sigma_k^p$  as  $\mathcal{R}_\mathcal{B}(p) := \{\langle a_1, \dots, a_k \rangle \mid p(a_1, \dots, a_k)^T \in \mathcal{B}\}$ .

▷ **Definition 5.3.2.** We call a model a **Herbrand model**, iff  $\mathcal{D} = \Sigma_0^f$  and  $\mathcal{I} = \text{Id}_{\Sigma_0^f}$ .

▷ **Definition 5.3.3.** Let  $\mathcal{H}$  be a set of atomic propositions such that  $A^F \notin \mathcal{H}$ , if  $A^T \in \mathcal{H}$ , then we call  $\mathcal{H}$  a **Herbrand valuation**.

▷ **Lemma 5.3.4.** Let  $\mathcal{H}$  be a Herbrand valuation, then setting  $\mathcal{I}(p) := \mathcal{R}_\mathcal{H}(p)$  yields a Herbrand model that satisfies  $\mathcal{H}$ . (proof trivial)

▷ **Corollary 5.3.5.** Let  $\mathcal{H}$  be a Herbrand valuation, then there is a Herbrand model that satisfies  $\mathcal{H}$ . (use  $\mathcal{R}_\mathcal{H}$ )



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In particular, the literals of an open saturated tableau branch  $\mathcal{B}$  are a Herbrand model  $\mathcal{H}$ , as we have convinced ourselves above. By inspection of the inference rules above, we can further convince ourselves, that  $\mathcal{H}$  satisfies all formulae on  $\mathcal{B}$ . We must only check that if  $\mathcal{H}$  satisfies the

<sup>1</sup>EDNOTE: crossref



succedents of the rule, then it satisfies the antecedent (which is immediate from the semantics of the principal [connectives](#)).

In particular,  $\mathcal{H}$  is a model for the root formula of the tableau, which is on  $\mathcal{B}$  by construction. So the tableau procedure is also a procedure that generates explicit ([Herbrand](#)) [models](#) for the [root literal](#) of the [tableau](#). Every [branch](#) of the [tableau](#) corresponds to a (possibly) different [Herbrand model](#). We will use this observation in the next section in an application to [natural language semantics](#).

### 5.3.2 Using Model Generation for Interpretation

We will now use [model generation](#) directly as a tool for [discourse](#) interpretation. To do so, we will have to go beyond just looking at [model generation calculi](#) and extend this to an inference-driven processing model: the tableau machine. But first we look for the motivation for this from [cognitive science](#).

#### Using Model Generation for Interpretation

- ▷ **Definition 5.3.6.** [Mental model theory](#) [JL83; JLB91] posits that humans form [mental models](#) of the world, i.e. (neural) representations of possible states of the world that are consistent with the perceptions up to date and use them to reason about the world.
- ▷ **So** communication by [natural language](#) is a process of transporting parts of the [mental model](#) of the speaker into the [mental model](#) of the hearer.
- ▷ **Therefore** the NL interpretation process on the part of the hearer is a process of integrating the [meaning](#) of the [utterances](#) of the speaker into his [mental model](#).
- ▷ **Idea:** We can model [discourse](#) understanding as a process of generating [Herbrand models](#) for the [logical form](#) of an [utterance](#) in a [discourse](#) by a [tableau](#) based [model generation](#) procedure.
- ▷ **Advantage:** Capturing [ambiguity](#) by generating multiple models for input [logical forms](#).

#### Tableau Machine

- ▷ **Definition 5.3.7.** The [tableau machine](#) is an inferential cognitive model for [incremental natural language understanding](#) that [implements mental model theory](#) via [tableau](#) based [model generation](#) over a sequence of [input sentences](#).  
It iterates the following process for every [input sentence](#) starting with the empty [tableau](#):
1. add the [logical form](#) of the [input sentence](#)  $S_i$  to the selected branch,
  2. perform tableau inferences below  $S_i$  until saturated or some resource criterion is met
  3. if there are open branches choose a “preferred branch”, otherwise [backtrack](#) to previous tableau for  $S_j$  with  $j < i$  and open branches, then re-process  $S_{j+1}, \dots, S_i$  if possible, else fail.

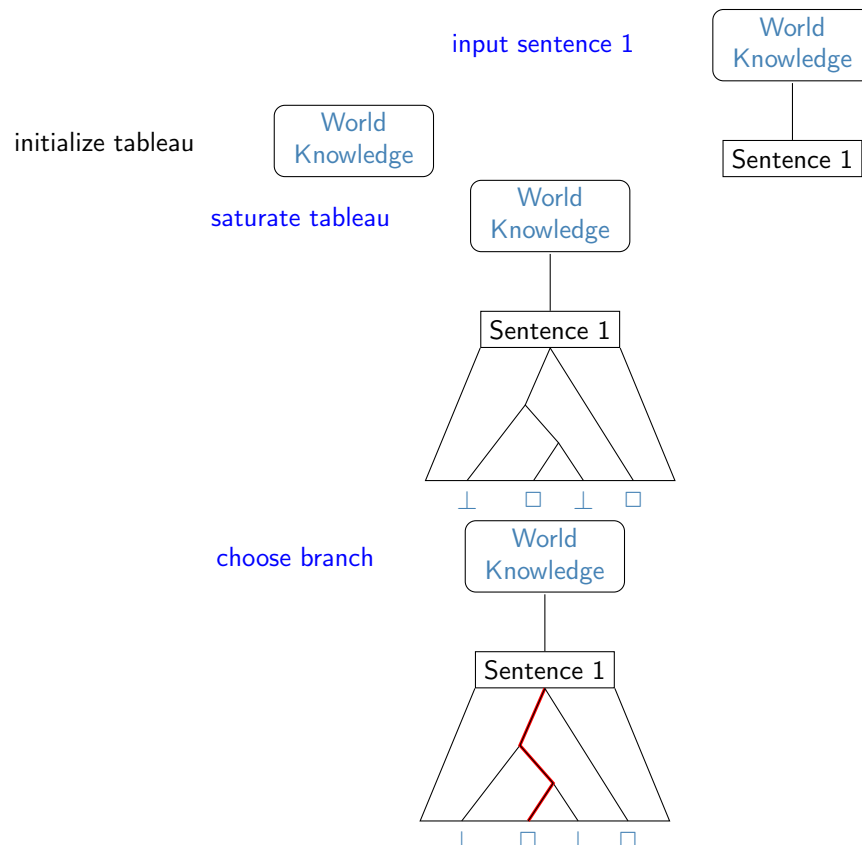
The output is application-dependent; some choices are

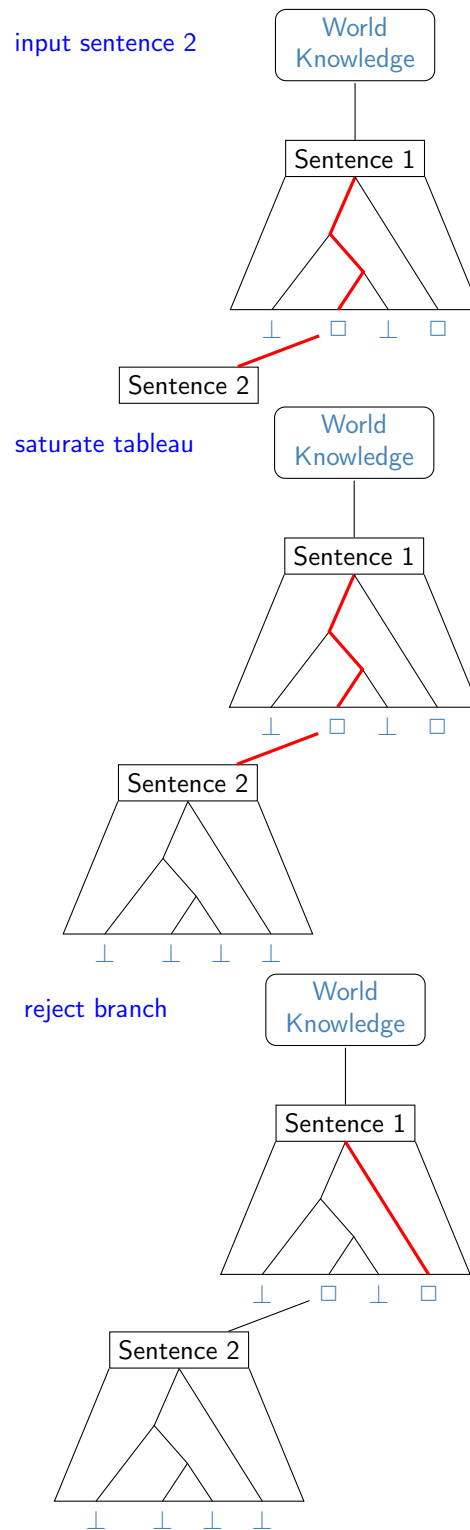
- ▷ the **Herbrand model** for the preferred branch  $\leadsto$  **preferred interpretation**;
- ▷ the **literals** augmented with all non-expanded formulae (from the **discourse**); (resource-bound was reached)
- ▷ **Tableau machine** answers **user queries** (preferred model  $\models$  query?)
- ▷ **Interpretation mode** via **model generation** (guided by resources and strategies)
- ▷ **Query mode** by **refutation theorem proving** ( $\square$  for side conditions; using tableau rules)

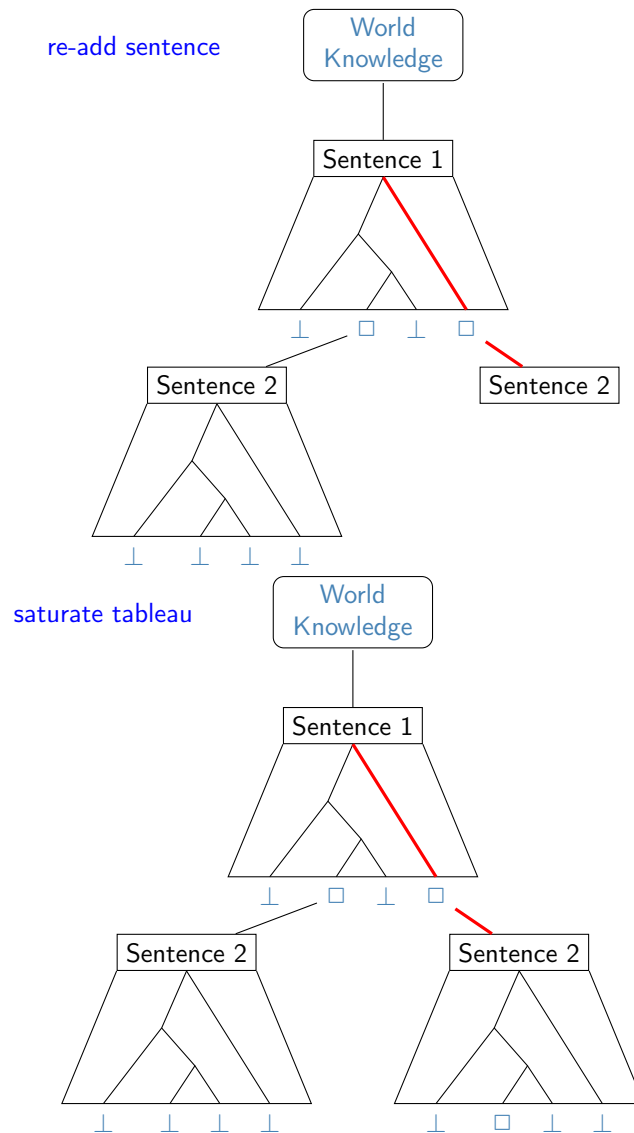
Concretely, we treat **discourse** understanding as an online process that receives as input the **logical forms** of the **sentences** of the **discourse** one by one, and maintains a tableau that represents the current set of alternative models for the **discourse**. Since we are interested in the internal state of the machine (the current tableau), we do not specify the output of the **tableau machine**. We also assume that the **tableau machine** has a mechanism for choosing a preferred model from a set of open branches and that it maintains a set of deferred branches that can be re-visited, if extension of the preferred model fails.

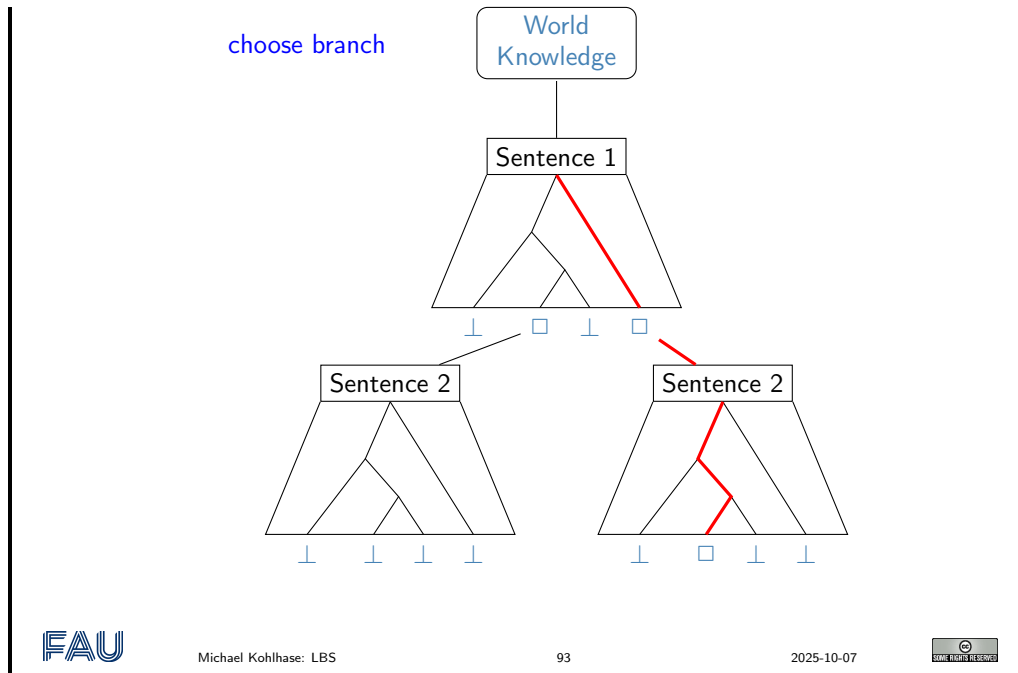
### The Tableau Machine in Model Generation Mode

- ▷ **Example 5.3.8.** The **tableau machine** in action (**query mode** on two **sentences**).









Upon input, the **tableau machine** appends the given **logical form** as a **leaf** to the preferred branch. The machine then saturates the current tableau branch, exploring the set of possible models for the sequence of input **sentences**. If the subtableau generated by this saturation process contains open branches, then the machine chooses one of them as the preferred model, marks some of the other open branches as deferred, and waits for further input. If the saturation yields a closed sub-tableau, then the machine **backtracks**, i.e. selects a new preferred branch from the deferred ones, appends the input **logical form** to it, **saturates**, and tries to choose a preferred branch. **Backtracking** is repeated until successful, or until some termination criterion is met, in which case **discourse** processing fails altogether.

After discussing the general operation of the **tableau machine**, let us now come to a concrete **linguistic** example to see whether it behaves as we expect from a semantic/pragmatic analysis method.

The example we consider below is challenging for most **NLU** pipelines, since it combines **syntactic** and **pragmatic ambiguity**.

## Two (Syntactical) Readings

### ▷ Example 5.3.9 (A syntactically **ambiguous sentence**).

*“Peter loves Mary and Mary sleeps or Peter snores”.*

**Reading 1:**  $\text{loves}(\text{peter}, \text{mary}) \wedge (\text{sleeps}(\text{mary}) \vee \text{snores}(\text{peter}))$

**Reading 2:**  $\text{loves}(\text{peter}, \text{mary}) \wedge \text{sleeps}(\text{mary}) \vee \text{snores}(\text{peter})$

Consider the first **reading**, start out with the empty **tableau** for simplicity, even though this is cognitively implausible.

$$\begin{array}{c}
 \boxed{\text{loves}(\text{peter}, \text{mary}) \wedge (\text{sleeps}(\text{mary}) \vee \text{snores}(\text{peter}))} \\
 \text{loves}(\text{peter}, \text{mary})^T \\
 (\text{sleeps}(\text{mary}) \vee \text{snores}(\text{peter}))^T \\
 \text{sleeps}(\text{mary})^T \mid \text{snores}(\text{peter})^T
 \end{array}$$

▷ **Observation:** We have two models, so we have a case of **pragmatic ambiguity**.



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We see that **model generation** gives us two models; in both Peter loves Mary, in the first, Mary sleeps, and in the second one Peter snores. If we get a logically different input, e.g. the second reading in Example 5.3.9, then we obtain different models.

### The other (Syntactical) Reading

|                                                               |                            |
|---------------------------------------------------------------|----------------------------|
| loves(peter, mary) $\wedge$ sleeps(mary) $\vee$ snores(peter) |                            |
| (loves(peter, mary) $\wedge$ sleeps(mary)) <sup>T</sup>       | snores(peter) <sup>T</sup> |
| loves(peter, mary) <sup>T</sup>                               |                            |
| sleeps(mary) <sup>T</sup>                                     |                            |



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In a **discourse** understanding system, both readings have to be considered in parallel, since they pertain to a genuine **ambiguity**. The strength of our tableau-based procedure is that it keeps the different readings around, so they can be acted upon later.

Note furthermore, that the overall (syntactical and semantic) **ambiguity** is not as bad as it looks: the left models of both readings are identical, so we only have three semantic readings not four.

### Continuing the Discourse

▷ **Example 5.3.10.** “*Peter does not love Mary*”.

Then the second tableau would be extended to

|                                                               |                            |
|---------------------------------------------------------------|----------------------------|
| loves(peter, mary) $\wedge$ sleeps(mary) $\vee$ snores(peter) |                            |
| (loves(peter, mary) $\wedge$ sleeps(mary)) <sup>T</sup>       | snores(peter) <sup>T</sup> |
| loves(peter, mary) <sup>T</sup>                               |                            |
| sleeps(mary) <sup>T</sup>                                     |                            |
| $\neg$ loves(peter, mary)                                     |                            |
| loves(peter, mary) <sup>F</sup>                               |                            |
| $\perp$                                                       |                            |
|                                                               | $\neg$ loves(peter, mary)  |

and the first tableau closes altogether.

▷ In effect the choice of models has been reduced to one, which constitutes the intuitively correct reading of the **discourse**.



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## 5.3.3 Adding Equality to PLNQ for Fragment 1

We will now extend  $\text{PLN}^q$  by **equality**, which is a very important **relation** in **natural language** – and a liability from  $\mathcal{F}_1$ : remember the **translation rule**

$$T7: [X_{NP}, \text{is}, Y_{NP}]_S \rightsquigarrow X' = Y'$$

which we conveniently forgot because  $\text{PLN}^q$  did not have **equality**? We fix this now.

Generally, extending a logic with a new **logical constant** equality is counted as a **logical constant**, since its semantics is fixed in all models involves extending all three components of the logical system: the language, semantics, and the **calculus**.

### PL<sub>NQ</sub><sup>=</sup>: Adding Equality to PL<sup>NQ</sup>

- ▷ **Syntax:** Just another binary predicate constant =
- ▷ **Semantics:** Fixed as  $\mathcal{I}_\varphi(a = b) = \top$ , iff  $\mathcal{I}_\varphi(a) = \mathcal{I}_\varphi(b)$ . (logical constant)
- ▷ **Definition 5.3.11 (Tableau Calculus  $\mathcal{T}_{NQ}^=$ ).** Add two additional inference rules (a positive and a negative) to  $\mathcal{T}_0$

$$\frac{a \in \mathcal{H}}{a = a} \mathcal{T}_{NQ}^{\text{sym}} \qquad \frac{a = b^\top \quad \mathbf{A}[a]_p^\alpha}{[b/p]\mathbf{A}^\alpha} \mathcal{T}_{NQ}^{\text{rep}}$$

where

- ▷  $\mathcal{H} \hat{=}$  the **Herbrand universe**, i.e. the set of **constants** occurring on the **branch**.
- ▷ we write  $\mathbf{C}[A]_p$  to indicate that  $\mathbf{C}|_p = \mathbf{A}$  ( $\mathbf{C}$  has subterm  $\mathbf{A}$  at position  $p$ ).
- ▷  $[A/p]\mathbf{C}$  is obtained from  $\mathbf{C}$  by replacing the subterm at **position**  $p$  with  $\mathbf{A}$ .
- ▷ **Note:** We could have equivalently written  $\mathcal{T}_{NQ}^{\text{sym}}$  as  $\frac{a = a^\top}{\perp}$ :  
With  $\mathcal{T}_{NQ}^{\text{sym}}$  conjure  $a = a^\top$  from thin air, use it to close  $a = a^\top$ .
- ▷ **So, ...**  $\mathcal{T}_{NQ}^{\text{sym}}$  and  $\mathcal{T}_{NQ}^{\text{rep}}$  follow the pattern of having a **T** and a **F** rule per logical constant.

If we use the simple **translation** of **definite descriptions** from **fragment  $\mathcal{F}_1$** , where the **phrase** “*the teacher*” translates to a **concrete individual constant**, then we can interpret (??) as (??).

### Reading Comprehension Example: Mini TOEFL test

- ▷ **Example 5.3.12 (Reading Comprehension).** If you hear/read “*Mary is the teacher. Peter likes the teacher.*”, do you **know** whether “*Peter likes Mary*”?
- ▷ **Idea:** Interpret via **tableau machine** (**interpretation mode**) and **test entailment** in **query mode**.
- ▷ **Interpretation:** Feed  $\Phi_1 := \text{mary} = \text{the\_teacher}$  and  $\Phi_2 := \text{likes}(\text{peter}, \text{the\_teacher})$  to the **tableau machine** in turn. **Model generation tableau** (nothing to do on these inputs)

$$\begin{array}{|l|} \hline \text{mary} = \text{the\_teacher} \\ \hline \text{likes}(\text{peter}, \text{the\_teacher}) \\ \hline \end{array}$$

- ▷ **Question Answering:** Use the **tableau machine** in **query mode** for an “**entailment**”

test": Label  $\varphi := \text{likes}(\text{peter}, \text{mary})$  with F and saturate.

|                                         |
|-----------------------------------------|
| mary = the _teacher                     |
| likes(peter, the _teacher)              |
| likes(peter, mary) <sup>F</sup>         |
| likes(peter, the _teacher) <sup>F</sup> |
| ⊥                                       |

Indeed, it closes, so  $\Phi_1, \Phi_2 \models \varphi \rightsquigarrow$  "yes, *Peter likes Mary*".

▷ **Note:** The part marked in double vertical lines is removed from the tableau after answering. (do not mess up the tree/models)



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## 5.4 Summary & Evaluation

So let us evaluate what we have achieved in the new, extended fragment.

### Fragment $\mathcal{F}_2$ – Summary

- ▷ Fragment  $\mathcal{F}_2$  extends  $\mathcal{F}_1$  by pronouns.
- ▷ Logic/translation extended correspondingly:
  - ▷ Equality (actually already needed for  $\mathcal{F}_1$ )
  - ▷ Variables as underspecified representations for anaphoric pronouns.
- ▷ New NLU component: semantic/pragmatic analysis
  - ▷ Tableau machine as an inferential model for pronoun resolution.
  - ▷ Uses world knowledge to augment/prune models.
- ▷ **Coverage:** Still relatively limited (accounts for 1 example from the intro)



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### Model Generation models Discourse Understanding

- ▷ The tableau machine algorithm conforms with psycholinguistic findings:
  - ▷ Zwaan& Radvansky [ZR98]: listeners not only represent logical form, but also models containing referents.
  - ▷ deVega [de 95]: online, incremental process.
  - ▷ Singer [Sin94]: enriched by background knowledge.
  - ▷ Glenberg et al. [GML87]: major function is to provide basis for anaphor resolution.



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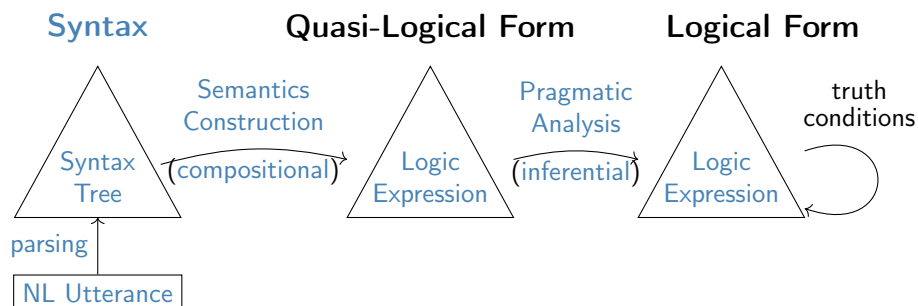


## Towards a Performance Model for NLU

- ▷ **Problem:** The **tableau machine** is only a **competence model**.
- ▷ **Definition 5.4.1.** A **competence model** is a **meaning theory** that delineates a space of possible **discourses**. A **performance model** delineates the **discourses** actually used in communication. (after [Cho65])
- ▷ **Idea:** We need to guide the **tableau machine** in which inferences and branch choices it performs.
- ▷ **Idea:** Each tableau rule comes with rule costs.
  - ▷ **Here:** each **sentence** in the **discourse** has a fixed inference budget. Expansion until budget used up.
  - ▷ **Ultimately** we want bounded optimization regime [Rus91]: Expansion as long as expected gain in model quality outweighs proof costs
- ▷ **Effect:** Expensive rules are rarely applied. (only if the promise great rewards)
- ▷ **⚠** Finding appropriate values for rule costs and model quality is an open problem.

## Summary: The Full Interpretation Process

- ▷ **Full Interpretation Process:** In  $\mathcal{F}_2$  we have extended the **interpretation process** by **semantic/pragmatic analysis**, so we arrive at:



## Chapter 6

# Fragment 3: Complex Verb Phrases

With the setup of the method of fragments in [fragment  \$\mathcal{F}\_2\$](#)  and its [tableau machine](#) for [semantic/pragmatic analysis](#) complete, we now extend it to cover more interesting syntactical structures. The main new feature will be to significantly extend the [logical system](#) so that it can cope with the [composition](#) problem identified in ???.

### 6.1 Fragment 3 (Handling Verb Phrases)

#### $\mathcal{F}_3$ : New Data (Verb Phrases)

---

▷ New [Data](#): in  $\mathcal{F}_3$ .

1. "*Ethel howled and screamed.*"
2. "*Ethel kicked the dog and poisoned the cat.*"
3. "*Fiona liked Jo and loathed Ethel and tolerated Prudence.*"
4. "*Fiona kicked the cat and laughed.*"
5. "*Bertie didn't laugh.*"
6. "*Bertie didn't laugh and didn't scream.*"
7. "*Bertie didn't laugh or scream.*"
8. "*Bertie didn't laugh or kick the dog.*"
9. \* "*Bertie didn't didn't laugh.*"

▷ We extend  $\mathcal{F}_2$ . (no feature interaction)

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The main extension of the [fragment](#) is the introduction of the new [phrasal category](#)  $VP$ , we have to interpret.

#### New Grammar in Fragment $\mathcal{F}_3$ (Verb Phrases)

---

▷ To account for the [syntax](#) we come up with the [concept](#) of a [verb phrase](#) (VP)

▷ **Definition 6.1.1.** A [verb phrase](#) is any [phrase](#) that can be used ([syntactically](#)) wherever a [verb](#) can be.

- ▷ **Example 6.1.2.** The phrase “*tolerated Prudence*” is like “*slept*” (syntactically)
- ▷ **Idea:** Allow verb phrases ( $VP$  in the grammar wherever we had intransitive verbs ( $V^i$ ) before.
- ▷ **Problem:** The obvious rule  $VP \rightarrow$  didn’t  $VP$  over-generates: it accepts \* “*Bertie didn’t laugh*.” (note the infinitive)
- ▷ **Definition 6.1.3.** A verb is called **finite**, iff it contextually complements either an explicit **subject** or – in the **imperative mood** – an implicit **subject**.
- ▷ **Observation:** Finite verbs are **inflected**.
- ▷ **Definition 6.1.4.** **Non-finite verbs**, are verb forms that do not show **tense**, **person**, or **number**.
- ▷ **Idea:** We will use features  $+fin$  for **finite**,  $-fin$  for **non-finite** in **grammar rules**, and  $\pm fin$  for schemata.

Intuitively, **verb phrases** denote **functions** that can be **applied** to the **NP meanings** (rule 1 below). Complex  $VP$  functions can be constructed from simpler ones by NL **coordinators** acting as **functional operators**.

### New Grammar in Fragment $\mathcal{F}_3$ (Verb Phrases)

- ▷ **Definition 6.1.5.**  $\mathcal{F}_3$  has the following **rules**:

|     |                |      |               |                                           |
|-----|----------------|------|---------------|-------------------------------------------|
| S1. | $S$            | $!:$ | $\rightarrow$ | $NP VP_{+fin}$                            |
| S2. | $S$            | $!:$ | $\rightarrow$ | $S \text{ conj } S$                       |
| V1. | $VP_{\pm fin}$ | $!:$ | $\rightarrow$ | $V_{\pm fin}^i$                           |
| V2. | $VP_{\pm fin}$ | $!:$ | $\rightarrow$ | $V_{\pm fin}^t NP$                        |
| V3. | $VP_{\pm fin}$ | $!:$ | $\rightarrow$ | $VP_{\pm fin} \text{ conj } VP_{\pm fin}$ |
| V4. | $VP_{+fin}$    | $!:$ | $\rightarrow$ | $BE_{=} NP$                               |
| V5. | $VP_{+fin}$    | $!:$ | $\rightarrow$ | $BE_{pred} \text{ Adj.}$                  |
| V6. | $VP_{+fin}$    | $!:$ | $\rightarrow$ | $\text{didn't } VP_{fin}$                 |

|      |              |               |                            |
|------|--------------|---------------|----------------------------|
| N1.  | $NP$         | $\rightarrow$ | $N_{pr}$                   |
| N2.  | $NP$         | $\rightarrow$ | $Pron$                     |
| N3.  | $NP$         | $\rightarrow$ | $\text{the } N$            |
| L8.  | $BE_{=}$     | $\rightarrow$ | $\text{is}$                |
| L9.  | $BE_{pred}$  | $\rightarrow$ | $\text{is}$                |
| L10. | $V_{-fin}^i$ | $\rightarrow$ | $\text{run, laugh, ...}$   |
| L11. | $V_{-fin}^t$ | $\rightarrow$ | $\text{read, poison, ...}$ |

- ▷ **Remark:** The  $\pm fin$  feature solves the “didn’t” **over-generation** problem.
- ▷ **Remark:** Many **machine-oriented grammars** have extensive feature systems like our  $\pm fin$ .
- ▷ **Limitations of  $\mathcal{F}_3$ :**
  - ▷  $\mathcal{F}_3$  does not allow **coordination** of **transitive verbs** (problematic anyways)  
“*Prudence kicked and scratched Ethel*.”

### Testing the Grammar on an Example

$N_{pr}$     $V_{+fin}^i$     $\text{conj}$     $V_{+fin}^i$   
 $\vdots$     $\vdots$     $\vdots$     $\vdots$

- ▷ **Example 6.1.6.** Ethel howled and screamed

### Towards a Semantics for $\mathcal{F}_3$

- ▷ **Recall:** So far we have mapped intransitive verb ( $V^i$ ) to predicates which could be applied to NP meanings (individuals).
- ▷ **So:** VP meanings are functions from individuals to truth values
- ▷ **And:** conj meanings are functionals that map functions to functions.
- ▷ In logic we distinguish such objects (individuals and functions of various kinds) by assigning them types.
- ▷ Let's make this formal  $\leadsto$  develop a suitable logic!

## 6.2 Dealing with Functions in Logic and Language

So we need to have a logic that can deal with functions and functionals (i.e. functions that construct new functions from existing ones) natively. This goes beyond the realm of first-order logic we have studied so far. We need two things from this logic:

1. a way of distinguishing the respective individuals, functions and functionals, and
2. a way of constructing functions from individuals and other functions.

There are standard ways of achieving both, which we will combine in the following to get the “simply typed lambda calculus” which will be the workhorse logic for  $\mathcal{F}_3$ .

The standard way for distinguishing objects of different levels is by introducing types, here we can get by with a very simple type system that only distinguishes functions from their arguments.

### Types

- ▷ **Intuition:** Types are semantic annotations for terms that prevent antinomies.
- ▷ **Definition 6.2.1.** Given a set  $\mathcal{BT}$  of base types, construct function types:  $\alpha \rightarrow \beta$  is the type of functions with domain type  $\alpha$  and range type  $\beta$ . We call the closure  $\mathcal{T}$  of  $\mathcal{BT}$  under function types the set of simple types over  $\mathcal{BT}$ .
- ▷ **Definition 6.2.2.** We will use  $\iota$  for the type of individuals and  $o$  for the type of truth values.
- ▷ **Right Associativity:** The type constructor is used as a right-associative operator, i.e. we use  $\alpha \rightarrow \beta \rightarrow \gamma$  as an abbreviation for  $\alpha \rightarrow (\beta \rightarrow \gamma)$
- ▷ **Vector Notation:** We will use a kind of vector notation for function types, abbreviating  $\alpha_1 \rightarrow \dots \rightarrow \alpha_n \rightarrow \beta$  with  $\vec{\alpha}_n \rightarrow \beta$ .

To strengthen our intuition about the way types can work, we look at the canonical example: Russell's paradox.

## What can happen without Types as a Safety-Net

- ▷ **Definition 6.2.3.** The **unrestricted comprehension principle** states that for any sufficiently well-defined **property**  $P$ , there is the **set** of all and only the **objects** that have **property**  $P$ .
- ▷ **Definition 6.2.4.** **Russell's paradox** (also known as **Russell's antinomy**) is a set-theoretic paradox that shows that every set theory that contains an **unrestricted comprehension principle** leads to **contradictions**.
- ▷ **Definition 6.2.5.** The **Russell set**  $R$  is the **set** of all **sets** that are not **members** of themselves.
- ▷ **Observation:** If  $R$  is assumed to exist (e.g. by the **unrestricted comprehension principle**), then we end up with an **antinomy**:
  - ▷ Suppose  $R \in R$ , then then we must have  $R \notin R$ , since we have explicitly taken out the **set** that contain themselves.
  - ▷ Suppose  $R \notin R$ , then have  $R \in R$ , since all other sets are **elements**.

So  $R \in R$  iff  $R \notin R$ , which is a contradiction! (Russell's Antinomy [Rus03])
- ▷ **Does Logic help?:**
  - ▷ No, if untyped:  $R := \{m \mid m \notin m\}$  or equivalently:  $R := \{m \mid m\ m\}$ .
  - ▷ Yes, if typed:  $m(m)$  cannot be well-typed with **simple types**, so we can not define  $R$ .
- ▷ **Generally:** **Simple types** prevent self-application: If we type  $m(m)$  as  $m_\alpha(m_\beta)$ , then we must have  $\alpha = \beta \rightarrow \gamma$  for the function application to work but also  $\alpha = \beta$  to have consistent typing.

Here we see the isomorphism between **characteristic functions** and **sets** at work again. In the argumentation about preventing harmful self-application.

But let us come back to the work **types** can do in **FragmentThree**. In anticipation of a **typed** target logic, we can associate **types** to the **syntactic categories**. Note that different **categories** can have the same **type**, which can look confusing at first. But we should take this as a sign that the syntactic analysis of natural language is finer-grained than is needed in knowledge representation and inference for the **semantic-pragmatic analysis**.

## Syntactical Categories and Types

- ▷ Now, we can **assign types** to **syntactic categories**.

| Cat      | Type                                    | Intuition       |
|----------|-----------------------------------------|-----------------|
| $S$      | $o$                                     | truth value     |
| $NP$     | $\iota$                                 | individual      |
| $N_{pr}$ | $\iota$                                 | individuals     |
| $VP$     | $\iota \rightarrow o$                   | property        |
| $V^i$    | $\iota \rightarrow o$                   | unary predicate |
| $V^t$    | $\iota \rightarrow \iota \rightarrow o$ | binary relation |

- ▷ For the **category** **conj**, we cannot get by with a single **type**. Depending on where it is used, we need the **types**
  - ▷  $o \rightarrow o \rightarrow o$  for ***S*-coordination** in rule ***S2***:  $S \rightarrow S \text{ conj } S$
  - ▷  $(\iota \rightarrow o) \rightarrow (\iota \rightarrow o) \rightarrow (\iota \rightarrow o)$  for ***VP*-coordination** in ***V3***:  $VP \rightarrow VP \text{ conj } VP$ .
- ▷ **Note:** **Computational Linguistics**, often uses a different notation for **types**:  $e$  (entity) for  $\iota$ ,  $t$  (**truth value**) for  $o$ , and  $\langle \alpha, \beta \rangle$  for  $\alpha \rightarrow \beta$  (no bracket elision convention). So the **type** for ***VP*-coordination** has the form  $\langle \langle e, t \rangle, \langle \langle e, t \rangle, \langle e, t \rangle \rangle \rangle$



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For a **logic** which can really deal with **functions**, we have to have two **properties**, which we can already read off the **language of mathematics** (as the discipline that deals with **functions** and **functionals** professionally): We

1. need to be able to construct **functions** from **expressions** with **variables**, as in  $f(x) = 3x^2 + 7x + 5$ , and
2. consider two **functions** the same, **iff** they return the same **values** on the same **arguments**.

In a **logical system** (let us for the moment assume a **first-order logic** with **types** that can **quantify** over **functions**) this gives rise to the following **axioms**:

**Comprehension**  $\exists F_{\alpha \rightarrow \beta}. \forall X_{\alpha}. F X = \mathbf{A}_{\beta}$

**Extensionality**  $\forall F_{\alpha \rightarrow \beta}. \forall G_{\alpha \rightarrow \beta}. (\forall X_{\alpha}. F X = G X) \Rightarrow F = G$

The **comprehension axioms** are **computationally** very problematic. First, we **observe** that they are **equality axioms**, and thus are needed to show that two **objects** of  $\text{PL}\Omega$  are **equal**. Second we **observe** that there are **countably infinitely** many of them (they are parametric in the **term**  $\mathbf{A}$ , the **type**  $\alpha$  and the **variable name**), which makes dealing with them difficult in practice. Finally, **axioms** with both **existential** and **universal quantifiers** are always difficult to **reason** with.

Therefore we would like to have a formulation of **higher-order logic** without **comprehension axioms**. In the next slide we take a close look at the **comprehension axioms** and transform them into a form without **quantifiers**, which will turn out useful.

### From Comprehension to $\beta$ -Conversion

- ▷  $\exists F_{\alpha \rightarrow \beta}. \forall X_{\alpha}. F X = \mathbf{A}_{\beta}$  for arbitrary **variable**  $X_{\alpha}$  and **term**  $\mathbf{A} \in \text{wff}_{\beta}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  (for each **term**  $\mathbf{A}$  and each **variable**  $X$  there is a **function**  $f \in \mathcal{D}_{\alpha \rightarrow \beta}$ , with  $f(\varphi(X)) = \mathcal{I}_{\varphi}(\mathbf{A})$ )
  - ▷ schematic in  $\alpha, \beta, X_{\alpha}$  and  $\mathbf{A}_{\beta}$ , very inconvenient for **deduction**
- ▷ Transformation in  $\mathcal{H}_{\Omega}$ 
  - ▷  $\exists F_{\alpha \rightarrow \beta}. \forall X_{\alpha}. F X = \mathbf{A}_{\beta}$
  - ▷  $\forall X_{\alpha}. (\lambda X_{\alpha}. \mathbf{A}) X = \mathbf{A}_{\beta}$  ( $\exists E$ )  
Call the function  $F$  whose existence is guaranteed " $(\lambda X_{\alpha}. \mathbf{A})$ "
  - ▷  $(\lambda X_{\alpha}. \mathbf{A}) \mathbf{B} = [\mathbf{B}/X] \mathbf{A}_{\beta}$  ( $\forall E$ ), in particular for  $\mathbf{B} \in \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ .
- ▷ **Definition 6.2.6. Axiom of  $\beta$  equality:**  $(\lambda X_{\alpha}. \mathbf{A}) \mathbf{B} = [\mathbf{B}/X] (\mathbf{A}_{\beta})$
- ▷ **Idea:** Introduce a new class of **formulae** ( $\lambda$ -calculus [Chu40])

In a similar way we can treat (functional) extensionality.

### From Extensionality to $\eta$ -Conversion

- ▷ **Definition 6.2.7.** **Extensionality Axiom:**  $\forall F_{\alpha \rightarrow \beta}. \forall G_{\alpha \rightarrow \beta}. (\forall X_{\alpha}. FX = GX) \Rightarrow F = G$
- ▷ **Idea:** Maybe we can get by with a simplified equality schema here as well.
- ▷ **Definition 6.2.8.** We say that  $\mathbf{A}$  and  $\lambda X_{\alpha}. \mathbf{A} X$  are  $\eta$ -equal, (write  $\mathbf{A}_{\alpha \rightarrow \beta} =_{\eta} \lambda X_{\alpha}. \mathbf{A} X$ ), iff  $X \notin \text{free}(\mathbf{A})$ .
- ▷ **Theorem 6.2.9.**  $\eta$ -equality and Extensionality are equivalent
- ▷ **Proof:** We show that  $\eta$ -equality is special case of extensionality; the converse direction is trivial
  1. Let  $\forall X_{\alpha}. \mathbf{A}X = \mathbf{B}X$ , thus  $\mathbf{A}X = \mathbf{B}X$  with  $\forall E$
  2.  $\lambda X_{\alpha}. \mathbf{A}X = \lambda X_{\alpha}. \mathbf{B}X$ , therefore  $\mathbf{A} = \mathbf{B}$  with  $\eta$
  3. Hence  $\forall F_{\alpha \rightarrow \beta}. \forall G_{\alpha \rightarrow \beta}. (\forall X_{\alpha}. FX = GX) \Rightarrow F = G$  by twice  $\forall I$ .

□

- ▷ Axiom of truth values:  $\forall F_o. \forall G_o. FG \Leftrightarrow F = G$  unsolved.

The price to pay is that we need to pay for getting rid of the comprehension and extensionality axioms is that we need a logic that systematically includes the  $\lambda$ -generated names we used in the transformation as (generic) witnesses for the existential quantifier. Alonzo Church did just that with his “simply typed  $\lambda$ -calculus” which we will introduce next.

This is all very nice, but what do we actually translate into?

## 6.3 Simply Typed $\lambda$ -Calculus

In this section we will present a logical system that can deal with functions – the simply typed  $\lambda$ -calculus. It is a typed logic, so everything we write down is typed (even if we do not always write the types down).

### Simply typed $\lambda$ -Calculus (Syntax)

- ▷ **Definition 6.3.1.** **Signature**  $\Sigma_{\mathcal{T}} = \bigcup_{\alpha \in \mathcal{T}} \Sigma_{\alpha}$  (includes countably infinite signatures  $\Sigma_{\alpha}^{Sk}$  of Skolem constants).
- ▷  $\mathcal{V}_{\mathcal{T}} = \bigcup_{\alpha \in \mathcal{T}} \mathcal{V}_{\alpha}$ , such that  $\mathcal{V}_{\alpha}$  are countably infinite.
- ▷ **Definition 6.3.2.** We call the set  $\text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  defined by the rules
  - ▷  $\mathcal{V}_{\alpha} \cup \Sigma_{\alpha} \subseteq \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$
  - ▷ If  $\mathbf{C} \in \text{wff}_{\alpha \rightarrow \beta}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  and  $\mathbf{A} \in \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ , then  $\mathbf{C} \mathbf{A} \in \text{wff}_{\beta}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$
  - ▷ If  $\mathbf{A} \in \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ , then  $\lambda X_{\beta}. \mathbf{A} \in \text{wff}_{\beta \rightarrow \alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$

the set of **well typed formulae** of type  $\alpha$  over the signature  $\Sigma_{\mathcal{T}}$  and use  $\text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}}) := \bigcup_{\alpha \in \mathcal{T}} \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  for the set of all well-typed formulae.

▷ **Definition 6.3.3.** We will call all **occurrences** of the **variable**  $X$  in  $\mathbf{A}$  **bound** in  $\lambda X.\mathbf{A}$ . **Variables** that are not **bound** in  $\mathbf{B}$  are called **free** in  $\mathbf{B}$ .

▷ **Substitutions** are well typed, i.e.  $\sigma(X_{\alpha}) \in \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  and **capture-avoiding**.

▷ **Definition 6.3.4 (Simply Typed  $\lambda$ -Calculus).** The **simply typed  $\lambda$  calculus**  $\Lambda^{\rightarrow}$  over a signature  $\Sigma_{\mathcal{T}}$  has the formulae  $\text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  (they are called  **$\lambda$ -terms**) and the following equalities:

▷  **$\alpha$  conversion:**  $\lambda X.\mathbf{A} =_{\alpha} \lambda Y.([Y/X](\mathbf{A}))$ .

▷  **$\beta$  conversion:**  $(\lambda X.\mathbf{A}) \mathbf{B} =_{\beta} [\mathbf{B}/X](\mathbf{A})$ .

▷  **$\eta$  reduction:**  $\lambda X.\mathbf{A} X =_{\eta} \mathbf{A}$  if  $X \notin \text{free}(\mathbf{A})$ .



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The intuitions about functional structure of  $\lambda$ -terms and about **free** and **bound variables** are encoded into three transformation rules  $\Lambda^{\rightarrow}$ : The first rule ( $\alpha$ -conversion) just says that we can rename **bound variables** as we like.  $\beta$  conversion codifies the intuition behind function application by replacing **bound variables** with **arguments**. The equality relation induced by the  $\eta$ -reduction is a special case of the extensionality principle for functions ( $f = g$  iff  $f(a) = g(a)$  for all possible arguments  $a$ ): If we apply both sides of the transformation to the same argument – say  $\mathbf{B}$  and then we arrive at the right hand side, since  $\lambda X_{\alpha}.\mathbf{A} X \mathbf{B} =_{\beta} \mathbf{A} \mathbf{B}$ .

We will use a set of bracket elision rules that make the **syntax** of  $\Lambda^{\rightarrow}$  more palatable. This makes  $\Lambda^{\rightarrow}$  expressions look much more like regular **mathematical** notation, but hides the internal structure. Readers should make sure that they can always reconstruct the brackets to make sense of the syntactic notions below.

### Simply typed $\lambda$ -Calculus (Notations)

▷ **Application is left-associative:** We abbreviate  $\mathbf{F} \mathbf{A}^1 \mathbf{A}^2 \dots \mathbf{A}^n$  with  $\mathbf{F} \mathbf{A}^1 \dots \mathbf{A}^n$  eliding the brackets and further with  $\mathbf{F} \overline{\mathbf{A}^n}$  in a kind of vector notation.

▷ **Andrews' dot Notation:**  $\mathbf{A} .$  stands for a left bracket whose partner is as far right as is consistent with existing brackets; i.e.  $\mathbf{A} . \mathbf{B} \mathbf{C}$  abbreviates  $\mathbf{A} (\mathbf{B} \mathbf{C})$ .

▷ **Abstraction is right-associative:** We abbreviate  $\lambda X^1. \lambda X^2. \dots \lambda X^n. \mathbf{A} \dots$  with  $\lambda X^1 \dots X^n. \mathbf{A}$  eliding brackets, and further to  $\lambda \overline{X^n}. \mathbf{A}$  in a kind of vector notation.

▷ **Outer brackets:** Finally, we allow ourselves to elide outer brackets where they can be inferred.



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Intuitively,  $\lambda X.\mathbf{A}$  is the function  $f$ , such that  $f(\mathbf{B})$  will yield  $\mathbf{A}$ , where all **occurrences** of the formal parameter  $X$  are replaced by  $\mathbf{B}$ .<sup>2</sup>

In this presentation of the **simply typed  $\lambda$ -calculus** we build-in  $=_{\alpha}$ -equality and use **capture-avoiding substitution** directly. A clean introduction would followed the steps in ??? by introducing **substitutions** with a substitutability condition like the one in ???, then establishing the **soundness** of  $=_{\alpha}$  conversion, and only then postulating defining **capture-avoiding substitution application** as in ???. The development for  $\Lambda^{\rightarrow}$  is directly parallel to the one for  $\text{PL}^{\downarrow}$ , so we leave it as an exercise to the reader and turn to the computational properties

<sup>2</sup>EDNOTE: rationalize the semantic macros for syntax!



of the  $\lambda$ -calculus.

Computationally,  $\lambda$ -calculi obtains much of its power from the fact that two of its three equalities can be oriented into a reduction system. Intuitively, we only use the equalities in one direction, i.e. in one that makes the terms “simpler”. If this terminates (and is confluent), then we can establish equality of two  $\lambda$ -terms by reducing them to normal forms and comparing them structurally. This gives us a decision procedure for equality. Indeed, we have these properties in  $\Lambda^\rightarrow$  as we will see below.

### $=_{\alpha\beta\eta}$ -Equality (Overview)

▷ **Definition 6.3.5.**

Reduction with  $\begin{cases} =_\beta : (\lambda X.A) B \rightarrow_\beta [B/X](A) \\ =_\eta : \lambda X.A X \rightarrow_\eta A \end{cases}$  under  $=_\alpha : \begin{matrix} \lambda X.A \\ \lambda Y.([Y/X](A)) \end{matrix} =_\alpha$

The reductions can be applied at top-level (as above), but also in subterms:

If  $A \rightarrow_{\alpha\beta\eta} B$ , then  $C A \rightarrow_{\alpha\beta\eta} C B$ ,  $A C \rightarrow_{\alpha\beta\eta} B C$ , and  $\lambda X.A \rightarrow_{\alpha\beta\eta} \lambda X.B$ .

▷ **Theorem 6.3.6.**  $\beta$ -reduction is well-typed, terminating and confluent in the presence of  $\alpha$ -conversion.

▷ **Definition 6.3.7 (Normal Form).** We call a  $\lambda$ -term  $A$  a **normal form** (in a reduction system  $\mathcal{E}$ ), iff no rule (from  $\mathcal{E}$ ) can be applied to  $A$ .

▷ **Corollary 6.3.8.**  $=_{\beta\eta}$ -reduction yields unique normal forms (up to  $=_\alpha$ -equivalence).



We will now introduce some terminology to be able to talk about  $\lambda$  terms and their parts.

### Syntactic Parts of $\lambda$ -Terms

▷ **Definition 6.3.9 (Parts of  $\lambda$ -Terms).** We can always write a  $\lambda$ -term in the form  $T = \lambda X^1 \dots X^k. H A^1 \dots A^n$ , where  $H$  is not an application. We call

- ▷  $H$  the **syntactic head** of  $T$
- ▷  $H(A^1, \dots, A^n)$  the **matrix** of  $T$ , and
- ▷  $\lambda X^1 \dots X^k$ . (or the sequence  $X^1, \dots, X^k$ ) the **binder** of  $T$

▷ **Definition 6.3.10.** **Head reduction** always has a unique  $\beta$  **redex**

$$\lambda \overline{X^n}. (\lambda Y.A) B^1 \dots B^n \rightarrow_\beta^h \lambda \overline{X^n}. ([B^1/Y](A)) B^2 \dots B^n$$

▷ **Theorem 6.3.11.** The syntactic heads of  $\beta$ -normal forms are constant or variables.

▷ **Definition 6.3.12.** Let  $A$  be a  $\lambda$ -term, then the syntactic head of the  $\beta$ -normal form of  $A$  is called the **head symbol** of  $A$  and written as  $\text{head}(A)$ . We call a  $\lambda$ -term a  $j$ -**projection**, iff its head is the  $j^{\text{th}}$  **bound variable**.

▷ **Definition 6.3.13.** We call a  $\lambda$ -term a  $\eta$  **long form**, iff its matrix has **base type**.

▷ **Definition 6.3.14.**  $\eta$  **Expansion** makes  $\eta$  **long forms**

$$\eta[\lambda X^1 \dots X^n.A] := \lambda X^1 \dots X^n. \lambda Y^1 \dots Y^m. A Y^1 \dots Y^m$$

▷ **Definition 6.3.15.** **Long  $\beta\eta$  normal form**, iff it is  $\beta$  normal and  $\eta$ -long.



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$\eta$  long forms are structurally convenient since for them, the structure of the term is isomorphic to the structure of its type (argument types correspond to binders): if we have a term  $\mathbf{A}$  of type  $\bar{\alpha}_n \rightarrow \beta$  in  $\eta$ -long form, where  $\beta \in \mathcal{BT}$ , then  $\mathbf{A}$  must be of the form  $\lambda \bar{X}_\alpha^n. \mathbf{B}$ , where  $\mathbf{B}$  has type  $\beta$ . Furthermore, the set of  $\eta$ -long forms is closed under  $\beta$ -equality, which allows us to treat the two equality theories of  $\Lambda^\rightarrow$  separately and thus reduce argumentational complexity.

The semantics of  $\Lambda^\rightarrow$  is structured around the types. Like the models we discussed before, a model (we call them “algebras”, since we do not have truth values in  $\Lambda^\rightarrow$ ) is a pair  $\langle \mathcal{D}, \mathcal{I} \rangle$ , where  $\mathcal{D}$  is the universe of discourse and  $\mathcal{I}$  is the interpretation of constants.

### Semantics of $\Lambda^\rightarrow$

▷ **Definition 6.3.16.** We call a collection  $\mathcal{D}_\mathcal{T} := \{\mathcal{D}_\alpha \mid \alpha \in \mathcal{T}\}$  a **typed collection** (of sets) and a collection  $f_\mathcal{T}: \mathcal{D}_\mathcal{T} \rightarrow \mathcal{E}_\mathcal{T}$ , a **typed function**, iff  $f_\alpha: \mathcal{D}_\alpha \rightarrow \mathcal{E}_\alpha$ .

▷ **Definition 6.3.17.** A typed collection  $\mathcal{D}_\mathcal{T}$  is called a **frame**, iff  $\mathcal{D}_{\alpha \rightarrow \beta} \subseteq \mathcal{D}_\alpha \rightarrow \mathcal{D}_\beta$ .

▷ **Definition 6.3.18.** Given a frame  $\mathcal{D}_\mathcal{T}$ , and a typed function  $\mathcal{I}: \Sigma \rightarrow \mathcal{D}$ , we call  $\mathcal{I}_\varphi: \text{wff}_\mathcal{T}(\Sigma_\mathcal{T}, \mathcal{V}_\mathcal{T}) \rightarrow \mathcal{D}$  the **value function** induced by  $\mathcal{I}$ , iff

1.  $\mathcal{I}_\varphi|_{\mathcal{V}_\mathcal{T}} = \varphi$ ,  $\mathcal{I}_\varphi|_{\Sigma_\mathcal{T}} = \mathcal{I}$ ,
2.  $\mathcal{I}_\varphi(\mathbf{A} \mathbf{B}) = \mathcal{I}_\varphi(\mathbf{A})(\mathcal{I}_\varphi(\mathbf{B}))$ , and
3.  $\mathcal{I}_\varphi(\lambda X_\alpha. \mathbf{A})$  is that function  $f \in \mathcal{D}_{\alpha \rightarrow \beta}$ , such that  $f(a) = \mathcal{I}_{\varphi, [a/X]}(\mathbf{A})$  for all  $a \in \mathcal{D}_\alpha$ .

▷ **Note:** Not every  $\lambda$ -term has a  $\mathcal{I}_\varphi$ -value as we have only required  $\mathcal{D}_{\alpha \rightarrow \beta} \subseteq \mathcal{D}_\alpha \rightarrow \mathcal{D}_\beta$  for frames. (there might not be enough functions)

▷ **Definition 6.3.19.** We call  $\langle \mathcal{D}, \mathcal{I} \rangle$ , where  $\mathcal{D}$  is a frame and  $\mathcal{I}$  is a typed function **comprehension closed** or a  $\Sigma_\mathcal{T}$ -**algebra**, iff  $\mathcal{I}_\varphi: \text{wff}_\mathcal{T}(\Sigma_\mathcal{T}, \mathcal{V}_\mathcal{T}) \rightarrow \mathcal{D}$  is **total**.

▷ **Theorem 6.3.20.**  $=_{\alpha\beta\eta}$  (seen as a calculus) is **sound** and **complete** for  $\Sigma$ -algebras.

▷ **Upshot for LBS:**  $\Lambda^\rightarrow$  is the logical system for reasoning about functions!



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The definition of the semantics in Definition B.2.3 is surprisingly simple. The only part that is new at all is the third clause, and there we already know the trick with treating binders by extending the variable assignment from quantifiers in first-order logic.

The real subtlety is in the definition of frames, where instead of requiring  $\mathcal{D}_{\alpha \rightarrow \beta} = \mathcal{D}_\alpha \rightarrow \mathcal{D}_\beta$  (full function universes we have only required  $\mathcal{D}_{\alpha \rightarrow \beta} \subseteq \mathcal{D}_\alpha \rightarrow \mathcal{D}_\beta$ , which necessitates the post-hoc definition of a  $\Sigma_\mathcal{T}$ -algebra. But the added complexity gives us [thm.abe-sound-complete](#).

**Excursion:** We will discuss the semantics, computational properties, and a more modern presentation of the  $\lambda$  calculus in Appendix B.

## 6.4 A Logical System for Fragment 3

### Higher-Order Logic without Quantifiers ( $\text{HOL}^{\text{rq}}$ )

- ▷ **Problem:** Need a logic like  $\text{PE}^{\text{q}}$ , but with  $\lambda$ -terms to interpret  $\mathcal{F}_3$  into.
- ▷ **Idea:** Re-use the syntactical framework of  $\Lambda^{\rightarrow}$ .
- ▷ **Definition 6.4.1.** Let  $\text{HOL}^{\text{q}}$  be an instance of  $\Lambda^{\rightarrow}$ , with  $\mathcal{BT} = \{\iota, o\}$ ,  $\wedge \in \Sigma_{o \rightarrow o \rightarrow o}$ ,  $\neg \in \Sigma_{o \rightarrow o}$ , and  $= \in \Sigma_{\alpha \rightarrow \alpha \rightarrow o}$  for all types  $\alpha$ .
- ▷ **Idea:** To extend this to a semantics for  $\text{HOL}^{\text{q}}$ , we only have to say something about the base type  $o$ , and the logical constants  $\neg_{o \rightarrow o}$ ,  $\wedge_{o \rightarrow o \rightarrow o}$ , and  $=_{\alpha \rightarrow \alpha \rightarrow o}$ .
- ▷ **Definition 6.4.2.** We define the semantics of  $\text{HOL}^{\text{q}}$  by setting
  1.  $\mathcal{D}_o = \{\text{T}, \text{F}\}$ ; the set of truth values
  2.  $\mathcal{I}(\neg) \in \mathcal{D}_{o \rightarrow o}$ , is the function  $\{\text{F} \mapsto \text{T}, \text{T} \mapsto \text{F}\}$
  3.  $\mathcal{I}(\wedge) \in \mathcal{D}_{o \rightarrow o \rightarrow o}$  is the function with  $\mathcal{I}(\wedge)((a, b)) = \text{T}$ , iff  $a = \text{T}$  and  $b = \text{T}$ .
  4.  $\mathcal{I}(=) \in \mathcal{D}_{\alpha \rightarrow \alpha \rightarrow o}$  is the identity relation on  $\mathcal{D}_{\alpha}$ .



You may be worrying that we have changed our assumptions about the denotations of predicates. When we were working with  $\text{PE}^{\text{q}}$  as our target logic, we assumed that one-place predicates denote sets of individuals, that two-place predicates denote sets of pairs of individuals, and so on. Now, we have adopted a new target logic,  $\text{HOL}^{\text{q}}$ , which interprets all predicates as functions of one kind or another.

The reason we can do this is that there is a systematic relation between the functions we now assume as denotations, and the sets we used to assume as denotations. The functions in question are the characteristic functions of the old sets, or are curried versions of such functions.

Recall that we have characterized sets extensionally, i.e. by saying what their members are. A characteristic function of a set  $A$  is a function which “says” which objects are members of  $A$ . It does this by giving one value (for our purposes, the value 1) for any argument which is a member of  $A$ , and another value, (for our purposes, the value 0), for anything which is not a member of the set.

**Definition 6.4.3 (Characteristic function of a set).**  $f_S$  is the characteristic function of the set  $S$  iff  $f_S(a) = \text{T}$  if  $a \in S$  and  $f_S(a) = \text{F}$  if  $a \notin S$ .

Thus any function in  $\mathcal{D}_{\iota \rightarrow o}$  will be the characteristic function of some set of individuals. So, for example, the function we assign as denotation to the predicate “run” will return the value  $\text{T}$  for some arguments and  $\text{F}$  for the rest. Those for which it returns  $\text{T}$  correspond exactly to the individuals which belonged to the set “run” in our old way of doing things.

Now, consider functions in  $\mathcal{D}_{\iota \rightarrow \iota \rightarrow o}$ . Recall that these functions are equivalent to two-place relations, i.e. functions from pairs of entities to truth values. So functions of this kind are characteristic functions of sets of pairs of individuals.

In fact, any function which ultimately maps an argument to  $\mathcal{D}_o$  is a characteristic function of some set. The fact that many of the denotations we are concerned with turn out to be characteristic functions of sets will be very useful for us, as it will allow us to go backwards and forwards between “set talk” and “function talk,” depending on which is easier to use for what we want to say.

### $\text{HOL}^{\text{q}}$ is an expressive logical system

- ▷  $\text{HOL}^{\text{q}}$  is an expressive logical system
- ▷ **Example 6.4.4.** We can express set union as a  $\text{HOL}^{\text{q}}$  term:

$$\cup := \lambda P_{\iota \rightarrow o}. \lambda Q_{\iota \rightarrow o}. \lambda X_{\iota}. P X \vee Q X$$

Let us test whether  $\{1, 2\} \cup \{2, 3\}$  really is  $\{1, 2, 3\}$ .

Note that we can represent (the characteristic function of)  $\{1, 2\}$  as the  $\text{HOL}^{\text{M}}$  term  $\lambda Z_{\iota}. Z = 1 \vee Z = 2$ .  
(and the other sets analogously)

So let's represent  $\{1, 2\} \cup \{2, 3\}$  as a  $\text{HOL}^{\text{M}}$  term and  $\beta$ -reduce:

$$\begin{aligned}
 & (\lambda P_{\iota \rightarrow o}. \lambda Q_{\iota \rightarrow o}. \lambda X_{\iota}. P X \vee Q X) (\lambda Z_{\iota}. Z = 1 \vee Z = 2) (\lambda Z_{\iota}. Z = 2 \vee Z = 3) \\
 \rightarrow_{\beta} & (\lambda Q_{\iota \rightarrow o}. \lambda X_{\iota}. (\lambda Z_{\iota}. Z = 1 \vee Z = 2) X \vee Q X) (\lambda Z_{\iota}. Z = 2 \vee Z = 3) \\
 \rightarrow_{\beta} & \lambda X_{\iota}. (\lambda Z_{\iota}. Z = 1 \vee Z = 2) X \vee (\lambda Z_{\iota}. Z = 2 \vee Z = 3) X \\
 \rightarrow_{\beta} & \lambda X_{\iota}. X = 1 \vee X = 2 \vee X = 2 \vee X = 3 \\
 \Leftrightarrow & \lambda X_{\iota}. X = 1 \vee X = 2 \vee X = 3
 \end{aligned}$$



Example 6.4.4 shows the characteristic strength of  $\text{HOL}^{\text{M}}$  as a **logical system**: The ability of constructing functions via the  $\lambda$  operator allows us to define many of the operators and relations that we would have to declare in a first-order signature in e.g. a first-order logic and then axiomatize so that we can reason about them. The logical connectives and equality we would normally use in the axioms, we can directly use in the operator definitions directly. When these  $\lambda$ -defined operators are applied to arguments, the substitution from  $\beta$ -reduction brings them into the right positions.

## 6.5 Translation for Fragment 3

Now that we have done the heavy lifting by building our target logic  $\text{HOL}^{\text{M}}$ , the translation for  $\mathcal{F}_3$  is relatively straightforward. We just have to deal with **verb phrases** and VP coordination. The first works just as for intransitive verbs in  $\mathcal{F}_1$  and for the latter we define custom operators as denotations for the **coordinators**.

### Translations for Fragment $\mathcal{F}_3$

- ▷ We will look at the new **translation rules**: (the rest from  $\mathcal{F}_2$  stay the same)

$$\begin{aligned}
 T1: & [X_{\text{NP}}, Y_{\text{VP}}]_S \rightsquigarrow VP'(NP'), \\
 T3: & [X_{\text{VP}}, Y_{\text{conj}}, Z_{\text{VP}}]_{\text{VP}} \rightsquigarrow \text{conj}'(VP, VP'), \\
 T4: & [X_{V^t}, Y_{\text{NP}}]_{\text{VP}} \rightsquigarrow V^{t'}(NP')
 \end{aligned}$$

- ▷ **Note:** We can get away with this because  $\text{PE}^{\text{M}} \subseteq \text{HOL}^{\text{M}}$  in the target logic.
- ▷ The **lexical insertion rules** will give us two items each for “*is*”, “*and*”, and “*or*”, corresponding to the two types we have given them above.

| word                      | type                                                                                      | term                                                                                  | case      |
|---------------------------|-------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------|-----------|
| $\text{BE}_{\text{pred}}$ | $(\iota \rightarrow o) \rightarrow \iota \rightarrow o$                                   | $\lambda P_{\iota \rightarrow o}. P$                                                  | adjective |
| $\text{BE}_{\text{eq}}$   | $\iota \rightarrow \iota \rightarrow o$                                                   | $\lambda X_{\iota} Y_{\iota}. X = Y$                                                  | verb      |
| and                       | $o \rightarrow o \rightarrow o$                                                           | $\wedge$                                                                              | S-coord.  |
| and                       | $(\iota \rightarrow o) \rightarrow (\iota \rightarrow o) \rightarrow \iota \rightarrow o$ | $\lambda F_{\iota \rightarrow o} G_{\iota \rightarrow o} X_{\iota}. F(X) \wedge G(X)$ | VP-coord. |
| or                        | $o \rightarrow o \rightarrow o$                                                           | $\vee$                                                                                | S-coord.  |
| or                        | $(\iota \rightarrow o) \rightarrow (\iota \rightarrow o) \rightarrow \iota \rightarrow o$ | $\lambda F_{\iota \rightarrow o} G_{\iota \rightarrow o} X_{\iota}. F(X) \vee G(X)$   | VP-coord. |
| didn't                    | $(\iota \rightarrow o) \rightarrow \iota \rightarrow o$                                   | $\lambda P_{\iota \rightarrow o} X_{\iota}. \neg P X$                                 |           |

- ▷ **Note:** All **words** are translated to  $\text{HOL}^{\text{M}}$  formulae.

- ▷ **BTW:** The translation of “*or*” in *VP*-coordination is just **set union**  $\hat{=}$  **disjunction** lifted to **sets**. (analogous with “*and*”, **conjunction** and **intersection**)



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## Translation Example

- ▷ It only remains to test  $\mathcal{F}_3$  on an example from the original data!

- ▷ **Example 6.5.1.** “*Ethel howled and screamed*” to

$$\begin{aligned}
 & (\lambda F_{t \rightarrow o} G_{t \rightarrow o} X_t. F(X) \wedge G(X)) \text{ howls screams ethel} \\
 \rightarrow_{\beta} & (\lambda G_{t \rightarrow o} X_t. \text{howls}(X) \wedge G(X)) \text{ screams ethel} \\
 \rightarrow_{\beta} & (\lambda X_t. \text{howls}(X) \wedge \text{screams}(X)) \text{ ethel} \\
 \rightarrow_{\beta} & \text{howls(ethel)} \wedge \text{screams(ethel)}
 \end{aligned}$$


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## 6.6 Summary & Evaluation

So let us evaluate what we have **achieved** in the new, extended **fragment**.

### Fragment $\mathcal{F}_3$ – Summary

- ▷ Fragment  $\mathcal{F}_3$  extends  $\mathcal{F}_2$  by **verb phrases**.
- ▷ We need a completely new **idea** for the **logic**  $\Leftarrow$  need **functions** to express **translation**
- ▷ **Logical system:**  $\text{HOL}^q \hat{=} \Lambda^+ + \text{PL}^0$ .
- ▷  $\Lambda^+$  contributes the simple types and **functions**
  - ▷  $\text{PL}^0$  contributes **type** *o* and **connectives**.
- ▷ **Coverage:** Better: we can do **verb phrase coordination**.



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### 6.6.1 Overview/Summary so far

**Where we started:** A *VP*-less fragment and  $\text{PL}^q$ .

| $\text{PL}^q$              | Fragment of English                       |
|----------------------------|-------------------------------------------|
| Syntax: Definition of wffs | Syntax: Definition of allowable sentences |
| Semantics: Model theory    | SEMANTICS BY TRANSLATION                  |

**What we did:**

- Tested the **translation** by **testing predictions**: **semantic tests** of entailment.
- More **testing**: **syntactic tests** of **entailment**. For this, we introduced the **model generation calculus**. We can make this move from **semantic proofs** to **syntactic** ones safely, because we know that  $\text{PL}^q$  is **sound** and **complete**.

- Moving beyond **semantics**: Used **model generation** to **predict interpretations** of **semantically under-determined sentence** types.

**Where we are now: A fragment with a VP and  $\text{HOL}^{\text{tr}}$ .** We expanded the **fragment** and began to consider **data** which demonstrate the need for a **VP** in any adequate **syntax** of English, and the need for **coordinators** which connect **VPs** and other expression types. At this point, the resources of  $\text{PE}^{\text{tr}}$  no longer sufficed to provide adequate **compositional translations** of the **fragment**. So we introduced a new **translation language**,  $\text{HOL}^{\text{tr}}$ . However, the general picture of the table above does not change; only the **target logic** itself changes.

**Some discoveries:**

- The task of giving a **semantics** via **translation** for **natural language** includes as a subtask the task of finding an adequate **target logic**.
- Given a **typed language**, **function application** is a powerful and very useful tool for modeling the derivation of the **interpretation** of a **complex expression** from the **interpretations** of its parts and their **syntactic** arrangement. To maintain a transparent interface between **syntax** and **semantics**, binary branching is preferable. Happily, this is supported by **syntactic evidence**.
- **Syntax** and **semantics** interact: **Syntax** forces us to introduce **VP**. The assumption of **compositionality** then forces us to **translate** and **interpret** this new **category**.
- We discovered that the “**logical operators**” of **natural language** can’t always be **translated** directly by their **formal** counterparts. Their **formal** counterparts are all **sentence connectives**; but English has versions of these **connectives** for other types of **expressions**. However, we can use the familiar **sentential connectives** to construct appropriate **translations** for the differently-typed variants.

**Some issues about translations:**  $\text{HOL}^{\text{tr}}$  provides multiple **syntactically** and **semantically equivalent** versions of many of its **expressions**. For example:

1. Let **runs** be an  $\text{HOL}^{\text{tr}}$  constant of type  $\iota \rightarrow o$ . Then  $\text{runs} = \lambda X.\text{runs}(X)$
2. Let **loves** be an  $\text{HOL}^{\text{tr}}$  constant of type  $\iota \rightarrow \iota \rightarrow o$ . Then  $\text{loves} = \lambda X.\lambda Y.\text{loves}(X, Y)$
3. Similarly,  $\text{loves}(a) = \lambda Y.\text{loves}(a, Y)$
4. And  $\text{loves}(\text{jane}, \text{george}) = (\lambda X.\lambda Y.\text{loves}(X, Y)) \text{ jane}(\text{george})$

Logically, both sides of the **equations** are considered **equal**, since  $=_{\eta}$ -equality (remember  $\lambda X.\mathbf{A} \ X \rightarrow_{\eta} \mathbf{A}$ , if  $X \notin \text{free}(\mathbf{A})$ ) is built into  $\text{HOL}^{\text{tr}}$ . In fact all the right-hand sides are  $=_{\eta}$ -expansions of the left-hand sides. So you can use both, as you choose in principle.

But practically, you like to **know** which to give when you are asked for a **translation**? The **answer** depends on what you are using it for. Let’s introduce a distinction between *reduced translations* and *unreduced translations*. An unreduced **translation** makes completely explicit the **type assignment** of each **expression** and the mode of composition of the **translations** of **complex expressions**, i.e. how the **translation** is derived from the **translations** of the parts. So, for example, if you have just offered a **translation** for a **lexical item** (say, “*and*” as a  $V^t$  **coordinator**), and now want to demonstrate how this **lexical item** works in a **sentence**, give the unreduced **translation** of the **sentence** in question and then demonstrate that it reduces to the desired reduced version.

The reduced **translations** have forms to which the **deduction rules** apply. So always use reduced **translations** for **input** in **model generation**: here, we are assuming that we have got the **translation** right, and that we **know** how to get it, and are interested in seeing what further **inference** can be performed.



## Chapter 7

# Fragment 4: Noun Phrases and Quantification

In this chapter we will continue to enhance the **fragment** both by introducing additional types of **expressions** and by improving the **syntactic analysis** of the **sentences** we are dealing with.

$\mathcal{F}_4$  will require further enrichments of the **translation** language. Our next steps are:

- Analysis of **NP**.
- Treatment of **adjectives** and **adverbs**.
- **Quantification** and **definite description**

### 7.1 Fragment 4

As always we start off a new **fragment** by looking at the new data we want to cover.

#### New Data in Fragment $\mathcal{F}_4$ (more Noun Phrases)

▷ In  $\mathcal{F}_4$  we want to extend  $\mathcal{F}_3$  so it can deal with the following **sentences**: (without the “the-NP” trick)

1. “*Peter loved the cat.*”, but not \* “*Peter loved the the cat.*”
2. “*John killed a cat with a white tail.*”
3. “*Peter chased the gangster in the red sportscar.*”
4. “*Peter loves every cat.*”
5. “*Every man loves a woman.*”
6. “*The quick brown fox jumps over the lazy dog.*”
7. “*The very heavy boat sank quickly.*”



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The first **example** suggests that we need a full and uniform treatment of **determiners** like “*the*”, “*a*”, and “*every*”. The second and third introduces a new **phenomenon**: **prepositional phrases** like “*with a hammer/mouse*”; these are essentially nominal **phrases** that **modify** the **meaning** of other **phrases** via a **preposition** like “*with*”, “*in*”, “*on*”, “*at*”. These two show that the **prepositional phrase** can **modify** the **verb** or the **object**.



### New Grammar in Fragment $\mathcal{F}_4$ (Common Noun Phrases)

▷ To account for the **syntax** we extend the functionality of **noun phrases** from  $\mathcal{F}_1$ .

▷ **Definition 7.1.1.**  $\mathcal{F}_4$  adds the **rules** on the right to  $\mathcal{F}_3$  (on the left):

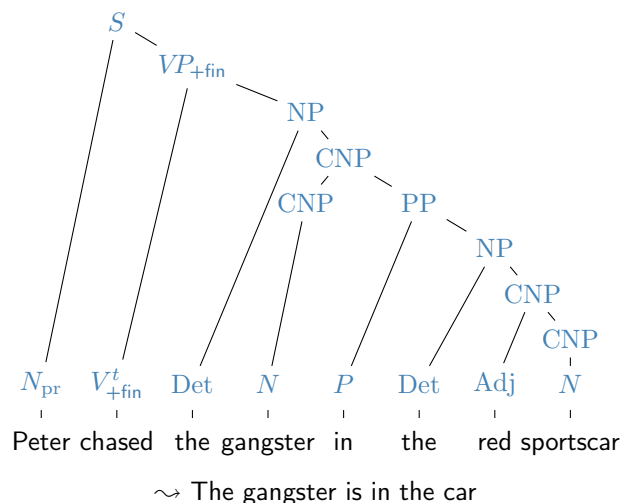
|                                                       |                                                                 |
|-------------------------------------------------------|-----------------------------------------------------------------|
| $S1: S \rightarrow NP VP_{+fin},$                     | $S3: S \rightarrow S PP,$                                       |
| $S2: S \rightarrow S \text{ conj } S,$                | $N3: NP \rightarrow Det \text{ CNP},$                           |
| $V1: VP_{\pm fin} \rightarrow V_{\pm fin}^i,$         | $N4: CNP \rightarrow N,$                                        |
| $V2: VP_{\pm fin} \rightarrow V_{\pm fin}^t NP,$      | $N5: CNP \rightarrow CNP PP,$                                   |
| $V4: VP_{+fin} \rightarrow BE_{\pm} NP,$              | $N6: CNP \rightarrow Adj \text{ CNP},$                          |
| $V5: VP_{+fin} \rightarrow BE_{pred} Adj,$            | $P1: PP \rightarrow P NP,$                                      |
| $V6: VP_{+fin} \rightarrow \text{didn't } VP_{-fin},$ | $V3': VP_{\pm fin} \rightarrow VP_{\pm fin} VP_{conj \pm fin},$ |
| $N1: NP \rightarrow N_{pr},$                          | $V7: VP_{conj \pm fin} \rightarrow \text{conj } VP_{\pm fin},$  |
| $N2: NP \rightarrow \text{Pron}$                      | $V8: VP_{+fin} \rightarrow VP_{+fin} Adv,$                      |
|                                                       | $V9: VP_{\pm fin} \rightarrow VP_{\pm fin} PP,$                 |
|                                                       | $L1: P \rightarrow \text{with} \mid \text{of} \mid \dots$       |

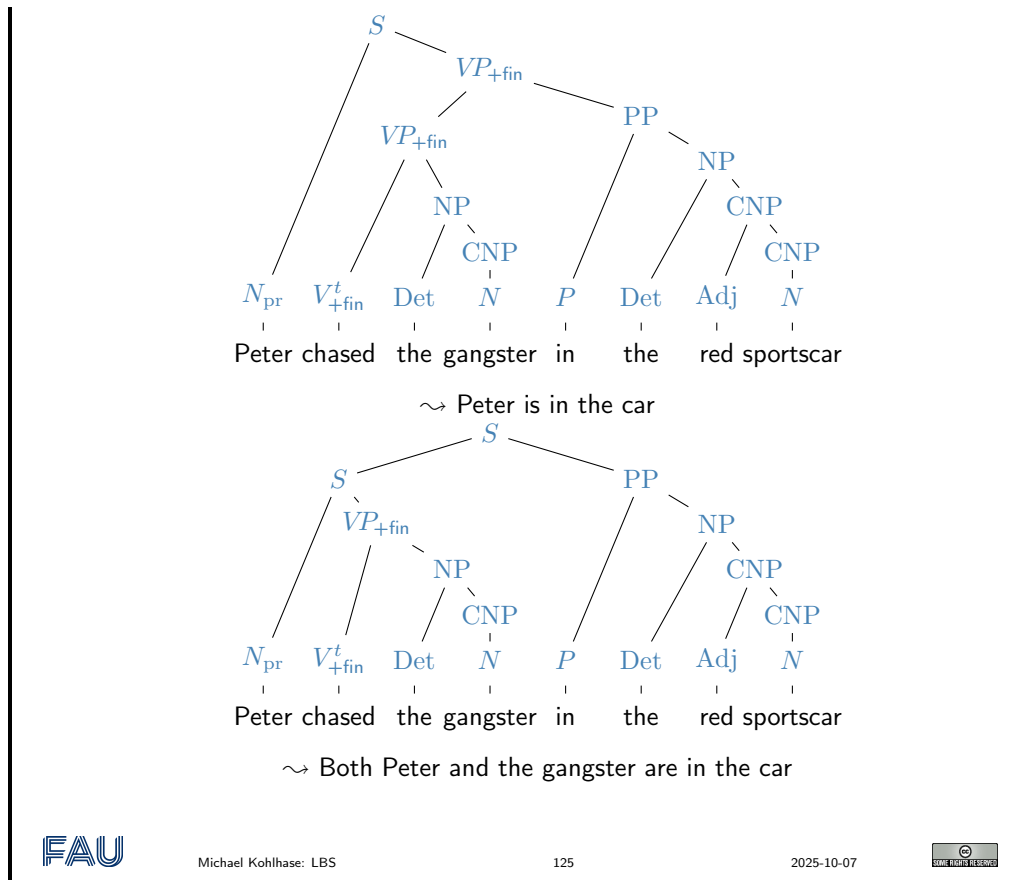
▷ **Definition 7.1.2.** A **common noun** is a **noun** that describes a **type**, for example “*woman*”, or “*philosophy*” rather than an **token**, such as “*Amelia Earhart*” (**proper name**).

**Note:** Again, we assume appropriate **lexical insertion rules** without specification.

### Testing the $\mathcal{F}_4$ Syntax on an example

▷ **Example 7.1.3.** Can we capture the (syntactic) attachment ambiguity in “*Peter chased the gangster in the red sportscar.*”





## 7.2 A Target Logic for Fragment 4

Now that we have fixed  $\mathcal{F}_4$  and have an idea of the syntactical categories, we have to take a look at the target logic. We will first take stock of what we need and then develop the necessary logic technology.

### Higher-Order Logic with Descriptions

▷ **Plan:** We need to extend  $\text{HOL}^{\text{tr}}$  with

- ▷ quantifiers so we can treat “*Every student sleeps*”
- ▷ a logical operator for definite descriptions, e.g. “*the teacher sleeps*”

We will call this logic Higher-Order Logic with Descriptions (quantifiers taken for granted)

▷ **Note:** Quantifiers can be added to any logic: Extend the

- ▷ syntax by variables and a new binding symbol (language-level)
- ▷ semantics by a new clause for the value function
- ▷ calculi by new quantifier introduction/elimination rules

Quite tedious compared to simply adding a new logical constant!

- ▷ **Note:** The description operator will have to have type  $(\iota \rightarrow o) \rightarrow \iota$ , as the denotation of “*teacher*” has type  $\iota \rightarrow o$  and “*the teacher*” has type  $\iota$ . (like “*Mary*”)



### 7.2.1 Quantifiers and Equality in Higher-Order Logic

As a first step towards our target logic, we will now introduce a higher-order logic with quantifiers and equality building on  $\text{HOL}^q$  as a **logical system** without concern for linguistic issues. We will call this system  $\text{HOL}^\rightarrow$ .

Actually, there are two (equivalent) ways of developing  $\text{HOL}^\rightarrow$ : we can either add quantifiers and define equality using them or we can take equality as primitive and define all connectives and quantifiers from that. The latter shows that  $\text{HOL}^q$  and  $\text{HOL}^\rightarrow$  are equally expressive – and the extension does not add anything in theory.

There is a more elegant way to treat **quantifiers** than extending language, semantics, and inference systems in  $\text{HOL}^\rightarrow$ . It builds on the realization that the  $\lambda$ -abstraction is the only **binding operator** we need, **quantifiers** are then modeled as second-order **logical constants**. Note that we do not have to change the **syntax** of  $\text{HOL}^\rightarrow$  to introduce **quantifiers**; only the “lexicon”, i.e. the **set** of **logical constants**. Since  $\Pi^\alpha$  and  $\Sigma^\alpha$  are **logical constants**, we need to fix their **semantics**.

#### Higher-Order Abstract Syntax

- ▷ **Idea:** In  $\text{HOL}^\rightarrow$ , we already have **binding operator**:  $\lambda$ , use that to treat **quantification**.

- ▷ **Definition 7.2.1.** We add two new **logical constants**  $\Pi^\alpha$  and  $\Sigma^\alpha$  for each **type**  $\alpha$ :

1.  $\mathcal{I}(\Pi^\alpha)(p) = \top$ , iff  $p(a) = \top$  for all  $a \in \mathcal{D}_\alpha$  (i.e. if  $p$  is the universal set)
2.  $\mathcal{I}(\Sigma^\alpha)(p) = \top$ , iff  $p(a) = \top$  for some  $a \in \mathcal{D}_\alpha$  (i.e. iff  $p$  is non-empty)

- ▷ **Definition 7.2.2.** Regain traditional **quantifiers** as abbreviations:

$$\forall X_\alpha. \mathbf{A} := \Pi^\alpha (\lambda X_\alpha. \mathbf{A}) \quad \exists X_\alpha. \mathbf{A} := \Sigma^\alpha (\lambda X_\alpha. \mathbf{A})$$

- ▷ **Observation:** Indeed:  $\mathcal{I}_\varphi(\forall X_\iota. \mathbf{A}) = \mathcal{I}_\varphi(\Pi^\iota (\lambda X_\iota. \mathbf{A})) = \mathcal{I}(\Pi^\iota)(\mathcal{I}_\varphi(\lambda X_\iota. \mathbf{A})) = \top$  iff  $\mathcal{I}_\varphi(\lambda X_\iota. \mathbf{A})(a) = \mathcal{I}_{[a/X]_\varphi}(\mathbf{A}) = \top$  for all  $a \in \mathcal{D}_\alpha$ .

- ▷ **Definition 7.2.3.** We call this approach to **binding operators** **higher-order abstract syntax (HOAS)**.



In  $\text{HOL}^\rightarrow$ , where we have quantifiers, we can define an operator for equality using Leibniz’ **indiscernibility criterion**. According to this, two **objects** are equal, iff they do not have any **properties** that can be used to tell them apart. As we can quantify over **properties** – which can be expressed as **variables** of type  $\alpha \rightarrow o$  – in  $\text{HOL}^\rightarrow$  we can directly express the principle and  $\beta$ -abstract it into a predicate.

#### Equality

- ▷ **Definition 7.2.4 (Leibniz equality).**  $\mathbf{Q}^\alpha \mathbf{A}_\alpha \mathbf{B}_\alpha = \forall P_{\alpha \rightarrow o}. P\mathbf{A} \Leftrightarrow P\mathbf{B}$  (Leibniz’ indiscernibility of identicals)

- ▷ **Note:**  $\forall P_{\alpha \rightarrow o}. PA \Rightarrow PB$  (get the other direction by instantiating  $P$  with  $Q$ , where  $QX \Leftrightarrow \neg PX$ )
- ▷ **Theorem 7.2.5.** If  $\mathcal{M} = \langle \mathcal{D}, \mathcal{I} \rangle$  is a standard model, then  $\mathcal{I}_\varphi(\mathbf{Q}^\alpha)$  is the identity relation on  $\mathcal{D}_\alpha$ .
- ▷ **Definition 7.2.6 (Notation).** We write  $\mathbf{A} = \mathbf{B}$  for  $\mathbf{QAB}$  ( $\mathbf{A}$  and  $\mathbf{B}$  are equal, iff there is no property  $P$  that can tell them apart.)
- ▷ *Proof:*
1.  $\mathcal{I}_\varphi(\mathbf{QAB}) = \mathcal{I}_\varphi(\forall P. PA \Rightarrow PB) = \top$ , iff  $\mathcal{I}_{\varphi, [r/P]}(PA \Rightarrow PB) = \top$  for all  $r \in \mathcal{D}_{\alpha \rightarrow o}$ .
  2. For  $\mathbf{A} = \mathbf{B}$  we have  $\mathcal{I}_{\varphi, [r/P]}(PA) = r(\mathcal{I}_\varphi(\mathbf{A})) = \top$  or  $\mathcal{I}_{\varphi, [r/P]}(PB) = r(\mathcal{I}_\varphi(\mathbf{B})) = \top$ .
  3. Thus  $\mathcal{I}_\varphi(\mathbf{QAB}) = \top$ .
  4. Let  $\mathcal{I}_\varphi(\mathbf{A}) \neq \mathcal{I}_\varphi(\mathbf{B})$  and  $r = \{\mathcal{I}_\varphi(\mathbf{A})\} \in \mathcal{D}_{\alpha \rightarrow o}$  (exists in a standard model)
  5. so  $r(\mathcal{I}_\varphi(\mathbf{A})) = \top$  and  $r(\mathcal{I}_\varphi(\mathbf{B})) = \top$
  6.  $\mathcal{I}_\varphi(\mathbf{QAB}) = \top$ , as  $\mathcal{I}_{\varphi, [r/P]}(PA \Rightarrow PB) = \top$ , since  $\mathcal{I}_{\varphi, [r/P]}(PA) = r(\mathcal{I}_\varphi(\mathbf{A})) = \top$  and  $\mathcal{I}_{\varphi, [r/P]}(PB) = r(\mathcal{I}_\varphi(\mathbf{B})) = \top$ .

□



As we can see, we can even prove that the denotation of Leibniz equality expressed in  $\text{HOL}^\rightarrow$  is the identity relation on the respective universe.

### Alternative: $\text{HOL}^\infty$

- ▷ **Definition 7.2.7.** There is only one logical constant in  $\text{HOL}^\infty$ :  $q^\alpha \in \Sigma_{\alpha \rightarrow \alpha \rightarrow o}$  with  $\mathcal{I}(q^\alpha)(a, b) = \top$ , iff  $a = b$ .

We define the rest as below: Definitions (D) and Notations (N)

|   |                                            |     |                                                                                                                               |
|---|--------------------------------------------|-----|-------------------------------------------------------------------------------------------------------------------------------|
| N | $\mathbf{A}_\alpha = \mathbf{B}_\alpha$    | for | $q^\alpha \mathbf{A}_\alpha \mathbf{B}_\alpha$                                                                                |
| D | $T$                                        | for | $q^o = q^o$                                                                                                                   |
| D | $F$                                        | for | $\lambda X_o. T = \lambda X_o. X_o$                                                                                           |
| D | $\Pi^\alpha$                               | for | $q^{\alpha \rightarrow o} (\lambda X_\alpha. T)$                                                                              |
| N | $\forall X_\alpha. \mathbf{A}$             | for | $\Pi^\alpha (\lambda X_\alpha. \mathbf{A})$                                                                                   |
| D | $\wedge$                                   | for | $\lambda X_o. \lambda Y_o. (\lambda G_{o \rightarrow o \rightarrow o}. GTT = \lambda G_{o \rightarrow o \rightarrow o}. GXY)$ |
| N | $\mathbf{A} \wedge \mathbf{B}$             | for | $\wedge (\mathbf{A}_o) (\mathbf{B}_o)$                                                                                        |
| D | $\Rightarrow$                              | for | $\lambda X_o. \lambda Y_o. (X = X \wedge Y)$                                                                                  |
| N | $\mathbf{A} \Rightarrow \mathbf{B}$        | for | $\Rightarrow (\mathbf{A}_o) (\mathbf{B}_o)$                                                                                   |
| D | $\neg$                                     | for | $q^o F$                                                                                                                       |
| D | $\vee$                                     | for | $\lambda X_o. \lambda Y_o. \neg (\neg X \wedge \neg Y)$                                                                       |
| N | $\mathbf{A} \vee \mathbf{B}$               | for | $\vee (\mathbf{A}_o) (\mathbf{B}_o)$                                                                                          |
| D | $\exists X_\alpha. \mathbf{A}_o$           | for | $\neg (\forall X_\alpha. \neg \mathbf{A})$                                                                                    |
| N | $\mathbf{A}_\alpha \neq \mathbf{B}_\alpha$ | for | $\neg q^\alpha (\mathbf{A}_\alpha) (\mathbf{B}_\alpha)$                                                                       |

- ▷ yield the intuitive meanings for connectives and quantifiers.

In a way, this development of higher-order logic is more foundational, especially in the context of Henkin semantics. There, ??? does not hold (see [And72] for details). Indeed the proof of ??? needs the existence of **singletons**, which can be shown to be equivalent to the existence of the identity relation. In other words, Leibniz equality only denotes the equality relation, if we have an equality relation in the models. However, the only way of enforcing this (remember that Henkin models only guarantee functions that can be explicitly written down as  **$\lambda$ -terms**) is to add a **logical constant** for equality to the **signature**.

## 7.2.2 A Logic for Definite Descriptions

The next extension is a description operator. Again, we will develop the target logic from a logical systems perspective before we come to linguistic or inferential aspects.

### Semantics of Definite Descriptions

- ▷ **Problem:** We need the **meaning** for the **determiner** “*the*”, as in “*the boy runs*”
- ▷ **Idea (Type):** “*the boy*” behaves like a **proper name** (e.g. “*Peter*”), i.e. has type  $\iota$ . Applying “*the*” to a **noun** (type  $\iota \rightarrow o$ ) yields  $\iota$ . So “*the*” has type  $(\alpha \rightarrow o) \rightarrow \alpha$ , i.e. it takes a **set** as **argument**.
- ▷ **Idea (Semantics):** “*the*” has the fixed **semantics** that this **function** returns the single **member** of its **argument** if the **argument** is a **singleton**, and is otherwise **undefined**. (new logical constant)
- ▷ **Definition 7.2.8.** We introduce a new **logical constant**  $\iota$ .  $\mathcal{I}(\iota)$  is the function  $f \in \mathcal{D}_{(\alpha \rightarrow o) \rightarrow \alpha}$ , such that  $f(s) = a$ , iff  $s \in \mathcal{D}_{\alpha \rightarrow o}$  is the **singleton**  $\{a\}$ , and is otherwise **undefined**. (remember that we can interpret predicates as sets)
- ▷ **Axioms for  $\iota$ :**

$$\begin{aligned} & \forall X_{\alpha}. X = \iota = X \\ & \forall P, Q. Q(\iota P) \wedge (\forall X, Y. P(X) \wedge P(Y) \Rightarrow X = Y) \Rightarrow (\forall Z. P(Z) \Rightarrow Q(Z)) \end{aligned}$$

**Note:** The first **axiom** is an **equational** characterization of  $\iota$ . It uses the fact that the **singleton** with **member**  $X$  can be **written** as  $= X$  (or  $\lambda Y. = XY$ , which is  $=_{\eta}$ -equivalent). The second **axiom** says that if we have  $Q \iota P$  and  $P$  is a **singleton** (i.e. all  $X, Y \in P$  are **identical**), then  $Q$  holds on any **member** of  $P$ . Surprisingly, these two **axioms** are **equivalent** in  $\text{HOL}^{\rightarrow}$ .

Actually, the description operator is just one of a set of similar operators. We will look at them together to get a better intuition.

### More Operators and Axioms for $\text{HOL}^{\rightarrow}$

- ▷ **Definition 7.2.9.** The **unary conditional**  $\mathbf{w}^{\alpha} \in \Sigma_{o \rightarrow \alpha \rightarrow \alpha}$   
 $\mathbf{w} (A_o) B_{\alpha}$  means: “If  $A$ , then  $B$ ”.
- ▷ **Definition 7.2.10.** The **binary conditional**  $\mathbf{if}^{\alpha} \in \Sigma_{o \rightarrow \alpha \rightarrow \alpha \rightarrow \alpha}$   
 $\mathbf{if} (A_o) (B_{\alpha}) (C_{\alpha})$  means: “if  $A$ , then  $B$  else  $C$ ”.
- ▷ **Definition 7.2.11.** The **description operator**  $\iota^{\alpha} \in \Sigma_{(\alpha \rightarrow o) \rightarrow \alpha}$

if  $P$  is a **singleton** set, then  $\iota (P_{\alpha \rightarrow o})$  is the (unique) **element** in  $P$ .

▷ **Definition 7.2.12.** The **choice operator**  $\gamma^\alpha \in \Sigma_{(\alpha \rightarrow o) \rightarrow \alpha}$   
if  $P$  is non-empty, then  $\gamma (P_{\alpha \rightarrow o})$  is an arbitrary **element** from  $P$ .

▷ **Definition 7.2.13 (Axioms for these Operators).**

- ▷ **unary conditional:**  $\forall \varphi_o. \forall X_\alpha. \varphi \Rightarrow \mathbf{w} \varphi X = X$
- ▷ **binary conditional:**  $\forall \varphi_o. \forall X_\alpha, Y_\alpha, Z_\alpha. (\varphi \Rightarrow \mathbf{if} \varphi X Y = X) \wedge (\neg \varphi \Rightarrow \mathbf{if} \varphi Z X = X)$
- ▷ **description operator**  $\forall P_{\alpha \rightarrow o}. (\exists^1 X_\alpha. PX) \Rightarrow (\forall Y_\alpha. PY \Rightarrow \iota P = Y)$
- ▷ **choice operator**  $\forall P_{\alpha \rightarrow o}. (\exists X_\alpha. PX) \Rightarrow (\forall Y_\alpha. PY \Rightarrow \gamma P = Y)$

▷ **Idea:** These operators ensure a much larger supply of functions in Henkin models.



## More on the Description Operator

▷  $\iota$  is a weak form of the choice operator. (only works on singletons)

▷ Alternative Axiom of Descriptions:  $\forall X_\alpha. \iota^\alpha = X = X$ .

- ▷ use that  $\mathcal{I}_{[a/X]}(= X) = \{a\}$
- ▷ we only need this for base types  $\neq o$
- ▷ Define  $\iota^o := (\lambda X_o. X)$  or  $\iota^o := \lambda G_{o \rightarrow o}. G T$  or  $\iota^o := T$
- ▷  $\iota^{(\alpha \rightarrow \beta)} := \lambda H_{(\alpha \rightarrow \beta) \rightarrow o} X_\alpha. \iota^\beta (\lambda Z_\beta. (\exists F_{\alpha \rightarrow \beta}. H F \wedge F X = Z))$



## 7.3 Translation for Fragment 4

Now we can finally come to the linguistic aspects of  $\mathcal{F}_4$  and in particular the translation. If we assume that  $\forall X. \text{boy}(X) \Rightarrow \text{runs}(X)$  is an adequate **translation** of “*Every boy runs*”, and  $\exists X. \text{boy}(X) \wedge \text{runs}(X)$  one for “*Some boy runs*”, then we obtain the **translations** of the **determiners** by straightforward  $=_\beta$ -expansion.

## Translation of Determiners and Quantifiers

▷ **Idea:** We establish the **meaning** of **quantifying determiners** by  $=_\beta$ -expansion.

1. assume that we are **translating** into a  $\lambda$ -calculus with **quantifiers** and that
    - ▷  $\forall X. \text{boy}(X) \Rightarrow \text{runs}(X)$  translates “*Every boy runs*”, and
    - ▷  $\exists X. \text{boy}(X) \wedge \text{runs}(X)$  for “*Some boy runs*”
  2.  $\mathbb{W} := \lambda P_{\iota \rightarrow o} Q_{\iota \rightarrow o}. (\forall X. P(X) \Rightarrow Q(X))$  for “*every*”. (subset relation)
  3.  $\mathbb{X} := \lambda P_{\iota \rightarrow o} Q_{\iota \rightarrow o}. (\exists X. P(X) \wedge Q(X))$  for “*some*”. (non-empty intersection)
- ▷ **Problem:** Linguistic quantifiers take two **arguments** (restriction and **scope**), **logical** ones only one!  
(in logics, restriction is the universal set)

▷ We cannot treat “*the*” with regular quantifiers (new logical constant; see below)

▷ **Definition 7.3.1.**

We translate the word *the* to  $\tau := \lambda P_{\iota \rightarrow o} Q_{\iota \rightarrow o}. Q \iota P$ , where  $\iota$  is a new operator that given a set returns its (unique) member.

▷ **Example 7.3.2.** This translates “*The pope spoke*” to  $\tau(\text{pope}, \text{speaks})$ , which  $=_{\beta}$ -reduces to  $\text{speaks}(\iota \text{ pope})$ .



Note that if we interpret objects of type  $\iota \rightarrow o$  as sets, then the denotations of “*boy*” and “*run*” are sets (of boys and running individuals). Then the denotation of “*every*” is a relation between sets; more specifically the subset relation. As a consequence, “*All boys run*” is true if the set of boys is a subset of the set of running individuals. For “*some*” the relation is the non-empty intersection relation, “*some boy runs*” is true if the intersection of set of boys and the set of running individuals is non-empty.

Note that there is a mismatch in the “arity” of linguistic and logical notions of quantifiers here. Linguistic quantifiers take two arguments, the restriction (in our example “*boy*”) and the predication (“*run*”). The logical quantifiers only take one argument, the predication  $A$  in  $\forall X.A$ . In a way, the restriction is always the universal set. In our model, we have modeled the linguistic quantifiers by adding the restriction with a connective (implication for the universal quantifier and conjunction for the existential one).

## Translation of Special lexical items and classes

▷ If “*Adj*” is an intersective adjective and  $Adj'$  is a constant of type  $\iota \rightarrow o$ , then

▷ 9:  $Adj \rightsquigarrow Adj'$  or

▷ 9':  $Adj \rightsquigarrow (\lambda P_{\iota \rightarrow o} X_{\iota}. P(X) \wedge Adj'(X))$

▷ If “*Adj*” is a non-intersective adjective, then  $Adj'$  is a constant of type  $(\iota \rightarrow o) \rightarrow \iota \rightarrow o$  whose denotation is given the interpretation by  $\mathcal{I}$  and

▷ 10:  $Adj \rightsquigarrow Adj'$ .



There is now a discrepancy in the type assigned to subject NPs with quantificational determiners, and subject NPs consisting of a proper name or a definite description. This corresponds to a discrepancy in the roles of the NP and VP in interpretation: where the NP is quantificational, it takes the VP as argument; where the NP is non-quantificational, it constitutes the argument of the VP. This discrepancy can be resolved by type raising.

## Proper names

▷ **Problem:** Subject NPs with quantificational determiners have type  $(\iota \rightarrow o) \rightarrow o$  (and are applied to the VP) whereas subject NPs with proper names have type  $\iota$ . (argument to the VP)

▷ **Idea:** “*John runs*” translates to  $\text{runs}(\text{john})$ , where  $\text{runs} \in \Sigma_{\iota \rightarrow o}$  and  $\text{john} \in \Sigma_{\iota}$ .  
Now we  $=_{\beta}$ -expand over the VP yielding  $(\lambda P_{\iota \rightarrow o}. P(\text{john})) \text{runs}$

$\lambda P_{\iota \rightarrow o}.P(\text{john})$  has type  $(\iota \rightarrow o) \rightarrow o$  and can be applied to the VP **runs**.

▷ **Definition 7.3.3.** If  $c \in \Sigma_\alpha$ , then **type raising**  $c$  yields  $\lambda P_{\alpha \rightarrow o}.P c$ .



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## Definite NPs

▷ **Problem:** On our current assumptions,  $the' = \iota$ , and so for any definite NP “*the N*”, its translation is  $\iota N$ , an expression of type  $\iota$ .

▷ **Idea:** Type lift just as we did with proper names:  $\iota N$  type lifts to  $\lambda P.P \iota N$ , so  $the' = \lambda PQ.Q \iota P$

▷ **Advantage:** This is a “generalized quantifier treatment”:  $the'$  treated as denoting relations between sets.

▷ **Solution by Barwise&Cooper 1981:** For any  $a \in \mathcal{D}_{\iota \rightarrow o}$ :  $\mathcal{I}(the')(a) = \mathcal{I}(every')(a)$  if  $\#(a) = 1$ , undefined otherwise

So  $the'$  is that function in  $\mathcal{D}_{(\iota \rightarrow o) \rightarrow (\iota \rightarrow o) \rightarrow o}$  such that for any  $A, B \in \mathcal{D}_{\iota \rightarrow o}$  if  $\#(A) = 1$  then  $the'(A, B) = \mathbf{T}$  if  $A \subseteq B$  and  $the'(A, B) = \mathbf{F}$  if  $A \not\subseteq B$  otherwise undefined



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This treatment of “*the*” is completely equivalent to the  $\iota$  treatment, guaranteeing that, for example, the sentence “*The dog barked*” has the value **true** if there is a unique dog and that dog barked, the value **false** if there is a unique dog and that dog did not bark, and, if there is no dog or more than one dog, has an undefined value. So we can indeed treat “*the*” as a generalized quantifier.

However, there are two further considerations.

1. The function characterized above cannot straightforwardly be represented as a relation on sets. We might try the following:

$$\{\langle X, Y \rangle \mid \#(X) = 1 \ \& \ X \subseteq Y\}$$

Now, consider a pair  $\langle X, Y \rangle$  which is not a member of the set. There are two possibilities: either  $\#(X) \neq 1$  or  $\#(X) = 1$  and  $X \not\subseteq Y$ . But we want to treat these two cases differently: the first leads to undefinedness, and the second to falsity. But the relation does not capture this difference.

2. If we adopt a generalized quantifier treatment for the definite article, then we must always treat it as an expression of type  $\iota \rightarrow o \rightarrow o$ . If we maintain the  $\iota$  treatment, we can choose, for any given case, whether to treat a definite NP as an expression of type  $\iota$ , or to type lift the NP to  $\iota \rightarrow o \rightarrow o$ . This flexibility will be useful (particularly for purposes of model generation). Consequently, we will maintain the  $\iota$  treatment.

These considerations may appear purely technical in nature. However, there is a significant philosophical literature on definite descriptions, much of which focuses on the question of whether these expressions are referential or quantificational. Many have the view that definite descriptions are ambiguous between a referential and a quantificational interpretation, which in fact differentiates them from other NPs, and which is captured to some extent by our proposed treatment.

Our discussion of quantification has led us to a treatment of quantified NPs as expressions of type  $(\iota \rightarrow o) \rightarrow o$ . Moreover, we now have the option of treating proper names and definite descriptions



as **expressions** of this higher **type** too. This change in the **type** of **NPs** causes no difficulties with composition in the **intransitive sentences** considered so far, although it requires us to take the **translation** of the **VP** as **argument** to the **subject NP**.

### Problems with Type raised NPs

- ▷ **Problem:** We have **type-raised NPs**, but consider **transitive verbs** as in “*Mary loves most cats*”. *loves* is of type  $\iota \rightarrow \iota \rightarrow o$  while the **object NP** is of type  $(\iota \rightarrow o) \rightarrow o$  (application?)
- ▷ **Another Problem:** We encounter the same problem in the **sentence** “*Mary loves John*” if we choose to type-lift the **NPs**.
- ▷ **Idea:** Change the **type** of the **transitive verb** to allow it to “swallow” the higher-typed **object NP**.
- ▷ **Better Idea:** Adopt a new **rule** for semantic composition for this case.
- ▷ **Remember:** *loves'* is a **function** from individuals (e.g. “*John*”) to **properties** (in the case of the **VP** “*loves John*”, the **property** “*X loves John*” of *X*).



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In our **type-raised semantics**, the **denotation** of **NPs** is a **function**  $f$  from **properties** to **truth values**. So if we **compose** an **NP denotation** with a **transitive verb denotation**, we obtain a **function** from individuals to **truth values**, i.e. a **property**.

### Type raised NPs and Function Composition

- ▷ We can extend  $HOL^{\rightarrow}$  by a **constant**  $\circ_{(\beta \rightarrow \gamma) \rightarrow (\alpha \rightarrow \beta) \rightarrow \alpha \rightarrow \gamma}$  by setting  $\circ := \lambda F G X. F(G(X))$  thus

$$\circ g f \rightarrow_{\beta} \lambda X. g(f(X)) \quad \text{and} \quad \circ g f a \rightarrow_{\beta} g(f(a))$$

In our **example**, we have

$$\begin{aligned} \circ (\lambda P. P(\text{john})) \text{ loves} &=_{Def} (\lambda F G X. F(G(X))) (\lambda P. P(\text{john})) \text{ loves} \\ &\rightarrow_{\beta} (\lambda G X. (\lambda P. P(\text{john})) G(X)) \text{ loves} \\ &\rightarrow_{\beta} \lambda X. (\lambda P. P(\text{john})) \text{ loves } X \\ &\rightarrow_{\beta!} \lambda X. \text{loves}(X, \text{john}) \end{aligned}$$



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**Definition 7.3.4 (Function Composition).** Let  $f: A \rightarrow B$  and  $g: B \rightarrow C$  be **functions**, then we call the **function**  $h: A \rightarrow C$  such that  $h(a) = g(f(a))$  for all  $a \in A$  the **composition** of  $g$  and  $f$  and **write** it as  $gf$  (read this as “ $g$  after  $f$ ”).

We have managed to deal with the **determiners** “*every*” and “*some*” in a **compositional** fashion, using the familiar **first-order quantifiers**. However, most **natural language determiners** cannot be treated so straightforwardly. Consider the **determiner** “*most*”, as in:

1. “*Most boys run.*”

There is clearly no simple way to **translate** this using  $\forall$  or  $\exists$  in any way familiar from **first-order logic**. As we have no **translation** at hand, then, let us consider what the **truth conditions** of this **sentence** are.

### Generalized Quantifiers

- ▷ **Problem:** What about “*Most boys run*.”: linguistically “*most*” behaves exactly like “*every*” or “*some*”.
- ▷ **Idea:** “*Most boys run*” is **true** just in case the **number** of boys who run is **greater than** the **number** of boys who do not run.

$$\#(\mathcal{I}_\varphi(\text{boy}) \cap \mathcal{I}_\varphi(\text{runs})) > \#(\mathcal{I}_\varphi(\text{boy}) \setminus \mathcal{I}_\varphi(\text{runs}))$$

- ▷ **Definition 7.3.5.**  $\#(A) > \#(B)$ , iff there is no **surjective function** from  $B$  to  $A$ , so we can define

$$\text{most}' := \lambda AB. \neg(\exists F. \forall X. A(X) \wedge \neg B(X) \Rightarrow (\exists Y. A(Y) \wedge B(Y) \wedge X = F(Y)))$$



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The NP “*most boys*” thus must **denote** something which, combined with the **denotation** of a VP, gives this **statement**. In other words, it is a **function** from **sets** (or, equivalently, from **functions** in  $\mathcal{D}_{i \rightarrow o}$ ) to **truth values** which gives **true** just in case the **argument** stands in the relevant **relation** to the **denotation** of “*boy*”. This **function** is itself a **characteristic function** of a **set of sets**, namely:

$$\{X \mid \#(\mathcal{I}_\varphi(\text{boy}), X) > \#(\mathcal{I}_\varphi(\text{boy}) \setminus X)\}$$

Note that this is just the same kind of **object** (a **set of sets**) as we postulated above for the **denotation** of “*every boy*”.

Now we want to go a step further, and determine the contribution of the **determiner** “*most*” itself. “*most*” must **denote** a **function** which combines with a CNP **denotation** (i.e. a **set of individuals** or, equivalently, its **characteristic function**) to **return** a **set of sets**: just those **sets** which stand in the appropriate **relation** to the **argument**.

The **function**  $\text{most}'$  is the **characteristic function** of a **set of pairs**:

$$\{\langle X, Y \rangle \mid \#(X \cap Y) > \#(X \setminus Y)\}$$

Conclusion: “*most*” **denotes** a **relation** between **sets**, just as “*every*” and “*some*” do. In fact, all **natural language determiners** have such a **denotation**. (The treatment of the **definite article** along these lines raises some issues to which we will return.)

### Back to “*every*” and “*some*” (set characterization)

- ▷ We can now give an explicit **set** characterization of “*every*” and “*some*”:
- 1. “*every*” **denotes**  $\{\langle X, Y \rangle \mid X \subseteq Y\}$
- 2. “*some*” **denotes**  $\{\langle X, Y \rangle \mid X \cap Y \neq \emptyset\}$
- ▷ The **denotations** can be given in **equivalent function** terms, as demonstrated above with the **denotation** of “*most*”.



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## 7.4 Inference for Fragment 4

In  $\mathcal{F}_4$  we have extended the target logic with quantifiers and description operators of any type. But if we look at the results of the results semantics construction on the examples we see that

these are first-order with descriptions only.

As a consequence, we can get by with modest extensions of the first-order model generation calculi we have used for the tableau machine in [semantic/pragmatic analysis](#). We will develop these separately for the quantifiers and descriptions now.

### 7.4.1 Model Generation with Quantifiers

Since we have introduced new [logical constants](#), we have to extend the [model generation](#) calculus by rules for these. To keep the calculus simple, we will treat  $\exists X.A$  as an abbreviation of  $\neg(\forall X.\neg A)$ . Thus we only have to treat the universal quantifier in the rules.

#### Model Generation (The *RM* Calculus [Kon04])

- ▷ **Idea:** Try to generate domain-minimal (i.e. fewest individuals) [Herbrand models](#) (for NL interpretation)
- ▷ **Problem:** Even one [function constant](#) makes [Herbrand universe infinite](#) (solution: leave them out)
- ▷ **Definition 7.4.1.** *RM* adds ground quantifier rules to propositional tableau calculus

$$\frac{(\forall X.A)^T \quad c \in \mathcal{H}}{([c/X](A))^T} \text{ } RM \forall$$

$$\frac{(\forall X.A)^F \quad \mathcal{H} = \{a_1, \dots, a_n\} \quad w \notin \mathcal{H} \text{ new}}{([a_1/X](A))^F \mid \dots \mid ([a_n/X](A))^F \mid ([w/X](A))^F} \text{ } RM \exists$$

- ▷ *RM*  $\exists$  rule introduces new witness constant  $w$  to the [branch Herbrand universe](#)  $\mathcal{H}$ : the set of all [individual constants](#) on the [branch](#).
- ▷ Apply *RM*  $\forall$  exhaustively (for new  $w$  reapply all *RM*  $\forall$  rules on branch!)



The rule *RM*  $\forall$  allows to instantiate the scope of the [quantifier](#) with all the instances of the [Herbrand universe](#), whereas the rule *RM*  $\exists$  makes a case distinction between the cases that the scope holds for one of the already known [individuals](#) (those in the [Herbrand universe](#)) or a currently unknown one (for which it introduces a [witness constant](#)  $w \in \Sigma_0^{sk}$ ).

Note that in order to have a complete calculus, it is necessary to apply the *RM*  $\forall$  rule to all universal formulae in the tree with the new constant  $w$ . With this strategy, we arrive at a complete calculus for (finite) satisfiability in first-order logic, i.e. if a formula has a (finite) Model, then this calculus will find it. Note that this calculus (in this simple form) does not necessarily find minimal models.

#### Generating infinite models (Natural Numbers)

- ▷ We have to re-apply the *RM*  $\forall$  rule for any new constant

▷ **Example 7.4.2.** This leads to the generation of **infinite** models

$$\begin{array}{c}
 (\forall x. \neg x > x \wedge \dots)^T \\
 N(0)^T \\
 (\forall x. N(x) \Rightarrow (\exists y. N(y) \wedge y > x))^T \\
 (N(0) \Rightarrow (\exists y. N(y) \wedge y > 0))^T \\
 (\exists y. N(y) \wedge y > 0)^T \\
 \begin{array}{c|c}
 N(0)^F & \begin{array}{c} 0 > 0^T \\ N(0)^T \\ 0 > 0^F \\ \perp \end{array} \\
 \perp & \begin{array}{c} \begin{array}{c|c} N(1)^F & \begin{array}{c} N(1)^T \\ 1 > 0^T \\ (N(1) \Rightarrow (\exists y. N(y) \wedge y > 1))^T \\ (\exists y. N(y) \wedge y > 1)^T \\ N(0)^T & N(1)^T & N(2)^T \\ 0 > 1^T & 1 > 1^T & 2 > 1^T \\ \vdots & 1 > 1^F & \vdots \\ \perp & \perp & \perp \end{array} \end{array}
 \end{array}
 \end{array}$$

The rules  $RM \forall$  and  $RM \exists$  may remind you of the rules we introduced for  $PL^q(\mathcal{V})$  in  $\mathcal{F}_2$ . In fact the rules mainly differ in their scoping behavior. We will use  $RM \forall$  as a drop-in replacement for the world-knowledge rule  $\mathcal{T}_V^p WK$ , and express **world knowledge** as universally quantified **sentences**. The rules  $\mathcal{T}_V^p Ana$  and  $RM \exists$  differ in that the first may only be applied to input formulae and does not introduce a witness constant. (It should not, since variables here are **anaphoric**). We need the rule  $RM \exists$  to deal with rule-like world knowledge.

Let us test the new calculus on a couple of linguistically motivated examples. We start very simple: with a discourse of two sentences, where the second has a quantifier.

**Example:** “*Peter is a man. No man walks*”

▷ **Example 7.4.3 (Model generation with quantifiers).**

“*Peter is a man. No man walks*”

$$\begin{array}{c}
 \boxed{\text{man}(\text{peter})} \\
 \boxed{\neg(\exists X. \text{man}(X) \wedge \text{walks}(X))} \\
 (\exists X. \text{man}(X) \wedge \text{walks}(X))^F \\
 (\forall X. \neg \text{man}(X) \vee \neg \text{walks}(X))^T \\
 (\neg \text{man}(\text{peter}) \vee \neg \text{walks}(\text{peter}))^T \\
 \begin{array}{c|c}
 \neg \text{man}(\text{peter})^T & \neg \text{walks}(\text{peter})^T \\
 \text{man}(\text{peter})^F & \text{walks}(\text{peter})^F \\
 \perp & 
 \end{array}
 \end{array}$$

Herbrand valuation:  $\{\text{man}(\text{peter})^T, \text{walks}(\text{peter})^F\}$

The next example is a bit more interesting: We have an anaphor that needs to be resolved.

**Anaphor Resolution** “*A man sleeps. He snores*”

▷ **Example 7.4.4 (Anaphor Resolution).** “*A man sleeps. He snores*”

$$\boxed{\exists X.\text{man}(X) \wedge \text{sleeps}(X)}$$

$$(\text{man}(c^1) \wedge \text{sleeps}(c^1))^{\top}$$

$$\text{man}(c^1)^{\top}$$

$$\text{sleeps}(c^1)^{\top}$$

$$\boxed{\exists Y.\text{man}(Y) \wedge \text{snores}(Y)}$$

|                                                                                                                            |                                                                                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|
| $(\text{man}(c^1) \wedge \text{snores}(c^1))^{\top}$ $\text{man}(c^1)^{\top}$ $\text{snores}(c^1)^{\top}$ $\text{minimal}$ | $(\text{man}(c^2) \wedge \text{snores}(c^2))^{\top}$ $\text{man}(c^2)^{\top}$ $\text{snores}(c^2)^{\top}$ $\text{deictic}$ |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|

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### Anaphora with World Knowledge

- ▷ **Example 7.4.5.** “*Mary is married to Jeff. Her husband is not in town.*” (slightly outside  $\mathcal{F}_2$ )  
 In  $\text{PL}^1$ :  $\text{married}(\text{mary}, \text{jeff})$ , and

$$\exists W_{\text{Male}}, W'_{\text{Female}}.\text{husband}(W, W') \wedge \neg \text{intown}(W)$$

- ▷ **World knowledge**

- ▷ If woman  $X$  is married to man  $Y$ , then  $Y$  is the only husband of  $X$ .  
 ▷  $\forall X_{\text{Female}}, Y_{\text{Male}}.\text{married}(X, Y) \Rightarrow \text{husband}(Y, X) \wedge (\forall Z.\text{husband}(Z, X) \Rightarrow (Z = Y))$

- ▷ **Model generation** gives tableau where all open branches contain

$$\{\text{married}(\text{mary}, \text{jeff})^{\top}, \text{husband}(\text{jeff}, \text{mary})^{\top}, \text{intown}(\text{jeff})^{\text{F}}\}$$

- ▷ **Differences:** Additional negative facts e.g.  $\text{married}(\text{mary}, \text{mary})^{\text{F}}$ .



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### A branch without World Knowledge

$$\begin{aligned} & \text{married}(\text{mary}, \text{jeff})^{\top} \\ & (\exists Z_{\text{Male}}, Z'_{\text{Female}}.\text{husband}(Z, Z') \wedge \neg \text{intown}(Z))^{\top} \\ & (\exists Z'_{\text{Male}}.\text{husband}(c^1_{\text{Male}}, Z') \wedge \neg \text{intown}(c^1_{\text{Male}}))^{\top} \\ & (\text{husband}(c^1_{\text{Male}}, \text{mary}) \wedge \neg \text{intown}(c^1_{\text{Male}}))^{\top} \\ & \text{husband}(c^1_{\text{Male}}, \text{mary})^{\top} \\ & \neg \text{intown}(c^1_{\text{Male}})^{\top} \\ & \text{intown}(c^1_{\text{Male}})^{\text{F}} \end{aligned}$$

- ▷ **Problem:** **Bigamy:**  
 $c^1_{\text{Male}}$  and  $\text{jeff}$  are husbands of “*Mary*”!



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## 7.4.2 Model Generation with Definite Descriptions

To obtain a **model generation** calculus for  $\text{HOL}^{\text{D}}$  with descriptions, we could in principle add one of these axioms to the **world knowledge**, and work with that. It is better to have a dedicated

inference rule, which we present here.

### A Model Generation Rule for $\iota$

▷ **Definition 7.4.6.**

$$\frac{\begin{array}{c} P(c)^\top \\ Q(\iota P)^\alpha \end{array} \quad \mathcal{H} = \{c, a_1, \dots, a_n\}}{\begin{array}{c} Q(c)^\alpha \\ (P(a_1) \Rightarrow c = a_1)^\top \\ \vdots \\ (P(a_n) \Rightarrow c = a_n)^\top \end{array}} \text{RM } \iota$$

▷ **Intuition:** If we have a member  $c$  of  $P$  and  $Q(\iota P)$  is defined (it has truth value  $\alpha \in \{\top, \text{F}\}$ ), then  $P$  must be a **singleton** (i.e. all other members  $X$  of  $P$  are identical to  $c$ ) and  $Q$  must hold on  $c$ . So the rule  $\text{RM } \iota$  forces it to be by making all other members of  $P$  equal to  $c$ .

### “Mary owned a lousy computer. The hard drive crashed.”

$$\begin{array}{c} (\forall X.\text{computer}(X) \Rightarrow (\exists Y.\text{harddrive}(Y) \wedge \text{partof}(Y, X)))^\top \\ \boxed{\exists X.\text{computer}(X) \wedge \text{lousy}(X) \wedge \text{own}(\text{mary}, X)} \\ \text{computer}(c)^\top \\ \text{lousy}(c)^\top \\ \text{own}(\text{mary}, c)^\top \\ \text{harddrive}(c)^\top \mid \text{harddrive}(d)^\top \\ \text{partof}(c, c)^\top \mid \text{partof}(d, c)^\top \\ \vdots \mid \boxed{\text{crashes}(\iota \text{harddrive})} \\ \perp \mid \text{crashes}(d)^\top \\ \mid (\text{harddrive}(\text{mary}) \Rightarrow \text{mary} = d)^\top \\ \mid (\text{harddrive}(c) \Rightarrow c = d)^\top \end{array}$$

**Definition 7.4.7.** In this example, we have a case of what is called a **bridging reference**, following H. Clark (1977): intuitively, we build an inferential bridge from the **computer** whose existence is asserted in the first **sentence** to the hard drive invoked in the second.

By incorporating **world knowledge** into the **tableau**, we are able to model this kind of **inference**, and provide the antecedent needed for interpreting the definite.

Now let us use the  $\text{RM } \iota$  rule for interpreting “*The dog barks*” in a situation where there are two dogs: Fido and Chester. Intuitively, this should lead to a closed tableau, since the uniqueness presupposition is violated. Applying the rules, we get the following tableau.

### Another Example “The dog barks”

- ▷ In a situation, where there are two dogs: Fido and Chester

$$\begin{array}{c}
 \text{dog}(\text{fido})^\top \\
 \text{dog}(\text{chester})^\top \\
 \boxed{\text{bark}(\iota \text{ dog})} \\
 \text{bark}(\text{fido})^\top \\
 (\text{dog}(\text{chester}) \Rightarrow \text{chester} = \text{fido})^\top \\
 \text{dog}(\text{chester})^F \mid \text{chester} = \text{fido}^\top \\
 \perp
 \end{array} \quad (7.1)$$

- ▷ Note that none of our rules allows us to close the right branch, since we do not know that Fido and Chester are distinct. Indeed, they could be the same dog (with two different names). But we can eliminate this possibility by adopting a new assumption.

### 7.4.3 Model Generation with Unique Name Assumptions

Normally (i.e. in *natural languages*) we have the default assumption that names are unique. In principle, we could do this by adding axioms of the form  $n = m^F$  to the *world knowledge* for all pairs of names  $n$  and  $m$ . Of course the cognitive plausibility of this approach is very questionable. As a remedy, we can build a Unique-Name-Assumption (UNA) into the calculus itself.

#### Model Generation with Unique Name Assumption (UNA)

- ▷ **Problem:** Names are unique usually in *natural language*
- ▷ **Definition 7.4.8.** The **unique name assumption (UNA)** makes the assumption that names are unique (in the respective context)
- ▷ **Idea:** Add background knowledge of the form  $n = m^F$  ( $n$  and  $m$  names)
- ▷ **Better Idea:** Build UNA into the calculus: partition the *Herbrand universe*  $\mathcal{H} = \mathcal{U} \cup \mathcal{W}$  into subsets  $\mathcal{U}$  for constants with a UNA, and  $\mathcal{W}$  without. (*treat them differently*)
- ▷ **Definition 7.4.9 (Model Generation with UNA).** We add the following two rules to the *RM* calculus to deal with the unique name assumption.

$$\frac{a = b^\top \quad \mathbf{A}^\alpha \quad a \in \mathcal{W} \quad b \in \mathcal{H}}{([b/a](\mathbf{A}))^\alpha} \text{ RM subst} \qquad \frac{a = b^\top \quad a, b \in \mathcal{U}}{\perp} \text{ RM una}$$

In effect we make the equality replacement rule directional; it only allows the *substitution* for a constant without the unique name assumption. Finally, *RM una* mechanizes the unique name assumption by allowing a branch to close if two different constants with unique names are claimed to be equal. All the other rules in our *model generation calculus* stay the same. Note that with *RM una*, we can close the right branch of tableau (7.1), in accord with our intuition about the *discourse*.

### Solving a Crime with Unique Names

- ▷ **Example 7.4.10.** Tony has observed (at most) two people. Tony observed a murderer that had black hair. It turns out that Bill and Bob were the two people Tony observed. Bill is blond, and Bob has black hair. (**Who was the murderer.**) Let  $\mathcal{U} = \{\text{Bill}, \text{Bob}\}$  and  $\mathcal{W} = \{\text{murderer}\}$ :

$$\begin{array}{c}
 (\forall z. \text{observes}(\text{Tony}, z) \Rightarrow (z = \text{Bill} \vee z = \text{Bob}))^T \\
 \text{observes}(\text{Tony}, \text{Bill})^T \\
 \text{observes}(\text{Tony}, \text{Bob})^T \\
 \text{observes}(\text{Tony}, \text{murderer})^T \\
 \text{black\_hair}(\text{murderer})^T \\
 \neg \text{black\_hair}(\text{Bill})^T \\
 \text{black\_hair}(\text{Bill})^F \\
 \text{black\_hair}(\text{Bob})^T \\
 (\text{observes}(\text{Tony}, \text{murderer}) \Rightarrow (\text{murderer} = \text{Bill} \vee \text{murderer} = \text{Bob}))^T \\
 (\text{murderer} = \text{Bill} \vee \text{murderer} = \text{Bob})^T \\
 \text{murderer} = \text{Bill}^T \mid \text{murderer} = \text{Bob}^T \\
 \text{black\_hair}(\text{Bill})^T \mid \\
 \perp
 \end{array}$$

### Rabbits [Gardent & Konrad '99]

- ▷ Interpret “the” as  $\lambda PQ.Q \iota P \wedge \text{uniq}(P)$   
 where  $\text{uniq} := \lambda P. (\exists X. P(X) \wedge (\forall Y. P(Y) \Rightarrow X = Y))$   
 and  $\mathbb{W} := \lambda PQ. (\forall X. P(X) \Rightarrow Q(X))$ .
- ▷ “the rabbit is cute”, has logical form  $\text{uniq}(\text{rabbit}) \wedge (\text{rabbit} \subseteq \text{cute})$ .
- ▷ *RM* generates  $\{\dots, \text{rabbit}(c), \text{cute}(c)\}$  in situations with at most 1 rabbit.  
 (special *RM*  $\exists$  rule yields identification and accommodation ( $c^{\text{new}}$ ))
- + At last an approach that takes world knowledge into account!
- tractable only for toy discourses/ontologies  
 “The world cup final was watched on TV by 7 million people.”  
 “A rabbit is in the garden.”  
 $\forall X. \text{human}(x) \exists Y. \text{human}(X) \wedge \text{father}(X, Y) \quad \forall X, Y. \text{father}(X, Y) \Rightarrow X \neq Y$

### More than one Rabbit

- ▷ **Problem:** What about two rabbits?  
 “Bugs and Bunny are rabbits. Bugs is in the hat. Jon removes the rabbit from the hat.”



▷ **Idea: Uniqueness under Scope [Gardent & Konrad '99]:**

- ▷ refine “*the*” to  $\lambda PRQ.\text{uniq}(P \cap R \wedge \mathbb{W}(P \cap R, Q))$   
where  $R$  is an “identifying property” (identified from the context and passed as an argument to “*the*”)
- ▷ here  $R$  is “being in the hat” (by world knowledge about removing)
- ▷ makes Bugs unique (in  $P \cap R$ ) and the discourse acceptable.

▷ **Idea:** [Hobbs & Stickel&...]:

- ▷ use generic relation  $\text{rel}$  for “relatedness to context” for  $P^2$ .
- ?? Is there a general theory of relatedness?

## 7.5 Quantifier Scope Ambiguity and Underspecification

### 7.5.1 Scope Ambiguity and Quantifying-In

Now that we are able to interpret sentences with quantification objects and subjects, we can address the issue of quantifier scope ambiguities.

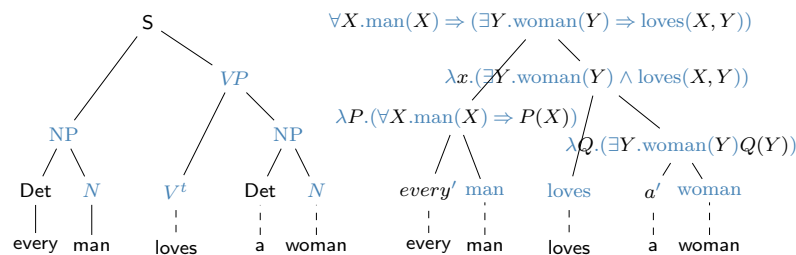
#### Quantifier Scope Ambiguities: Data

▷ Consider the following sentences:

1. “*Every man loves a woman*” (Britney Spears or his mother?)
2. “*Most Europeans speak two languages.*”
3. “*Some student in every course sleeps in every class at least some of the time.*”

▷ **Definition 7.5.1.** We call these systematic ambiguities **quantifier scope ambiguities**

▷ **Example 7.5.2.** We can represent the “wide-scope” reading with our methods



▷ **Question:** How to map an unambiguous input structure to multiple translations.

This is a correct representation of one of the possible readings of the sentence – namely the one where the quantifier of the object-NP occurs inside the scope of the quantifier of the subject-NP. We say that the quantifier of the object-NP has narrow scope while the quantifier of the subject-NP has wide scope. But the other reading is not generated here! This means our algorithm doesn’t represent the linguistic reality correctly.

**What's the problem?:** This is because our approach so far constructs the **semantics** deterministically from the **syntactic analysis**. Our **analysis** simply isn't yet able to **compute** two different **readings** for a **syntactically unambiguous sentence**. The reason why we only get the **reading** with wide scope for the **subject** is because in the **semantic construction process**, the **verb semantics** is first combined with the **object semantics**, then with that of the **subject**. And given the order of the -prefixes in our **semantic representations**, this eventually transports the **object semantics** inside the **subject's scope**.

**A Closer Look:** To understand why our **algorithm** produces the **reading** it does (and not the other alternative), let us have a look at the order of applications in the **semantic representation** as it is before we start  $=_{\beta}$ -reducing. To be able to see the order of applications more clearly, we abbreviate the **representations** for the **determiners**. E.g. we **write** instead of  $\lambda$ . We will of course have to expand those abbreviations at some point when we want to perform  $=_{\beta}$ -reduction.

In the **VP node** for “*loves a woman*” we have  $(\lambda F X. \lambda Q. (\exists Y. \text{woman}(Y) \wedge Q Y))$  **loves** and thus the **sentence representation** is

$$(\lambda P. (\forall X. \text{man}(X) \Rightarrow P(X))) (\lambda F X. \lambda Q. (\exists Y. \text{woman}(Y) \wedge Q Y)) \text{loves}$$

The resulting **expression** is an **application** of form  $\langle \text{everyman} \rangle (\langle \text{awoman} \rangle (\langle \text{loves} \rangle))$ . I.e. the **universal quantifier** occurs in the **functor** (the **translation** of the **subject NP**), and the **existential quantifier** occurs in the **argument** (corresponding to the **VP**). The **scope relations** in the  $=_{\beta}$ -reduced result reflect the structure in this **application**.

With some imagination we can already guess what an **algorithm** would have to do in order to produce the second **reading** we've seen above (where the **subject-NP** has narrow scope): It would somehow have to move the “*a woman*” part in front of the “*every*”. Something like  $\langle \text{awoman} \rangle (\langle \text{everyman} \rangle (\langle \text{loves} \rangle))$  would do.

### Storing and Quantifying In

▷ **Analysis:** The **sentence meaning** is of the form  $\langle \text{everyman} \rangle (\langle \text{awoman} \rangle (\langle \text{loves} \rangle))$

▷ **Idea:** Somehow have to move the “*a woman*” part in front of the “*every*” to obtain

$$\langle \text{awoman} \rangle (\langle \text{everyman} \rangle (\langle \text{loves} \rangle))$$

▷ **More concretely:** Let's try “*A woman - every man loves her.*”  
In **semantics construction**, apply “*a woman*” to “*every man loves her*”.  
So “*a woman*” out-scopes “*every man*”.

▷ **Problem:** How to **represent pronouns** and link them to their **antecedents**

▷ **STORE** is an alternative **translation rule**. Given a **node** with an **NP** daughter, we can **translate** the **node** by passing up to it the **translation** of its non-NP daughter, and putting the **translation** of the **NP** into a **store**, for later use.

▷ The **QI rule** allows us to empty out a **non-empty store**.

To make the second analysis work, one has to **think** of a **representation** for the **pronoun**, and one must provide for linking the **pronoun** to its **antecedent** “a woman” later in the **semantics construction process**. Intuitively, the **pronoun** itself is **semantically empty**. Now Montague's **idea** essentially was to choose a new variable to **represent** the **pronoun**. Additionally, he had to secure that this **variable** ends up in the right place after  $=_{\beta}$ -reduction.

### Storing and Quantifying In (Technically)

▷ **Definition 7.5.3. STORE**  $(NP, \Phi) \longrightarrow (\Phi, \Sigma * NP)$ , where  $\Sigma * NP$  is the result of adding  $NP$  to  $\Sigma$ , i.e.  $\Sigma * NP = \Sigma \cup \{NP\}$ ; we will assume that  $NP$  is not already in  $\Sigma$ , when we use the  $*$  operator.

▷ **Definition 7.5.4. QI**  $(\langle \Phi, \Sigma * NP \rangle) \rightarrow \langle NP \oplus \Phi, \Sigma \rangle$  where  $\oplus$  is either **function application** or **function composition**.

▷ **Nondeterministic Semantics Construction:** Adding **rules** gives us more choice

1. **Rule C (simple combination)** If  $A$  is a **node** with daughters  $B$  and  $C$ , and the **translations** of  $B$  and of  $C$  have empty stores, then  $A$  **translates** to  $B' \oplus C'$ . Choice of rule is determined by **types**.

2. **STORE** If  $A$  is a **node** with daughters  $B$  and  $C$ , where:

▷  $B$  is an **NP** with **translation**  $B'$  and

▷  $C$  **translates** to  $(C', \Sigma)$

then  $A$  may **translate** to **STORE** $(B', C')$

Note that **STORE** may be applied whether or not the **stores** of the **constituent nodes** are **empty**.



We now have more than one way to **translate** a branching **node**, but the choice is partly constrained by whether or not the daughters of the **node** have **empty stores**. We have the following two options for **translating** a branching **node**. (Note: To simplify the notation, let us adopt the following **convention**: If the **translation** of  $A$  has an **empty store**, we omit **reference** to the **store** in **representing** the **translation** of  $A$ ,  $\mathbf{A}$ .)

Application of **STORE** must always eventually be followed by application of **QI**. (Note that **QI** is not a **translation rule**, but a sort of transformation on **translations**.) But when must **QI** be applied? There are two cases:

1. The **process** of **semantics construction** must conclude with an **empty store**.
2. If  $A$  is a branching **node** one of whose daughters is a **conjunction** (i.e. “*and*” or “*or*”, the **translation** of  $A$  is given by Rule C).

The first of these rules has the effect that if the initial **translation** of  $S$  has a **non-empty store**, we must apply **QI** as many times as needed to empty the **store**. The second rule has the effect of requiring the same thing where “*and*” attaches to any **constituent**.

We assume that our **syntax processing** returned the **syntax tree** on the left. Just as before; the only difference is that we have a different **syntax-semantics interface**. The  $NP$  nodes get their **semantics**  $\mathbf{A} := \lambda P.(\forall X.\text{man}(X) \Rightarrow P(X))$  and  $\mathbf{B} := \lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))$  as before. Similarly, the  $V^t$  node has the **value** *loves*. To **compute** the **semantics** of the  $VP$  nodes, we use the **rule STORE** and obtain  $\langle \text{loves}, \{\mathbf{A}\} \rangle$  and similarly  $\langle \text{loves}, \{\mathbf{A}, \mathbf{B}\} \rangle$  for the  $S$  node, thus we have the following **semantics tree**.

### Quantifying in Practice: “*Every man loves a woman*”

▷ **Example 7.5.5.**

▷ Continue with **QI** applications: first retrieve  $\lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))$

$$\begin{aligned}
 & \langle \text{loves}, \{\lambda P.(\forall X.\text{man}(X) \Rightarrow P(X)), \lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))\} \rangle \\
 \rightarrow_{QI} & \langle \lambda P.(\forall X.\text{man}(X) \Rightarrow P(X)) \text{ loves}, \{\lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))\} \rangle \\
 \rightarrow_{\beta} & \langle \lambda Z.(\lambda P.(\forall X.\text{man}(X) \Rightarrow P(X))) \text{ loves } Z, \{\lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))\} \rangle \\
 \rightarrow_{\beta} & \langle \lambda Z.(\forall X.\text{man}(X) \Rightarrow \text{loves } Z \text{ } X), \{\lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))\} \rangle \\
 \rightarrow_{QI} & \langle (\lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))) (\lambda Z.(\forall X.\text{man}(X) \Rightarrow \text{loves } Z \text{ } X)), \emptyset \rangle \\
 \rightarrow_{\beta} & \langle \exists Y.\text{woman}(Y) \Rightarrow (\lambda Z.(\forall X.\text{man}(X) \Rightarrow \text{loves } Z \text{ } X)) Y, \emptyset \rangle \\
 \rightarrow_{\beta} & \langle \exists Y.\text{woman}(Y) \Rightarrow (\forall X.\text{man}(X) \Rightarrow \text{loves } Y \text{ } X), \emptyset \rangle
 \end{aligned}$$

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This reading corresponds to the wide scope reading for “a woman”. If we had used the **QI** rules the other way around, first extracting “a woman” and then “every man”, we would have gotten the reading with wide scope for “every man” in the same way.

## 7.5.2 Dealing with Quantifier Scope Ambiguity: Cooper Storage

### Type raising transitive verbs

- ▷ We need **transitive verbs** to combine with **quantificational objects** of type  $(\iota \rightarrow o) \rightarrow o$  but ...
- ▷ We still ultimately want their “basic” **translation** to be type  $\iota \rightarrow \iota \rightarrow o$ , i.e. something that **denotes** a **relation** between individuals.
- ▷ We do this by starting with the basic **translation**, and raising its **type**. Here is what we’ll end up with, for the verb “like”:

$$\lambda PY.P (\lambda X.\text{likes}(X, Y))$$

where  $P$  is a **variable** of type  $(\iota \rightarrow o) \rightarrow o$  and  $X, Y$  are **variables** of type  $\iota$ . (For details on how this is derived, see [CKG09, pp.178-179])

We have already seen the basic **idea** that we will use here. We will proceed with **compositional translation** in the familiar way. But when we encounter a QNP, we will put its **translation** aside, in a **store**. To make sure we **know** where it came from, we will put a “place holder” in the **translation**, and co-index the stored **NP** with its place holder. When we get to the **S node**, we will have a **representation** which we can re-combine with each of the stored NPs in turn. The order in which we re-combine them will determine the scopal relations among them.

## Cooper Storage

- ▷ **Intuition:** A **store** consists of a “core” **semantic representation**, **computed** in the usual way, plus the **representations** of **quantifiers** encountered in the composition so far.
  - ▷ **Definition 7.5.6.** A **store** is an  $n$  place sequence. The first member of the sequence is the core **semantic representation**. The other members of the sequence (if any) are **pairs**  $(\beta, i)$  where:
    - ▷  $\beta$  is a QNP **translation** and
    - ▷  $i$  is an index, which will **associate** the **NP translation** with a **free variable** in the core **semantic translation**.
- We call these **pairs binding operators** (because we will use them to **bind free variables** in the core **representation**).
- ▷ **Definition 7.5.7.** In the **Cooper storage** method, QNPs are stored in the **store** and later retrieved – not necessarily in the order they were stored – to build the **representation**.
  - ▷ The elements in the **store** are **written** enclosed in angled brackets. However, we will often have a **store** which consists of only one element, the core **semantic representation**. This is because QNPs are the only things which add elements beyond the core **representation** to the **store**. So we will adopt the **convention** that when the **store** has only one element, the brackets are omitted.

## How we put QNPs in the Store

- ▷ **Storage Rule**  
If the **store**  $\langle \varphi, (\beta, j), \dots, (\gamma, k) \rangle$  is a possible **translation** for a QNP, then the **store**

$$\langle \lambda P.P(X_i)(\varphi, i)(\beta, j), \dots, (\gamma, k) \rangle$$
 where  $i$  is a new index, is also a possible **translation** for that QNP.
- ▷ This rule says: if you encounter a QNP with **translation**  $\varphi$ , you can replace its **translation** with an indexed place holder of the same **type**,  $\lambda P.P(X_i)$ , and add  $\varphi$  to the **store**, **paired** with the index  $i$ . We will use the place holder **translation** in the semantic composition of the **sentence**.

## Working with Stores

- ▷ Working out the **translation** for “*Every student likes some professor.*”

$NP_1 \rightarrow \lambda P.(\exists X.\text{prof}(X) \wedge P(X))$  or  $\langle \lambda Q.Q(X_1), (\lambda P.(\exists X.\text{prof}(X) \wedge P(X)), 1) \rangle$   
 $V_i \rightarrow \lambda RY.R(\lambda Z.\text{likes}(Z, Y))$   
 $VP \rightarrow (\text{Combine core representations by FA; pass store up})^*$   
 $\rightarrow \langle \lambda Y.\text{likes}(X_1, Y), (\lambda P.(\exists X.\text{prof}(X) \wedge P(X)), 1) \rangle$   
 $NP_2 \rightarrow \lambda P.(\forall Z.\text{student}(Z) \Rightarrow P(Z))$  or  $\langle \lambda R.R(X_2), (\lambda P.(\forall Z.\text{student}(Z) \Rightarrow P(Z)), 2) \rangle$   
 $S \rightarrow (\text{Combine core representations by FA; pass stores up})^{**}$   
 $\rightarrow \langle \text{likes}(X_1, X_2), (\lambda P.(\exists X.\text{prof}(X) \wedge P(X)), 1), (\lambda P.(\forall Z.\text{student}(Z) \Rightarrow P(Z)), 2) \rangle$

\* Combining  $V_i$  with place holder

1.  $(\lambda RY.R(\lambda Z.\text{likes}(Z, Y))) (\lambda Q.Q(X_1))$
2.  $\lambda Y.(\lambda Q.Q(X_1)) (\lambda Z.\text{likes}(Z, Y))$
3.  $\lambda Y.(\lambda Z.\text{likes}(Z, Y)) X_1$
4.  $\lambda Y.\text{likes}(X_1, Y)$

\*\* Combining  $VP$  with place holder

1.  $(\lambda R.R(X_2)) (\lambda Y.\text{likes}(X_1, Y))$
2.  $(\lambda Y.\text{likes}(X_1, Y)) X_2$
3.  $\text{likes}(X_1, X_2)$

## Retrieving NPs from the store

### ▷ Retrieval:

Let  $\sigma_1$  and  $\sigma_2$  be (possibly empty) sequences of binding operators. If the store  $\langle \varphi, \sigma_1, \sigma_2, (\beta, i) \rangle$  is a translation of an expression of category  $S$ , then the store  $\langle \beta(\lambda X_1.\varphi), \sigma_1, \sigma_2 \rangle$  is also a translation of it.

▷ **What does this say?:** It says: suppose you have an  $S$  translation consisting of a core representation (which will be of type  $o$ ) and one or more indexed QNP translations. Then you can do the following:

1. Choose one of the QNP translations to retrieve.
2. Rewrite the core translation,  $\lambda$ -abstracting over the variable which bears the index of the QNP you have selected. (Now you will have an expression of type  $\iota \rightarrow o$ .)
3. Apply this  $\lambda$ -term to the QNP translation (which is of type  $(\iota \rightarrow o) \rightarrow o$ ).

## Example: “Every student likes some professor.”

1. Retrieve “every student”

- (a)  $(\lambda Q.(\forall Z.\text{student}(Z) \Rightarrow Q(Z))) (\lambda X_2.\text{likes}(X_1, X_2))$
- (b)  $\forall Z.\text{student}(Z) \Rightarrow (\lambda X_2.\text{likes}(X_1, X_2)) Z$
- (c)  $\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X_1, Z)$

2. Retrieve “some professor”

- (a)  $(\lambda P.(\exists X.\text{prof}(X) \wedge P(X))) (\lambda X_1.(\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X_1, Z)))$
- (b)  $\exists X.\text{prof}(X) (\lambda X_1.(\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X_1, Z))) X$
- (c)  $\exists X.\text{prof}(X) \wedge (\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X, Z))$

The Cooper storage approach to quantifier scope ambiguity basically moved the ambiguity problem into the syntax/semantics interface: from a single syntactic tree, it generated multiple unambiguous semantic representations. We will now come to an approach, which does not force the system to commit to a particular reading so early.

### 7.5.3 Underspecification

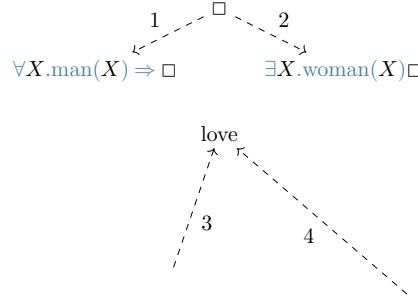
In this subsection we introduce Johan Bos’ “Hole Semantics”, since this is possibly the simplest underspecification framework around. The main idea is that the result of the translation is a “quasi-logical form” (QLF), i.e. a representation that represents all possible readings. This QLF can then be used for semantic/pragmatic analysis.

#### 7.5.3.1 Unplugging Predicate Logic

The problem we need to solve for our QLF is that regular logical formulae, such as

$$\forall X.\text{man}(X) \Rightarrow (\exists Y.\text{woman}(Y) \Rightarrow \text{loves}(Y, X))$$

fully specifies the scope relation between the quantifiers. The idea behind “hole semantics” (and most other approaches to quantifier scope underspecification) is to “unplug” first-order logic, i.e. to take apart logical formulae into smaller parts, and add constraints on how the parts can be plugged together again. To keep track of where formulae have to be plugged together again, “hole semantics” uses the notion of “holes”. Our example “*Every man loves a woman*” now has the following form:



The meaning of the dashed arrows is that the holes (depicted by  $\square$ ) can be filled by one of the formulae that are pointed to. The hole at the top of the graph serves as the representation of the whole sentence.

We can disambiguate the QLF by choosing an arc for every hole and plugging the respective formulae into the holes, collapsing the graph into a single logical formula. If we act on arcs 1 and 4, we obtain the wide-scope reading for “*every man*”, if we act on 2 and 3, we obtain the reading, where “*a woman*” out-scopes “*every man*”. So much for the general idea, how can this be represented in logic?

#### 7.5.3.2 $PL_H$ a first-order logic with holes

The main idea is to label the holes and formulae, and represent the arcs as pairs of labels. To do this, we add holes to first-order logic, arriving at a logic  $PL_H$ . This can simply be done by reserving a lexical category  $\mathcal{H} = \{h_0, h_1, h_2, \dots\}$  of holes, and adding them as possible atomic formulae, so that  $\forall X.\text{man}(X) \Rightarrow h_1$  is a  $PL_H$  formula.

Using this, a QLF is a triple  $\langle F, C \rangle$ , where  $F$  is a set of labeled formulae of the form  $\ell_i: \mathbf{A}_i$ , where  $\ell_i$  is taken from a set  $\mathcal{L} = \{\ell_0, \ell_1, \dots\}$  of labels, and  $\mathbf{A}_i$  is a  $PL_H$  formula, and  $C$  is a set of constraints of the form  $\ell_i \leq h_j$ . The underspecified representation above now has the form

$$\{\{\ell_1: \forall X.\text{man}(X) \Rightarrow h_1, \ell_2: \forall Y.\text{woman}(Y) \Rightarrow h_2\}, \{\ell_1 \leq h_0, \ell_2 \leq h_0, \ell_3 \leq h_1, \ell_4 \leq h_2\}\}$$

Note that we always reserve the hole  $h_0$  for the top-level hole, that represents the [sentence meaning](#).

### 7.5.3.3 Plugging and Chugging

A plugging  $p$  for a QLF  $\mathcal{Q}$  is now a mapping from the holes in  $\mathcal{Q}$  to the labels in  $\mathcal{Q}$  that satisfies the constraint  $C$  of  $\mathcal{Q}$ , i.e. for all holes  $h$  in  $\mathcal{Q}$  we have  $h \leq p(h) \in C$ . Note that the set of admissible pluggings can be computed from the constraint alone in a straightforward manner. Acting on the pluggings yields a logical formula. In our example, we have two pluggings that give us the intended readings of the sentence.

| # | plugging                                   | logical form                                                                                |
|---|--------------------------------------------|---------------------------------------------------------------------------------------------|
| 1 | $[\ell_1/h_0], [\ell_2/h_1], [\ell_3/h_2]$ | $\forall X.\text{man}(X) \Rightarrow (\exists Y.\text{woman}(Y) \wedge \text{loves}(X, Y))$ |
| 2 | $[\ell_2/h_0], [\ell_3/h_1], [\ell_1/h_2]$ | $\exists Y.\text{woman}(Y) \Rightarrow (\forall X.\text{man}(X) \wedge \text{loves}(X, Y))$ |

## 7.6 Summary & Evaluation

So let us evaluate what we have [achieved](#) in the new, extended [fragment](#).

### Fragment $\mathcal{F}_4$ – Summary

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- ▷ [Fragment  \$\mathcal{F}\_4\$](#)  extends  $\mathcal{F}_3$  by [noun phrases](#).
- ▷ **Coverage:** Better:



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## Chapter 8

# Davidsonian Semantics: Treating Verb Modifiers

### Event semantics: Davidsonian Systems

- ▷ **Problem:** How to deal with **argument** structure of (action) **verbs** and their **modifiers**

- ▷ “*John killed a cat with a hammer.*”

- ▷ **Idea:** Just add an **argument** to **kills** for express the means

- ▷ **Problem:** But there may be more **modifiers**

1. “*Peter killed the cat in the bathroom with a hammer.*”
2. “*Peter killed the cat in the bathroom with a hammer at midnight.*”

So we would need a lot of different **predicates** for the verb “*killed*”. (impractical)

- ▷ **Definition 8.0.1.** In **event semantics** we extend the **argument** structure of (action) **verbs** contains a 'hidden' **argument**, the **event argument**, then treat **modifiers** as **predicates** (often called **roles**) over **events** [Dav67a].

- ▷ **Example 8.0.2.**

1.  $\exists e. \exists x, y. \text{bathroom}(x) \wedge \text{hammer}(y) \wedge \text{kill}(e, \text{peter}, \iota \text{ cat}) \wedge \text{in}(e, x) \wedge \text{with}(e, y)$
2.  $\exists e. \exists x, y. \text{bathroom}(x) \wedge \text{hammer}(y) \wedge \text{kill}(e, \text{peter}, \iota \text{ cat}) \wedge \text{in}(e, x) \wedge \text{with}(e, y) \wedge \text{at}(e, 24 : 00)$



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### Event semantics: Neo-Davidsonian Systems

- ▷ **Idea:** Take apart the Davidsonian **predicates** even further, add **event** participants via thematic **roles** (from [Par90]).

- ▷ **Definition 8.0.3.** **Neo-Davidsonian semantics** extends **event semantics** by adding two standardized **roles**: the **agent**  $\text{ag}(e, s)$  and the **patient**  $\text{pat}(e, o)$  for the **subject**  $s$  and **direct object**  $d$  of the **event**  $e$ .

- ▷ **Example 8.0.4.** Translate “*John killed a cat with a hammer.*” as  
 $\exists e. \exists x. \text{hammer}(x) \wedge \text{killing}(e) \wedge \text{ag}(e, \text{peter}) \wedge \text{pat}(e, \iota \text{ cat}) \wedge \text{with}(e, x)$
- ▷ **Further Elaboration:** Events can be broken down into sub-events and modifiers can predicate over sub-events.
- ▷ **Example 8.0.5.** The “process” of climbing Mt. Everest starts with the “event” of (optimistically) leaving the base camp and culminates with the “achievement” of reaching the summit (being completely exhausted).
- ▷ **Note:** This system can get by without functions, and only needs unary and binary predicates. (well-suited for model generation)

## Event Types and Properties of Events

- ▷ **Example 8.0.6 (Problem).** Some (temporal) modifiers are incompatible with some events, e.g. in English progressive:
  1. “*He is eating a sandwich*” and “*He is pushing the cart.*”, but not
  2. \* “*He is being tall.*” or \* “*He is finding a coin.*”
- ▷ **Definition 8.0.7 (Types of Events).** There are different types of events that go with different temporal modifiers. [Ven57] distinguishes
  1. **states:** e.g. “*know the answer*”, “*stand in the corner*”
  2. **processes:** e.g. “*run*”, “*eat*”, “*eat apples*”, “*eat soup*”
  3. **accomplishments:** e.g. “*run a mile*”, “*eat an apple*”, and
  4. **achievements:** e.g. “*reach the summit*”
- ▷ **Observations:**
  1. processes and accomplishments appear in the progressive (1),
  2. states and achievements do not (2).
- ▷ **Definition 8.0.8.** The **for/in test**
  1. states and activities, but not accomplishments and achievements are compatible with “*for*”-adverbials
  2. whereas the opposite holds for in-adverbials (5).
- ▷ **Example 8.0.9.**
  1. “*run a mile in an hour*” vs. \* “*run a mile for an hour*”, but
  2. \* “*reach the summit for an hour*” vs “*reach the summit in an hour*”

## Part II

# Topics in Semantics



## Chapter 9

# Dynamic Approaches to NL Semantics

In this chapter we tackle another level of language, the [discourse](#) level, where we look especially at the role of cross-sentential [anaphora](#). This is an aspect of [natural language](#) that cannot ([compositionally](#)) be modeled in first-order logic, due to the strict scoping behavior of quantifiers. This has led to the developments of dynamic variants of first-order logic: the “file change semantics” [Hei82] by Irene Heim and (independently) “[discourse representation theory](#)” (DRT [Kam81]) by Hans Kamp, which solve the problem by re-interpreting indefinites to introduce representational objects – called [discourse referents](#) in DRT – that are not [bound variables](#) and can therefore have a different scoping behavior. These approaches have been very influential in the representation of [discourse](#) – i.e. multi-sentence – phenomena.

In this chapter, we will introduce dynamic logics taking DRT as a starting point since it was adopted more widely than file change semantics and the later “dynamic predicate logics” (DPL [GS91]). section 9.1 gives an introduction to dynamic language phenomena and how they can be modeled in DRT. section 10.4 relates the linguistically motivated logics to [modal logics](#) used for modeling imperative programs and draws conclusions about the role of language in cognition. ??? extends our primary inference system – [model generation](#) – to DRT and relates the concept of [discourse referents](#) to [Skolem constants](#). Dynamic [model generation](#) also establishes a natural system of “direct deduction” for dynamic semantics. Finally, Appendix C discusses how dynamic approaches to NL semantics can be combined with ideas Montague Semantics to arrive at a fully [compositional](#) approach to [discourse](#) semantics.

### 9.1 Discourse Representation Theory

In this section we introduce [Discourse Representation Theory](#) as the most influential framework for approaching dynamic phenomena in [natural language](#). We will only cover the basic ideas here and leave the coverage of larger fragments of [natural language](#) to [KR93].

Let us look at some data about effects in [natural languages](#) that we cannot really explain with our treatment of [indefinite descriptions](#) in fragment  $\mathcal{F}_4$  (see ???).

#### Anaphora and Indefinites revisited (Data)

- ▷ **Observation:** We have concentrated on single sentences so far; let’s do better.
- ▷ **Definition 9.1.1.** A [discourse](#) is a unit of [natural language](#) longer than a single sentence.

- ▷ **New Data:** Discourses interact with **anaphora**:
- ▷ “*Peter<sup>1</sup> is sleeping. He<sub>1</sub> is snoring*”. (normal **anaphoric reference**)
  - ▷ “*A man<sup>1</sup> is sleeping. He<sub>1</sub> is snoring*”. (scope of existential?)
  - ▷ “*Peter has a car<sup>1</sup>. It<sub>1</sub> is parked outside*”. (even if this worked)
  - ▷ \* “*Peter has no car<sup>1</sup>. It<sub>1</sub> is parked outside*”. (what about negation?)
  - ▷ “*There is a book<sup>1</sup> that Peter does not own. It<sub>1</sub> is a novel*”. (OK)
  - ▷ \* “*Peter does not own every book<sup>1</sup>. It<sub>1</sub> is a novel*”. (equivalent in **PL<sup>1</sup>**)
  - ▷ “*If a farmer<sup>1</sup> owns a donkey<sub>2</sub>, he<sub>1</sub> beats it<sub>2</sub>*”. (even inside sentences)
- ▷ We gloss the intended **anaphoric reference** with the labels in upper and lower indices.



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In the first example, we can pick up the subject “*Peter*” of the first **sentence** with the **anaphoric reference** “*He*” in the second. And indeed, we can resolve the **anaphoric reference** in the semantic representation by translating “*He*” to (the translation of) “*Peter*”. Alternatively we can follow the lead of **fragment  $\mathcal{F}_2$**  (see ???) and introduce variables for **anaphora** and adding a conjunct that equates the respective variable with the translation of “*Peter*”. This is the general idea of **anaphor resolution** we will adopt in this section.

Intuitively, the second example should work exactly the same – it should not matter, whether the **subject NP** is given as a **proper name** or an **indefinite description**. The problem with the **indefinite descriptions** is that they are translated into **existential quantifiers** and we cannot refer to the **bound variables**; see below. Note that this is not a failure of our envisioned treatment of **anaphora**, but of our treatment of **indefinite descriptions**; they just do not generate the **objects** that can be referred back to by **anaphoric references** (we will call them **discourse referents**). We will speak of the **anaphoric potential** for this the set of **referents** that can be **anaphorically** referred to.

The second pair of examples is peculiar in the sense that if we had a solution for the **indefinite description** in “*Peter has a car*”, we would need a solution that accounts for the fact that even though “*Peter has a car*” puts a car **referent** into the **anaphoric potential** “*Peter has no car*” – which we analyze **compositionally** as “*It is not the case that Peter has a car*” does not. The interesting effect is that the negation closes the **anaphoric potential** and excludes the car **referent** that “*Peter has a car*” introduced.

The third pair of **sentences** shows that we need more than **PL<sup>1</sup>** to represent the **meaning** of quantification in **natural language** while the **sentence** “*There is a book that peter does not own.*” induces a book **referent** in the **anaphoric potential**, but the **sentence** “*Peter does not own every book*” does not, even though their translations  $\exists x.\text{book}(x) \wedge \neg \text{own}(\text{peter}, x)$  and  $\neg(\forall x.\text{book}(x) \Rightarrow \text{own}(\text{peter}, x))$  are logically equivalent.

The last **sentence** is the famous **donkey sentence** that shows that the dynamic phenomena we have seen above are not limited to inter-sentential **anaphora**.

## Dynamic Effects in Natural Language

- ▷ **Problem:** E.g. Quantifier Scope
- ▷ \* “*A man sleeps. He snores.*”
  - ▷  $(\exists X.\text{man}(X) \wedge \text{sleeps}(X)) \wedge \text{snores}(X)$
  - ▷  $X$  is **bound** in the first **conjunct**, and **free** in the second.

- ▷ **Problem:** Donkey sentence: “If a farmer owns a donkey, he beats it.”  
 $\forall X, Y. \text{farmer}(X) \wedge \text{donkey}(Y) \wedge \text{own}(X, Y) \Rightarrow \text{beat}(X, Y)$
- ▷ **Ideas:**
- ▷ Composition of sentences by conjunction inside the scope of existential quantifiers (non-compositional, ...)
  - ▷ Extend the scope of quantifiers dynamically (DPL)
  - ▷ Replace existential quantifiers by something else (DRT)

The central idea of Discourse Representation Theory (DRT), is to eschew the first-order quantification and the bound variables it induces altogether and introduce a new representational device: discourse referents, and manage their visibility (called accessibility in DRT) explicitly.

We will introduce the traditional, visual “box notation” by example now before we turn to a systematic definition based on a symbolic notation later.

## Discourse Representation Theory (DRT)

- ▷ **Definition 9.1.2.** Discourse Representation Theory (DRT) is a logical system, which uses discourse referents to model quantification and pronouns. DRT formulae are called discourse representation structures (DRS); these introduce a set of discourse referents and specify their meaning by conditions which comprise:

- ▷ atomic first-order propositions,
- ▷ dynamic negations  $\neg_D$ ,
- ▷ dynamic implications  $D \Rightarrow E$ , and
- ▷ dynamic disjunctions  $D \vee E$ .

- ▷ **Example 9.1.3.** Discourse referents e.g. in “A student owns a book.”

- ▷ are kept in a dynamic context ( $\leadsto$  accessibility)
- ▷ are declared e.g. in indefinite nominals
- ▷ specified in conditions via predicates

|                |
|----------------|
| $X, Y$         |
| student( $X$ ) |
| book( $Y$ )    |
| own( $X, Y$ )  |

- ▷ **Example 9.1.4.** Discourse representation structures (DRS)

“A student owns a book. He reads it.” “If a farmer owns a donkey, he beats it.”

|                |
|----------------|
| $X, Y, R, S$   |
| student( $X$ ) |
| book( $Y$ )    |
| own( $X, Y$ )  |
| read( $R, S$ ) |
| $X = R$        |
| $Y = S$        |

|               |                              |
|---------------|------------------------------|
| $X, Y$        |                              |
| farmer( $X$ ) |                              |
| donkey( $Y$ ) |                              |
| own( $X, Y$ ) | $\Rightarrow$ beat( $X, Y$ ) |

These examples already show that there are three kinds of objects in DRT: The meaning of sentences is given as DRSes, which are denoted as “file cards” that list the discourse referents (the participants in the situation described in the DRS) at the top of the “card” and state a couple



of **conditions** on the **discourse referents**. The **conditions** can contain **DRSes** themselves, e.g. in conditional **conditions**.

With this representational infrastructure in place we can now look at how we can construct **discourse DRSes** i.e. **DRSes** for whole **discourses**. The **sentence** composition problem was – after all – the problem that led to the development of **DRT** since we could not **compositionally** solve it in first-order logic.

### Discourse DRS Construction

- ▷ **Problem:** How do we construct **DRSes** for multi-sentence **discourses**?
- ▷ **Solution:** We construct **sentence DRSes** individually and merge them (**DRSes and conditions separately**)
- ▷ **Example 9.1.5.** A three-sentence **discourse**. (not quite Shakespeare)

*“Mary sees John.”*

|                 |
|-----------------|
|                 |
| see(mary, john) |

*“John kills a cat.”*

|                        |
|------------------------|
| <i>U</i>               |
| cat( <i>U</i> )        |
| kills(john, <i>U</i> ) |

*“Mary calls a cop.”*

|                        |
|------------------------|
| <i>V</i>               |
| policeman( <i>V</i> )  |
| calls(mary, <i>V</i> ) |

merge

|                        |
|------------------------|
| <i>U, V</i>            |
| see(mary, john)        |
| cat( <i>U</i> )        |
| kills(john, <i>U</i> ) |
| policeman( <i>V</i> )  |
| calls(mary, <i>V</i> ) |

- ▷ Sentence composition via the **DRT Merge Operator**  $\otimes$ . (acts on **DRSes**)

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Note that – in contrast to the “smuggling-in”-type solutions we would have to dream up for **first-order logic** – **sentence** composition in **DRT** is **compositional**: We construct **sentence DRSes**<sup>1</sup> and merge them. We can even introduce a “logic operator” for this: the merge operator  $\otimes$ , which can be thought of as the “full stop” punctuation operator.

Now we can have a look at **anaphor resolution** in **DRT**. This is usually considered as a separate process – part of semantic-pragmatic analysis.

### Anaphor Resolution in DRT

- ▷ **Problem:** How do we **resolve anaphora** in **DRT**?
- ▷ **Solution:** Two phases
  - ▷ translate **pronouns** into **discourse referents** (semantics construction)
  - ▷ identify (equate) coreferring **discourse referents**, (maybe) simplify (semantic/pragmatic analysis)
- ▷ **Example 9.1.6.** *“A student owns a book. He reads it.”*

<sup>1</sup>We will not go into the **sentence semantics construction** process here

"A student<sup>1</sup> owns a book<sup>2</sup>." "He<sub>1</sub> reads it<sub>2</sub>"

|                |
|----------------|
| $X, Y$         |
| student( $X$ ) |
| book( $Y$ )    |
| own( $X, Y$ )  |

|                |
|----------------|
| $R, S$         |
| read( $R, S$ ) |

merge/resolve

|                |
|----------------|
| $X, Y, R, S$   |
| student( $X$ ) |
| book( $Y$ )    |
| own( $X, Y$ )  |
| read( $R, S$ ) |
| $X = R$        |
| $Y = S$        |

simplify

|                |
|----------------|
| $X, Y$         |
| student( $X$ ) |
| book( $Y$ )    |
| own( $X, Y$ )  |
| read( $X, Y$ ) |

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We will sometime abbreviate the **anaphor resolution** process and directly use the simplified version of the **DRSes** for brevity.

Using these examples, we can now give a more systematic introduction of **DRT** using a more symbolic notation. Note that the grammar below over-generates, we still need to specify the visibility of **discourse referents**.

### DRT (more Logic-like Syntax)

▷ **Definition 9.1.7.** Given a set  $\mathcal{DR}$  of **discourse referents**, **discourse representation structures** (**DRSes**) are given by the following grammar:

**conditions**

**DRSes**

$\mathcal{C} ::= p(a_1, \dots, a_n) \mid \mathcal{C}_1 \wedge \mathcal{C}_2 \mid \neg \mathcal{D} \mid \mathcal{D}_1 \forall \mathcal{D}_2 \mid \mathcal{D}_1 \Rightarrow \mathcal{D}_2$   
 $\mathcal{D} ::= \delta U^1, \dots, U^n. \mathcal{C} \mid \mathcal{D}_1 \otimes \mathcal{D}_2 \mid \mathcal{D}_1 ;; \mathcal{D}_2$

▷  $\otimes$  and  $;;$  are for **sentence composition** ( $\otimes$  from **DRT**,  $;;$  from **DPL**)

▷ **Example 9.1.8.**  $\delta U, V. \text{farmer}(U) \wedge \text{donkey}(V) \wedge \text{own}(U, V) \wedge \text{beat}(U, V)$

▷ **Definition 9.1.9.** The **meaning** of  $\otimes$  and  $;;$  is given operationally by  **$=_\tau$  equality**:

$$\delta \mathcal{X}. \mathcal{C}_1 \otimes \delta \mathcal{Y}. \mathcal{C}_2 \rightarrow_\tau \delta \mathcal{X}, \mathcal{Y}. \mathcal{C}_1 \wedge \mathcal{C}_2$$

$$\delta \mathcal{X}. \mathcal{C}_1 ;; \delta \mathcal{Y}. \mathcal{C}_2 \rightarrow_\tau \delta \mathcal{X}, \mathcal{Y}. \mathcal{C}_1 \wedge \mathcal{C}_2$$

▷ **Discourse referents** used instead of **bound variables**. (specify **scoping independently of logic**)

▷ **Idea:** **Semantics** inherited from **first-order logic** by a **translation mapping**.

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We can now define the notion of **accessibility** in **DRT**, which in turn determines the (predicted) **dynamic potential** of a **DRS**: A **discourse referent** has to be **accessible** to be picked up by an **anaphoric** reference.

We will follow the classical exposition and introduce **accessibility** as a derived concept induced by a non-structural notion of sub-DRS.

### Sub DRSes and Accessibility

▷ **Problem:** How can we formally define **accessibility**. (to make predictions)

- ▷ **Idea:** Make use of the structural properties of **DRT**.
- ▷ **Definition 9.1.10.** A **referent** is **accessible** in all **sub DRS** of the declaring **DRS**.
  - ▷ If  $\mathcal{D} = \delta U^1, \dots, U^n. \mathcal{C}$ , then any **sub DRS** of  $\mathcal{C}$  is a **sub DRS** of  $\mathcal{D}$ .
  - ▷ If  $\mathcal{D} = \mathcal{D}^1 \otimes \mathcal{D}^2$ , then  $\mathcal{D}^1$  is a **sub DRS** of  $\mathcal{D}^2$  and vice versa.
  - ▷ If  $\mathcal{D} = \mathcal{D}^1 ; \mathcal{D}^2$ , then  $\mathcal{D}^2$  is a **sub DRS** of  $\mathcal{D}^1$ .
  - ▷ If  $\mathcal{C}$  is of the form  $\mathcal{C}^1 \wedge \mathcal{C}^2$ , or  $\neg \mathcal{D}$ , or  $\mathcal{D}^1 \forall \mathcal{D}^2$ , or  $\mathcal{D}^1 \Rightarrow \mathcal{D}^2$ , then any **sub DRS** of the  $\mathcal{C}^i$ , and the  $\mathcal{D}^i$  is a **sub DRS** of  $\mathcal{C}$ .
  - ▷ If  $\mathcal{D} = \mathcal{D}^1 \Rightarrow \mathcal{D}^2$ , then  $\mathcal{D}^2$  is a **sub DRS** of  $\mathcal{D}^1$
- ▷ **Definition 9.1.11 (Dynamic Potential).** (which referents can be picked up?) A **referent**  $U$  is in the **dynamic potential** of a **DRS**  $\mathcal{D}$ , iff it is **accessible** in  $\mathcal{D} \otimes \begin{array}{|c|} \hline p(U) \\ \hline \end{array}$
- ▷ **Definition 9.1.12.** We call a **DRS** **static**, iff the **dynamic potential** is empty, and **dynamic**, if it is not.

## Sub DRSeS and Accessibility

- ▷ **Observation:** **Accessibility** gives **DRSeS** the flavor of binding structures. (with non-standard scoping!)
- ▷ **Idea:** Apply the usual binding heuristics to **DRT**, e.g.
  - ▷ reject **DRSeS** with unbound **discourse referents**.
- ▷ **Questions:** If we view of **discourse referents** as “nonstandard **bound variables**”
  - ▷ what about renaming **referents**?

The **meaning** of **DRSeS** is (initially) given by a translation to **PL<sup>1</sup>**. This is a convenient way to specify **meaning**, but as we will see, it has its costs, as we will see.

## Translation from DRT to FOL

- ▷ **Definition 9.1.13.** For  $=_{\tau}$ -normal (fully merged) **DRSeS** use the translation  $\bar{\cdot}$ :

$$\begin{aligned}
 \overline{\delta U^1, \dots, U^n. \mathcal{C}} &= \exists U^1, \dots, U^n. \overline{\mathcal{C}} \\
 \overline{\neg \mathcal{D}} &= \neg \overline{\mathcal{D}} \\
 \overline{\mathcal{D} \forall \mathcal{E}} &= \overline{\mathcal{D}} \forall \overline{\mathcal{E}} \\
 \overline{\mathcal{D} \wedge \mathcal{E}} &= \overline{\mathcal{D}} \wedge \overline{\mathcal{E}} \\
 \overline{(\delta U^1, \dots, U^n. \mathcal{C}_1) \Rightarrow (\delta V^1, \dots, V^n. \mathcal{C}_2)} &= \forall U^1, \dots, U^n. \overline{\mathcal{C}_1} \Rightarrow (\exists V^1, \dots, V^n. \overline{\mathcal{C}_2})
 \end{aligned}$$

$\begin{array}{|c|} \hline X, Y \\ \hline \text{student}(X) \\ \text{book}(Y) \\ \text{own}(X, Y) \\ \hline \end{array} = \exists X. \exists Y. \text{student}(X) \wedge \text{book}(Y) \wedge \text{own}(X, Y).$

**Example 9.1.14.**

**Example 9.1.15.**

$$\frac{(\delta U, V. \text{farmer}(U) \wedge \text{donkey}(V) \wedge \text{own}(U, V)) \Rightarrow (\delta W. \text{stick}(W) \wedge \text{beatwith}(U, V, W))}{= \forall X, Y. \text{farmer}(X) \wedge \text{donkey}(X) \wedge \text{own}(X, Y) \Rightarrow (\exists Z. \text{stick}(Z) \wedge \text{beatwith}(Z, X, Y))}$$

**Consequence:** Validity of DRSes can be checked by translation.

**Question:** Why not use first-order logic directly?

**Answer:** Only translate at the end of a discourse (translation closes all dynamic contexts: frequent re-translation).

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We can now test DRT as a logical system on the data and see whether it makes the right predictions about the dynamic effects identified at the beginning of the section.

### Properties of Dynamic Scope

**Idea:** Test DRT on the data above for the dynamic phenomena

**Example 9.1.16 (Negation Closes Dynamic Potential).**

*"Peter has no<sup>1</sup> car."* \* *"It<sub>1</sub> is parked outside."*

|                                                                                                             |
|-------------------------------------------------------------------------------------------------------------|
| $\neg$                                                                                                      |
| $\begin{array}{ c } \hline U \\ \hline \text{acar}(U) \\ \text{own}(\text{peter}, U) \\ \hline \end{array}$ |

⊗

|                    |
|--------------------|
| $\text{parked}(U)$ |
|--------------------|

=
 $\neg(\exists U. \text{acar}(U) \wedge \text{own}(\text{peter}, U)) \dots$

**Example 9.1.17 (Universal Quantification is Static).**

*"Peter does not own every book<sup>1</sup>."* \* *"It<sub>1</sub> is a novel."*

|                                                                                                                                                                      |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| $\neg$                                                                                                                                                               |
| $\begin{array}{ c } \hline U \\ \hline \text{book}(U) \\ \hline \end{array} \Rightarrow \begin{array}{ c } \hline \text{own}(\text{peter}, U) \\ \hline \end{array}$ |

⊗

|                   |
|-------------------|
| $\text{novel}(U)$ |
|-------------------|

=
 $\neg(\forall U. \text{book}(U) \Rightarrow \text{own}(\text{peter}, U)) \dots$

**Example 9.1.18 (Existential Quantification is Dynamic).**

*"There is a book<sup>1</sup> that Peter does not own."* \* *"It<sub>1</sub> is a novel."*

|                                                                                                     |
|-----------------------------------------------------------------------------------------------------|
| $V$                                                                                                 |
| $\begin{array}{ c } \hline \text{book}(V) \\ \neg\text{own}(\text{peter}, V) \\ \hline \end{array}$ |

⊗

|                   |
|-------------------|
| $\text{novel}(V)$ |
|-------------------|

=
 $\exists U. \text{book}(U) \wedge \neg\text{own}(\text{peter}, U) \wedge \text{novel}(U)$

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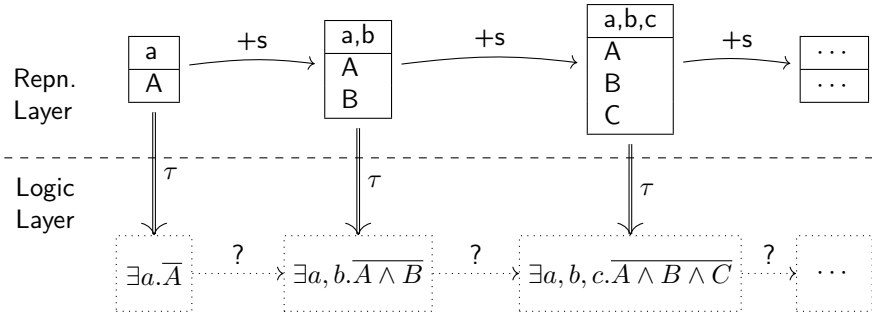
Example 9.1.16 shows that dynamic negation closes off the dynamic potential. Indeed, the referent  $U$  is not accessible in the second argument of  $\otimes$ . Example 9.1.17 predicts the inaccessibility of  $U$  for the same reason. In contrast to that,  $U$  is accessible in Example 9.1.18, since it is not under the scope of a dynamic negation.

The examples above, and in particular the difference between Example 9.1.17 and Example 9.1.18 show that DRT forms a representational level above recall that we can translate down – PL<sup>I</sup>, which serves as the semantic target language. Indeed DRT@ makes finer distinctions than PL<sup>I</sup>, and supports an incremental process of semantics construction: DRS construction for sentences

followed by DRS merging via  $=_\tau$  reduction.

### DRT as a Representational Level

- ▷ DRT adds a level to the knowledge representation which provides anchors (the **discourse referents**) for **anaphora** and the like.
- ▷ Propositional semantics by translation into  $PL^1$ . (“+s” adds a sentence)



- ▷ **Anaphor resolution** works **incrementally** on the representational level.

We will now introduce a **direct semantics** for DRT: a notion of “model” and an evaluation mapping that interprets **DRSes** directly – i.e. not via a **translation** of **first-order logic**. The main idea is that **atomic conditions** and **conjunctions** are interpreted largely like **first-order formulae**, while **DRSes** are interpreted as sets of **states** that satisfy the **conditions**. A **DRS** is satisfied by a model, if that set is **non-empty**.

### A Direct Semantics for DRT (Dyn. Interpretation $\mathcal{I}_\varphi^\delta$ )

- ▷ **Definition 9.1.19.** Let  $\mathcal{M} = \langle \mathcal{D}, \mathcal{I} \rangle$  be a **first-order model**, then a **state** is an assignment from **discourse referents** into  $\mathcal{D}$ .
- ▷ **Definition 9.1.20.** Let  $\varphi, \psi : \mathcal{DR} \rightarrow \mathcal{U}$  be **states**, then we say that  $\psi$  **extends**  $\varphi$  on  $\mathcal{X} \subseteq \mathcal{DR}$  (write  $\varphi[\mathcal{X}]\psi$ ), if  $\varphi(U) = \psi(U)$  for all  $U \notin \mathcal{X}$ .
- ▷ **Idea:** **Conditions** as **truth values**; **DRSes** as pairs  $(\mathcal{X}, \mathcal{S})$  ( $\mathcal{S}$  set of **states**)
- ▷ **Definition 9.1.21 (Meaning of complex formulae).** The **value function**  $\mathcal{I}_\varphi$  for **DRT** is defined with the help of a **dynamic value function**  $\mathcal{I}_\varphi^\delta$  on **DRSs**: For **conditions**:

- ▷  $\mathcal{I}_\varphi(\neg \mathcal{D}) = \top$ , if  $\mathcal{I}_\varphi^\delta(\mathcal{D})^2 = \emptyset$ .
- ▷  $\mathcal{I}_\varphi(\mathcal{D} \vee \mathcal{E}) = \top$ , if  $\mathcal{I}_\varphi^\delta(\mathcal{D})^2 \neq \emptyset$  or  $\mathcal{I}_\varphi^\delta(\mathcal{E})^2 \neq \emptyset$ .
- ▷  $\mathcal{I}_\varphi(\mathcal{D} \Rightarrow \mathcal{E}) = \top$ , if for all  $\psi \in \mathcal{I}_\varphi^\delta(\mathcal{D})^2$  there is a  $\tau \in \mathcal{I}_\varphi^\delta(\mathcal{E})^2$  with  $\psi[\mathcal{I}_\varphi^\delta(\mathcal{E})^1]\tau$ .

For **DRSs**  $\mathcal{D}$  we set  $\mathcal{I}_\varphi(\mathcal{D}) = \top$ , iff  $\mathcal{I}_\varphi^\delta(\mathcal{D})^2 \neq \emptyset$ , and define

- ▷  $\mathcal{I}_\varphi^\delta(\delta \mathcal{X}. \mathbf{C}) = (\mathcal{X}, \{\psi \mid \varphi[\mathcal{X}]\psi \text{ and } \mathcal{I}_\psi(\mathbf{C}) = \top\})$ .
- ▷  $\mathcal{I}_\varphi^\delta(\mathcal{D} \otimes \mathcal{E}) = \mathcal{I}_\varphi^\delta(\mathcal{D} \parallel \mathcal{E}) = (\mathcal{I}_\varphi^\delta(\mathcal{D})^1 \cup \mathcal{I}_\varphi^\delta(\mathcal{E})^1, \mathcal{I}_\varphi^\delta(\mathcal{D})^2 \cap \mathcal{I}_\varphi^\delta(\mathcal{E})^2)$

We use the **dynamic value function**  $\mathcal{I}_\varphi^\delta(\mathcal{D})$  for DRSs  $\mathcal{D}$  that might be continued and (the static  $\mathcal{I}_\varphi(\mathcal{D})$ ) for ones that are already final.

We can now fortify our intuition by computing the direct semantics of two **sentences**, which differ in their **dynamic potential**. We start out with the simple “*Peter owns a car*” and then progress to “*Peter owns no car*”.

### Examples (Computing Direct Semantics)

▷ **Example 9.1.22.** “*Peter owns a car*”

$$\begin{aligned}
 & \mathcal{I}_\varphi^\delta(\delta U.\text{acar}(U) \wedge \text{own}(\text{peter}, U)) \\
 = & (\{U\}, \{\psi \mid \varphi[U]\psi \text{ and } \mathcal{I}_\psi(\text{acar}(U) \wedge \text{own}(\text{peter}, U)) = \top\}) \\
 = & (\{U\}, \{\psi \mid \varphi[U]\psi \text{ and } \mathcal{I}_\psi(\text{acar}(U)) = \top \text{ and } \mathcal{I}_\psi(\text{own}(\text{peter}, U)) = \top\}) \\
 = & (\{U\}, \{\psi \mid \varphi[U]\psi \text{ and } \psi(U) \in \mathcal{I}(\text{acar}) \text{ and } (\psi(U), \text{peter}) \in \mathcal{I}(\text{own})\})
 \end{aligned}$$

The **set** of **states**  $[a/U]$ , such that  $a$  is a car and is owned by Peter

▷ **Example 9.1.23.** For “*Peter owns no car*” we look at the **condition**:

$$\begin{aligned}
 & \mathcal{I}_\varphi(\neg(\delta U.\text{acar}(U) \wedge \text{own}(\text{peter}, U))) = \top \\
 \Leftrightarrow & \mathcal{I}_\varphi^\delta(\delta U.\text{acar}(U) \wedge \text{own}(\text{peter}, U))^2 = \emptyset \\
 \Leftrightarrow & (\{U\}, \{\psi \mid \varphi[\mathcal{X}]\psi \text{ and } \psi(U) \in \mathcal{I}(\text{acar}) \text{ and } (\psi(U), \text{peter}) \in \mathcal{I}(\text{own})\})^2 = \emptyset \\
 \Leftrightarrow & \{\psi \mid \varphi[\mathcal{X}]\psi \text{ and } \psi(U) \in \mathcal{I}(\text{acar}) \text{ and } (\psi(U), \text{peter}) \in \mathcal{I}(\text{own})\} = \emptyset
 \end{aligned}$$

i.e. iff there are no  $a$ , that are cars and that are owned by Peter.

The first thing we see in Example 9.1.22 is that the **dynamic potential** can directly be read off the direct **interpretation** of a **DRS**: it is the domain of the **states** in the first component. In Example 9.1.23, the **interpretation** is of the form  $(\emptyset, \mathcal{I}_\varphi^\delta(\mathcal{C}))$ , where  $\mathcal{C}$  is the **condition** we compute the **truth value** of in Example 9.1.23.

## 9.2 Dynamic Model Generation

We will now establish a method for direct deduction on DRT, i.e. deduction at the representational level of DRT, without having to translate – and retranslate – before deduction. This calculus can be seen as a first step towards a tableau machine for DRT and thus as a first step towards semantic-pragmatic analysis for discourses.

### Deduction in Dynamic Logics

- ▷ **Problem:** Mechanize the dynamic entailment relation (with **anaphora**)
- ▷ **Idea:** Use dynamic deduction theorem to reduce (dynamic) entailment to (dynamic) satisfiability
- ▷ **History of Attempts:** Direct Deduction on **DRT** (or DPL) [Sau93; RG94; MR98]  
(++) Specialized Calculi for dynamic representations.

(– –) Needs lots of development until we have [efficient implementations](#).

▷ Translation approach (used in our experiment)

(–) Translate to [PL](#)<sup>1</sup>.

(++) Use off-the-shelf theorem prover (in this case [MathWeb](#)).

## An Opportunity for Off-The-Shelf ATP?

▷ **Pro:** ATP is mature enough to tackle applications

▷ Current ATP are highly [efficient](#) reasoning tools.

▷ Full [automation](#) is needed for NLP. (ATP as an oracle)

▷ ATP as logic engines is one of the initial promises of the field.

▷ **contra:** ATP are general logic systems

1. NLP uses other representation formalisms (DRT, Feature Logic, ...)

2. ATP optimized for [mathematical](#) (combinatorially complex) proofs.

3. ATP (often) do not [terminate](#).

▷ **Experiment:** Use [translation approach](#) for 1. to test 2. and 3. [Bla+01] (Wow, it works!)

## Excursion: Incrementality in Dynamic Calculi

▷ For applications, we need to be able to check for

▷ [satisfiability](#) ( $\exists \mathcal{M}. \mathcal{M} \models \mathbf{A}$ ), [validity](#) ( $\forall \mathcal{M}. \mathcal{M} \models \mathbf{A}$ ) and

▷ [entailment](#) ( $\mathcal{H} \models \mathbf{A}$ , iff  $\mathcal{M} \models \mathcal{H}$  implies  $\mathcal{M} \models \mathbf{A}$  for all  $\mathcal{M}$ )

▷ **Theorem 9.2.1 (Entailment Theorem).**  $\mathcal{H}, \mathbf{A} \models \mathbf{B}$ , iff  $\mathcal{H} \models \mathbf{A} \Rightarrow \mathbf{B}$ . (e.g. for first-order logic and DPL)

▷ **Theorem 9.2.2 (Deduction Theorem).** For most [calculi](#)  $\mathcal{C}$  we have  $\mathcal{H}, \mathbf{A} \vdash_{\mathcal{C}} \mathbf{B}$ , iff  $\mathcal{H} \vdash_{\mathcal{C}} \mathbf{A} \Rightarrow \mathbf{B}$ . (e.g. for  $\mathcal{ND}^1$ )

▷ **Problem:** Analogue  $\mathbf{H}_1 \otimes \dots \otimes \mathbf{H}_n \models \mathbf{A}$  is not equivalent to  $\models (\mathbf{H}_1 \otimes \dots \otimes \mathbf{H}_n) \Rightarrow \mathbf{A}$  in DRT, as  $\otimes$  symmetric.

▷ **Thus** the [validity](#) check cannot be used for [entailment](#) in DRT.

▷ **Solution:** Use [sequential merge](#) ;; (from DPL) for [sentence](#) composition.

## Model Generation for Dynamic Logics

- ▷ **Problem:** Translation approach is not incremental!
  - ▷ For each check, the DRS for the whole discourse has to be translated.
  - ▷ Can become infeasible, once discourses get large (e.g. novel).
  - ▷ This applies for all other approaches for dynamic deduction too.
- ▷ **Idea:** Extend model generation techniques instead!
  - ▷ **Remember:** A DRS  $\mathcal{D}$  is valid in  $\mathcal{M} = \langle \mathcal{D}, \mathcal{I} \rangle$ , iff  $\mathcal{I}_\emptyset^\delta(\mathcal{D})^2 \neq \emptyset$ .
  - ▷ Find a model  $\mathcal{M}$  and state  $\varphi$ , such that  $\varphi \in \mathcal{I}_\emptyset^\delta(\mathcal{D})^2$ .
  - ▷ Adapt first-order model generation technology for that.

## Dynamic Herbrand Valuation

- ▷ **Definition 9.2.3.** We call a model  $\mathcal{M} = \langle \mathcal{U}, \mathcal{I}, \mathcal{I}^\delta \rangle$  a **dynamic Herbrand interpretation**, if  $\langle \mathcal{U}, \mathcal{I} \rangle$  is a **Herbrand model**.
- ▷ **Question:** Can represent  $\mathcal{M}$  as a triple  $\langle \mathcal{X}, \mathcal{S}, \mathcal{B} \rangle$ , where  $\mathcal{B}$  is the **Herbrand valuation** for  $\langle \mathcal{U}, \mathcal{I} \rangle$ ?
- ▷ **Definition 9.2.4.**  $\mathcal{M}$  is called **finite**, iff  $\mathcal{U}$  is **finite**.
- ▷ **Definition 9.2.5.**  $\mathcal{M}$  is **minimal**, iff for all  $\mathcal{M}'$  the following holds:  $(\mathcal{B}(\mathcal{M}))' \subseteq \mathcal{B}(\mathcal{M}) \Rightarrow \mathcal{M} = \mathcal{M}'$ .
- ▷ **Definition 9.2.6.**  $\mathcal{M}$  is **domain minimal** if for all  $\mathcal{M}'$  the following holds:

$$\#(\mathcal{U}(\mathcal{M})) \leq \#(\mathcal{U}(\mathcal{M}'))$$

## Dynamic Model Generation Calculus

- ▷ **Definition 9.2.7.** We use a **tableau** framework, extend by **state** information, and **rules** for **DRSes**.

▷

$$\frac{(\delta U_{\mathbf{A}}. \mathbf{A})^\top \quad \mathcal{H} = \{a_1, \dots, a_n\} \quad w \notin \mathcal{H} \text{ new}}{\begin{array}{c|c|c} [a_1/U] & \dots & [a_n/U] \\ \hline ([a_1/U](\mathbf{A}))^\top & \dots & ([a_n/U](\mathbf{A}))^\top \end{array} \quad [w/U] \quad RM \delta} \quad ([w/U](\mathbf{A}))^\top$$

- ▷ Mechanize ; by adding representation of the second DRS at all **leaves**. (↔ tableau machine)



▷ Treat **conditions** by DRT translation

$$\frac{\neg \mathcal{D}}{\neg \mathcal{D}} \quad \frac{\mathcal{D} \Rightarrow \mathcal{D}'}{\mathcal{D} \Rightarrow \mathcal{D}'} \quad \frac{\mathcal{D} \vee \mathcal{D}'}{\mathcal{D} \vee \mathcal{D}'}$$

Example: “*Peter is a man. No man walks*”

▷ **Example 9.2.8 (Model Generation).** “*Peter is a man. No man walks*”

$$\begin{array}{c} \boxed{\text{man}(\text{peter})} \\ \text{man}(\text{peter})^\top \\ \boxed{\neg(\delta U.\text{man}(U) \wedge \text{walks}(U))} \\ \neg(\forall U.\text{man}(U) \wedge \text{walks}(U))^\top \\ (\forall X.\text{man}(X) \wedge \text{walks}(X))^F \\ (\text{man}(\text{peter}) \wedge \text{walks}(\text{peter}))^F \\ \text{man}(\text{peter})^F \mid \text{walks}(\text{peter})^F \\ \perp \end{array}$$

Dynamic Herbrand interpretation:  $\langle \emptyset, \emptyset, \{\text{man}(\text{peter})^\top, \text{walks}(\text{peter})^F\} \rangle$

Example: Anaphor Resolution “*A man sleeps. He snores*”

▷ **Example 9.2.9 (Anaphor Resolution).** “*A man sleeps. He snores*”

$$\begin{array}{c} \boxed{\delta U_{\text{Man}}.\text{man}(U) \wedge \text{sleeps}(U)} \\ [c_{\text{Man}}^1/U_{\text{Man}}]^\top \\ \text{man}(c_{\text{Man}}^1)^\top \\ \text{sleeps}(c_{\text{Man}}^1)^\top \\ \boxed{\delta V_{\text{Man}}.\text{snores}(V)} \\ [c_{\text{Man}}^1/V_{\text{Man}}]^\top \mid [c_{\text{Man}}^2/V_{\text{Man}}]^\top \\ \text{snores}(c_{\text{Man}}^1)^\top \mid \text{snores}(c_{\text{Man}}^2)^\top \\ \text{minimal} \mid \text{deictic} \end{array}$$

Anaphora with World Knowledge

▷ **Example 9.2.10 (Anaphora with World Knowledge).**

▷ “*Mary is married to Jeff. Her husband is not in town*”.

▷  $\delta U_{\mathbb{F}}, V_{\mathbb{M}}.U = \text{mary} \wedge \text{married}(U, V) \wedge V = \text{jeff} ; \delta W_{\mathbb{M}}, W'_{\mathbb{F}}.\text{husband}(W, W') \wedge \neg \text{intown}(W)$

▷ World knowledge

▷ If a female  $X$  is married to a male  $Y$ , then  $Y$  is  $X$ 's only husband.

▷  $\sim \forall X_{\mathbb{F}}, Y_{\mathbb{M}}. \text{married}(X, Y) \Rightarrow \text{husband}(Y, X) \wedge (\forall Z. \text{husband}(Z, X) \Rightarrow Z = Y)$

▷ Model generation yields saturated tableau, all branches contain

$\langle \{U, V, W, W'\}, \{[\text{mary}/U], [\text{jeff}/V], [\text{jeff}/W], [\text{mary}/W']\}, \mathcal{H} \rangle$

with

$\mathcal{H} = \{\text{married}(\text{mary}, \text{jeff})^T, \text{husband}(\text{jeff}, \text{mary})^T, \neg \text{intown}(\text{jeff})^T\}$

▷ They only differ in additional negative facts, e.g.  $\text{married}(\text{mary}, \text{mary})^F$ .

## Model Generation models Discourse Understanding

▷ The tableau machine algorithm conforms with psycholinguistic findings:

▷ Zwaan & Radvansky [ZR98]: listeners not only represent logical form, but also models containing referents.

▷ deVega [de 95]: online, incremental process.

▷ Singer [Sin94]: enriched by background knowledge.

▷ Glenberg et al. [GML87]: major function is to provide basis for anaphor resolution.

The cost we had to pay for being able to deal with discourse phenomena is that we had to abandon the compositional treatment of natural language we worked so hard to establish in fragments 3 and 4. To have this, we would have to have a dynamic  $\lambda$  calculus that would allow us to raise the respective operators to the functional level. Such a logical system is non-trivial, since the interaction of structurally scoped  $\lambda$ -bound variables and dynamically bound discourse referents is non-trivial.

**Excursion:** We will discuss such a dynamic  $\lambda$  calculus in???



## Chapter 10

# Propositional Attitudes and Modalities

### 10.1 Introduction

#### Modalities and Propositional Attitudes

- ▷ **Definition 10.1.1.** **Modality** is a feature of **language** that allows for **communicating** things about, or based on, situations which need not be actual. A **sentence** is called **modal**, if it involves a **modality**
- ▷ **Definition 10.1.2.** **Modality** is signaled by **phrases** (called **moods**) that express a **speaker's** general intentions and commitment to how believable, obligatory, desirable, or actual an expressed **proposition** is.
- ▷ **Example 10.1.3.** Data on **modalities** (moods in red)
  - ▷ “**A** **probably holds**”, (possibilistic)
  - ▷ “**it has always been the case that A**”, (temporal)
  - ▷ “**it is well-known that A**”, (epistemic)
  - ▷ “**A is allowed/prohibited**”, (deontic)
  - ▷ “**A is provable**”, (provability)
  - ▷ “**A holds after the program P terminates**”, (program)
  - ▷ “**A holds during the execution of P**”, (dito)
  - ▷ “**it is necessary that A**”, (aletic)
  - ▷ “**it is possible that A**”, (dito)



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#### Modeling Modalities and Propositional Attitudes

- ▷ **Example 10.1.4.** Again, the pattern from above:
  - ▷ “**it is necessary that Peter knows logic**” (**A** = Peter knows logic)

▷ “it is *possible* that John loves logic”, ( $A = \text{John loves logic}$ )

▷ **Observation:** All of the red parts above modify the clause/sentence  $A$ . We call them *modalities*.

▷ **Definition 10.1.5 (A related Concept from Philosophy).** A *propositional attitude* is a *mental state* held by an *agent* toward a *proposition*.

▷ **Question:** But how to model this in *logic*?

▷ **Idea:** New sentence-to-sentence operators for “*necessary*” and “*possible*”. (extend existing logics with them.)

▷ **Observation:** “ $A$  is *necessary*”, iff “ $\neg A$  is *impossible*”.

▷ **Definition 10.1.6.** A *modal logic* is a *logical system* that has *logical constants* that model *modalities*.

Various logicians and philosophers looked at ways to use *possible worlds*, or similar theoretical entities, to give a semantics for modal sentences (specifically, for a *modal logic*), including Descartes and Leibniz. In the modern era, Carnap, Montague and Hintikka pursued formal developments of this idea. But the semantics for *modal logic* which became the basis of all following work on the topic was developed by Kripke 1963. This kind of semantics is often referred to as *Kripke semantics*.

## History of Modal Logic

- ▷ Aristoteles studies the logic of necessity and possibility
- ▷ Diodorus: temporal modalities
  - ▷ possible: “*is true or will be*”
  - ▷ necessary: “*is true and will never be false*”
- ▷ Clarence Irving Lewis 1918 [Lew18] (Systems  $S1, \dots, S5$ )
  - ▷ strict implication  $I(A \wedge B)$  ( $I$  for “impossible”)
- ▷ Kurt Gödel 1932: *Modal logic* of provability ( $S4$ ) [Göd32]
- ▷ Saul Kripke 1959-63: *Possible worlds* semantics [Kri63]
- ▷ Vaughan Pratt 1976: Dynamic Program Logic [Pra76]
- ▷  $\vdots$

## Basic Modal Logics ( $ML^0$ and $ML^1$ )

- ▷ **Definition 10.1.7.** *Propositional modal logic*  $ML^0$  extends *propositional logic* with two new *logical constants*:  $\Box$  for *necessity* and  $\Diamond$  for *possibility*. ( $\Diamond A = \neg(\Box \neg A)$ )

- ▷ **Observation:** Nothing hinges on the fact that we use **propositional logic**!
- ▷ **Definition 10.1.8.** **First-order modal logic**  $ML^1$  extends **first-order logic** with two new **logical constants**:  $\Box$  for **necessity** and  $\Diamond$  for **possibility**.
- ▷ **Example 10.1.9.** We interpret
  1. “*Necessarily, every mortal will die.*” as  $\Box(\forall X.\text{mortal}(X) \Rightarrow \text{willdie}(X))$
  2. “*Possibly, something is immortal.*” as  $\Diamond(\exists X.\neg\text{mortal}(X))$
- ▷ **Questions:** What do  $\Box$  and  $\Diamond$  mean? How do they behave?



## Epistemic and Doxastic Modality

- ▷ **Definition 10.1.10.** **Modal sentences** can convey information about the speaker's state of **knowledge** (**epistemic state**) or **belief** (**doxastic state**).
- ▷ **Example 10.1.11.** We might paraphrase sentence (2) as (3):
  1. A: “*Where's John?*”
  2. B: “*He might be in the library.*”
  3. B': “*It is consistent with the speaker's knowledge that John is in the library.*”
- ▷ **Definition 10.1.12.** We say that a world  $w$  is an **epistemic possibility** for an agent  $B$  if it could be consistent with  $B$ 's knowledge.
- ▷ **Definition 10.1.13.** An **epistemic logic** is one that models the **epistemic state** of a speaker. **Doxastic logic** does the same for the **doxastic state**.
- ▷ **Definition 10.1.14.** In **deontic logic**, we interpret the **accessibility relation**  $\mathcal{R}$  as **epistemic accessibility**:
  - ▷ With this  $\mathcal{R}$ , represent  $B$ 's **utterance** as  $\Diamond\text{inlib}(j)$ .
  - ▷ Similarly, represent “*John must be in the library*”. as  $\Box\text{inlib}(j)$ .
- ▷ **Question:** If  $\mathcal{R}$  is **epistemic accessibility**, what properties should it have?



To determine the properties of **epistemic accessibility** we ask ourselves, what statements involving  $\Box$  and  $\Diamond$  should be valid on the **epistemic interpretation** of the operators, and how do we fix the **accessibility relation** to guarantee this?

## Deontic Modality

- ▷ **Definition 10.1.15.** **Deontic modality** is a **modality** that indicates how the world ought to be according to certain norms, expectations, speaker desire, etc.
- ▷ **Definition 10.1.16.** **Deontic modality** has the following subcategories
  - ▷ **Commissive modality** (the speaker's commitment to do something, like a promise or threat): e.g. “*I shall help you*”.

- ▷ **Directive modality** (commands, requests, etc.): e.g. “*Come!*”, “*Let’s go!*”, “*You’ve got to taste this curry!*”
- ▷ **Volitive modality** (wishes, desires, etc.): “*If only I were rich!*”
- ▷ **Question:** If we want to interpret  $\Box \text{runs}(j)$  as “*It is required that John runs*” (or, more idiomatically, as “*John must run*”), what formulae should be valid on this interpretation of the operators? (This is for homework!)



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## 10.2 Semantics for Modal Logics

**Basic Ideas:** The fundamental intuition underlying the semantics for **modality** is that modal statements are statements about *how things might be*, statements about possible states of affairs. According to this intuition, sentence (Example 10.1.9.1) in Example 10.1.9 says that in every possible state of affairs – every way that things might be – every mortal will die, while sentence (Example 10.1.9.2) says that there is some possible state of affairs – some way that things might be – in which something is mortal<sup>1</sup>. What is needed in order to express this intuition in a **model theory** is some kind of entity which will stand for possible states of affairs, or ways things might be. The entity which serves this purpose is the infamous **possible world**.

### Semantics of $ML^0$

- ▷ **Definition 10.2.1.** We use a set  $\mathcal{W}$  of **possible worlds**, and a **accessibility relation**  $\mathcal{R} \subseteq \mathcal{W} \times \mathcal{W}$ : if  $\mathcal{R}(v, w)$ , then we say that  $w$  is **accessible** from  $v$ .
- ▷ **Example 10.2.2.**  $\mathcal{W} = \mathbb{N}$  with  $\mathcal{R} = \{\langle n, n+1 \rangle \mid n \in \mathbb{N}\}$ . (temporal logic)
- ▷ **Definition 10.2.3.** **Variable assignment**  $\varphi: \mathcal{V}_0 \times \mathcal{W} \rightarrow \mathcal{D}_0$  assigns **values** to **variables** in a given **possible world**.
- ▷ **Definition 10.2.4.** **Value function**  $\mathcal{I}: \mathcal{W} \times \text{wff}_0(\mathcal{V}_0) \rightarrow \mathcal{D}_0$  (assigns values to formulae in a possible world)
  - ▷  $\mathcal{I}_\varphi^w(V) = \varphi(w, V)$  for  $V \in \mathcal{V}_0$
  - ▷  $\mathcal{I}_\varphi^w(\neg A) = \top$ , iff  $\mathcal{I}_\varphi^w(A) = \text{F}$ . ( $\wedge$  analogous)
  - ▷  $\mathcal{I}_\varphi^w(\Box A) = \top$ , iff  $\mathcal{I}_\varphi^{w'}(A) = \top$  for all  $w' \in \mathcal{W}$  with  $w\mathcal{R}w'$ .
- ▷ **Definition 10.2.5.** We call a triple  $\mathcal{M} := \langle \mathcal{W}, \mathcal{R}, \mathcal{I} \rangle$  a **Kripke model**.



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In Kripke semantics, the intuitions about the **truth conditions** of modals sentences are expressed as follows:

- A sentence of the form  $\Box A$ , where  $A$  is a proposition, is true at  $w$  iff  $A$  is true at every **possible world accessible** from  $w$ .
- A sentence of the form  $\Diamond A$ , where  $A$  is a proposition, is true at  $w$  iff  $A$  is true at some **possible world accessible** from  $w$ .

You might notice that these **truth conditions** are parallel in certain ways to the **truth conditions** for **tensed sentence**. In fact, the semantics of **tense** is itself a modal semantics which was developed on analogy to Kripke’s modal semantics. Here are the relevant similarities:

<sup>1</sup>Note the impossibility of avoiding modal language in the paraphrase!

1. **Relativization of evaluation** A **tensed sentence** must be evaluated for truth relative to a given time. A **tensed sentence** may be true at one time but false at another. Similarly, we must evaluate modal sentences relative to a **possible world**, for a modal sentence may be true at one **world** (i.e. relative to one possible state of affairs) but false at another.
2. **Truth depends on value of embedded formula at another world** The truth of a **tensed sentence** at a time  $t$  depends on the truth of the formula embedded under the **temporal operator** at some relevant time (possibly) different from  $t$ . Similarly, the truth of a modal sentence at  $w$  depends on the truth of the formula embedded under the modal operator at some world or worlds possibly different from  $w$ .
3. **Accessibility** You will notice that the world at which the embedded formula is to be evaluated is required to be **accessible** from the world of evaluation. The **accessibility relation** on **possible worlds** is a generalization of the ordering relation on times that we introduced in our temporal semantics. (We will return to this momentarily).

It will be helpful to start by thinking again about the ordering relation on times introduced in temporal models. This ordering relation is in fact one sort of accessibility relation. Why did we need the ordering relation? We needed it in order to ensure that our temporal semantics makes intuitively correct predictions about the **truth conditions** of **tensed sentences** and about entailment relations between them. Here are two illustrative examples:

### Accessibility Relations. E.g. for Temporal Modalities

- ▷ **Example 10.2.6 (Temporal Worlds with Ordering).** Let  $\langle \mathcal{W}, \circ, <, \subseteq \rangle$  an **interval time structure**, then we can use  $\langle \mathcal{W}, < \rangle$  as a **Kripke models**. Then **PAST** becomes a modal operator.
- ▷ **Example 10.2.7.** Suppose we have  $i < j$  and  $j < k$ . Then intuitively, if "*Jane is laughing*" is true at  $i$ , then "*Jane laughed*" should be true at  $j$  and at  $k$ , i.e.  $\mathcal{I}_\varphi^w(j)\text{PAST}(\text{laughs}(j))$  and  $\mathcal{I}_\varphi^w(k)\text{PAST}(\text{laughs}(j))$ . But this holds only if " $<$ " is **transitive**. (which it is!)
- ▷ **Example 10.2.8.** Here is a clearly counter-intuitive claim: For any time  $i$  and any sentence  $A$ , if  $\mathcal{I}_\varphi^w(i)\text{PRES}(A)$  then  $\mathcal{I}_\varphi^w(i)\text{PAST}(A)$ . (For example, the truth of "*Jane is at the finish line*" at  $i$  implies the truth of "*Jane was at the finish line*" at  $i$ .) But we would get this result if we allowed  $<$  to be reflexive. ( $<$  is irreflexive)
- ▷ Treating **tense** modally, we obtain reasonable **truth conditions**.

Thus, by ordering the times in our model in accord with our intuitions about time, we can ensure correct predictions about **truth conditions** and entailment relations for **tensed sentences**.

In the modal domain, we do not have intuitions about how possible worlds should be ordered. But we do have intuitions about **truth conditions** and entailment relations among modal sentences. So we need to set up an accessibility relation on the set of possible worlds in our model which, in combination with the **truth conditions** for  $\Box$  and  $\Diamond$  given above, will produce intuitively correct claims about entailment.

One of the prime occupations of modal logicians is to look at the sets of validities which are obtained by imposing various different constraints on the **accessibility relation**. We will here consider just two examples.

**What must be, is:**



1. It seems intuitively correct that if it is necessarily the case that  $\mathbf{A}$ , then  $\mathbf{A}$  is true, i.e. that  $w_g(\Box \mathbf{A}) = \top$  implies that  $w_g(\mathbf{A}) = \top$  or, more simply, that the following formula is valid:

$$\Box \mathbf{A} \Rightarrow \mathbf{A}$$

2. To guarantee this implication, we must ensure that any world  $w$  is among the **world accessible** from  $w$ , i.e. we must make  $\mathcal{R}$  **reflexive**.
3. Note that this also guarantees, among other things, that the following is valid:  $\mathbf{A} \Rightarrow \Diamond \mathbf{A}$

**Whatever is, is necessarily possible:**

1. This also seems like a reasonable slogan. Hence, we want to guarantee the validity of:

$$\mathbf{A} \Rightarrow \Box \Diamond \mathbf{A}$$

2. To do this, we must guarantee that if  $\mathbf{A}$  is true at a some **world**  $w$ , then for every **world**  $w'$  **accessible** from  $w$ , there is at least one  $\mathbf{A}$  **world accessible** from  $w'$ . To do this, we can guarantee that every **world**  $w$  is **accessible** from every world which is **accessible** from it, i.e. make  $\mathcal{R}$  **symmetric**.

### Modal Axioms (Propositional Logic)

▷ **Definition 10.2.9. Necessitation:**  $\frac{\mathbf{A}}{\Box \mathbf{A}} N$

▷ **Definition 10.2.10 (Normal Modal Logics).**

| System        | Axioms                                                                                              | Accessibility Relation |
|---------------|-----------------------------------------------------------------------------------------------------|------------------------|
| $\mathbb{K}$  | $\Box(\mathbf{A} \Rightarrow \mathbf{B}) \Rightarrow (\Box \mathbf{A} \Rightarrow \Box \mathbf{B})$ | general                |
| $\mathbb{T}$  | $\mathbb{K} + \Box \mathbf{A} \Rightarrow \mathbf{A}$                                               | reflexive              |
| $\mathbb{S4}$ | $\mathbb{T} + \Box \mathbf{A} \Rightarrow \Box \Box \mathbf{A}$                                     | reflexive + transitive |
| $\mathbb{B}$  | $\mathbb{T} + \Diamond \Box \mathbf{A} \Rightarrow \mathbf{A}$                                      | reflexive + symmetric  |
| $\mathbb{S5}$ | $\mathbb{S4} + \Diamond \mathbf{A} \Rightarrow \Box \Diamond \mathbf{A}$                            | equivalence relation   |

### $\mathbb{K}$ Theorems

▷ **Observation 10.2.11.**  $\Box(\mathbf{A} \wedge \mathbf{B}) \models \Box \mathbf{A} \wedge \Box \mathbf{B}$  in  $\mathbb{K}$ .

▷ **Observation 10.2.12.**  $\mathbf{A} \Rightarrow \mathbf{B} \models \Box \mathbf{A} \Rightarrow \Box \mathbf{B}$  in  $\mathbb{K}$ .

▷ **Observation 10.2.13.**  $\mathbf{A} \Rightarrow \mathbf{B} \models \Diamond \mathbf{A} \Rightarrow \Diamond \mathbf{B}$  in  $\mathbb{K}$ .

### Translation to First-Order Logic

▷ **Question:** Is **modal logic** more expressive than **predicate logic**?

▷ **Answer:** Very rarely! (usually can be translated)

- ▷ **Definition 10.2.14.** Translation  $\tau$  from ML into  $\text{PL}^1$ , (so that the diagram commutes)

$$\begin{array}{ccc}
 \text{Kripke-Sem.} & \xrightarrow{\bar{\tau}} & \text{Tarski-Sem.} \\
 \mathcal{I}_\varphi^w \uparrow & & \uparrow \mathcal{I}_\varphi \\
 \text{modal logic} & \xrightarrow{\tau} & \text{predicate logic}
 \end{array}$$

- ▷ **Idea:** Axiomatize Kripke models in  $\text{PL}^1$ . (diagram is simple consequence)
- ▷ **Definition 10.2.15.** A logic morphism  $\Theta: \mathcal{L} \rightarrow \mathcal{L}'$  is called
- ▷ **correct**, iff  $\exists \mathcal{M}. \mathcal{M} \models \Phi$  implies  $\exists \mathcal{M}'. \mathcal{M}' \models' \Theta(\Phi)$ .
  - ▷ **complete**, iff  $\exists \mathcal{M}'. \mathcal{M}' \models' \Theta(\Phi)$  implies  $\exists \mathcal{M}. \mathcal{M} \models \Phi$ .

## Modal Logic Translation (formal)

- ▷ **Definition 10.2.16.** The **standard translation**  $\tau_w$  from modal logics to first-order logic is given by the following process:
- ▷ Extend all **function constants** by a “world argument”:  $\bar{f} \in \Sigma_{k+1}^f$  for every  $f \in \Sigma_k^f$
  - ▷ for **predicate constants** accordingly.
  - ▷ insert the “translation world” there: e.g.  $\tau_w(f(a, b)) = \bar{f}(w, \bar{a}(w), \bar{b}(w))$ .
  - ▷ New **predicate constant**  $\mathcal{R}$  for the **accessibility relation**.
  - ▷ New **constant**  $s$  for the “start world”.
  - ▷  $\tau_w(\Box \mathbf{A}) = \forall w'. w \mathcal{R} w' \Rightarrow \tau_{w'}(\mathbf{A})$ .
  - ▷ Use all axioms from the respective correspondence theory.
- ▷ **Definition 10.2.17 (Alternative).** **Functional translations**, if  $\mathcal{R}$  associative:
- ▷ New function constant  $f_{\mathcal{R}}$  for the accessibility relation.
  - ▷ Revise the **standard translation** by one of the following
    - ▷  $\tau_w(\Box \mathbf{A}) = \forall w'. w = f_{\mathcal{R}}(w') \Rightarrow \tau_{w'}(\mathbf{A})$ . (naive solution)
    - ▷  $\tau_{f_{\mathcal{R}}(w)}(\Box \mathbf{A}) = \tau_w(\mathbf{A})$  (better for mechanizing [Ohl88])

## Translation (continued)

- ▷ **Theorem 10.2.18.**  $\tau_s: \text{ML}^0 \rightarrow \text{PL}^0$  is correct and complete.
- ▷ **Proof:** show that  $\exists \mathcal{M}. \mathcal{M} \models \Phi$  iff  $\exists \mathcal{M}'. \mathcal{M}' \models \tau_s(\Phi)$
1. Let  $\mathcal{M} = \langle \mathcal{W}, \mathcal{R}, \varphi \rangle$  with  $\mathcal{M} \models \mathbf{A}$
  2. chose  $\mathcal{M} = \langle \mathcal{W}, \mathcal{I} \rangle$ , such that  $\mathcal{I}(\bar{p}) = \varphi(p): \mathcal{W} \rightarrow \{\text{T}, \text{F}\}$  and  $\mathcal{I}(r) = \mathcal{R}$ .

we prove  $\mathcal{M} \models_{\psi} \tau_w(\mathbf{A})'$  for  $\psi = \text{Id}_{\mathcal{W}}$  by structural induction over  $\mathbf{A}$ .

3.  $\mathbf{A} = P$

$$3.1. \mathcal{I}_{\psi}(\tau_w(\mathbf{A})) = \mathcal{I}_{\psi}(\bar{p}(w)) = \mathcal{I}(\bar{p}(w)) = \varphi(P, w) = \top$$

5.  $\mathbf{A} = \neg \mathbf{B}, \mathbf{A} = \mathbf{B} \wedge \mathbf{C}$   
trivial by IH.

7.  $\mathbf{A} = \Box \mathbf{B}$

$$7.1. \mathcal{I}_{\psi}(\tau_w(\mathbf{A})) = \mathcal{I}_{\psi}(\forall w.r(w, v) \Rightarrow \tau_v(\mathbf{B})) = \top, \text{ if } \mathcal{I}_{\psi}(r(w, v)) = \text{F or } \mathcal{I}_{\psi}(\tau_v(\mathbf{B})) = \top \text{ for all } v \in \mathcal{W}.$$

7.2.  $\mathcal{M} \models_{\psi} \tau_{v'}(\mathbf{B})$  so by IH  $\mathcal{M} \models^{v'} \mathbf{B}$ .

7.3. so  $\mathcal{M} \models_{\psi} \tau_w(\mathbf{A})'$ .

□

## Modal Logic (References)

- ▷ G. E. Hughes und M. M. Cresswell: *A companion to Modal Logic*, University Paperbacks, Methuen (1984) [HC84].
- ▷ David Harel: *Dynamic Logic*, Handbook of Philosophical Logic, D. Gabbay, Hrsg. Reidel (1984) [Har84].
- ▷ Johan van Benthem: *Language in Action, Categories, Lambdas and Dynamic Logic*, North Holland (1991) [Ben91].
- ▷ Reinhard Muskens, Johan van Benthem, Albert Visser, *Dynamics*, in *Handbook of Logic and Language*, Elsevier, (1995) [MBV95].
- ▷ Blackburn, DeRijke, Vedema: *Modal Logic*; 2001 [BRV01]. look at the chapter "Guide to the literature" in the end.

**Excursion:** We discuss a model existence theorem that can be the basis of [completeness](#) proofs for [modal logics](#) in Appendix D.

## 10.3 A Multiplicity of Modalities $\leadsto$ Multimodal Logic

The [epistemic](#) and [deontic modality modalities](#) differ from alethic, or logical, [modality](#) in that they must be relativized to an individual. Although we can choose to abstract away from this, it is clear that what is possible relative to John's set of beliefs may not be possible relative to Jane's, or that what is obligatory for Jane may not be obligatory for John. A theory of [modalities](#) for [natural language](#) must have a means of [representing](#) this relativization.

### A Multiplicity of Modalities

- ▷ Epistemic (knowledge and belief) modalities must be relativized to an individual
  - ▷ "*Peter knows that Trump is lying habitually.*"

- ▷ “John believes that Peter knows that Trump is lying habitually.”
- ▷ “You must take the written drivers’ exam to be admitted to the practical test.”
- ▷ Similarly, we find in natural language expressions of necessity and possibility relative to many different kinds of things.
- ▷ Consider the deontic (obligatory/permissible) modalities
  - ▷ “[Given the university’s rules] Jane can take that class.”
  - ▷ “[Given her intellectual ability] Jane can take that class.”
  - ▷ “[Given her schedule] Jane can take that class.”
  - ▷ “[Given my desires] I must meet Henry.”
  - ▷ “[Given the requirements of our plan] I must meet Henry.”
  - ▷ “[Given the way things are] I must meet Henry [every day and not know it].”
- ▷ Many different sorts of modality, sentences are multiply ambiguous towards which one.



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In a series of papers beginning with her 1978 dissertation (in German), Angelika Kratzer proposed an account of the semantics of natural language which accommodates this ambiguity. (The ambiguity is treated not as a semantic ambiguity, but as context dependency.) Kratzer’s account, which is now the standard view in semantics and (well-informed) philosophy of language, adopts central ingredients from Kripke semantics – the basic possible world framework and the notion of an accessibility relation – but puts these together in a novel way. Kratzer’s account of modals incorporates an account of natural language conditionals; this account has been influenced by, and been influential for, the accounts of conditionals developed by David Lewis and Robert Stalnaker. These also are now standardly accepted (at least by those who accept the possible worlds framework).

Some references: [Kra12; Lew73; Sta68].

## Multimodal Logics

- ▷ **Definition 10.3.1.** A multimodal logic provides operators for multiple modalities:  $[1], [2], [3], \dots, \langle 1 \rangle, \langle 2 \rangle, \dots$
- ▷ **Definition 10.3.2.** Multimodal Kripke models provide multiple accessibility relations  $\mathcal{R}_1, \mathcal{R}_2, \dots \subseteq \mathcal{W} \times \mathcal{W}$ .
- ▷ **Definition 10.3.3.** The value function in multimodal logic generalizes the clause for  $\Box$  in  $\text{ML}^0$  to
  - ▷  $\mathcal{I}_\varphi^w([i]\mathbf{A}) = \mathbf{T}$ , iff  $\mathcal{I}_\varphi^{w'}(\mathbf{A}) = \mathbf{T}$  for all  $w' \in \mathcal{W}$  with  $w\mathcal{R}_i w'$ .
- ▷ **Example 10.3.4 (Epistemic Logic: talking about knowing/believing).**  $[peter]\langle klaus \rangle \mathbf{A}$   
(Peter knows that Klaus considers A possible)
- ▷ **Example 10.3.5 (Program Logic: talking about programs).**
 $[X:=\mathbf{A}][Y:=\mathbf{A}]X = Y$  (after assignments, the values of X and Y are equal)



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We will now contrast DRT (see section 9.1) with a modal logic for modeling imperative programs

– incidentally also called “dynamic logic”. This will give us new insights into the nature of dynamic phenomena in [natural language](#).

## 10.4 Dynamic Logic for Imperative Programs

### Dynamic Program Logic (DL)

- ▷ **Modal logics** for argumentation about [imperative](#), non-deterministic [programs](#).
- ▷ **Idea:** Formalize the traditional argumentation about program correctness: tracing the [variable assignments](#) ([state](#)) across [program](#) statements.
- ▷ **Example 10.4.1 (Fibonacci).** Consider the following (imperative) program that computes  $\text{Fib}(X)$  as the value of  $Z$ :  
 $\alpha := \langle Y, Z \rangle := \langle 1, 1 \rangle ; \text{while } X \neq 0 \text{ do } \langle X, Y, Z \rangle := \langle X - 1, Z, Y + Z \rangle \text{ end}$ 
  - ▷ **States** for the “input”  $X = 4$ :  $\langle 4, \_, \_ \rangle, \langle 4, 1, 1 \rangle, \langle 3, 1, 2 \rangle, \langle 2, 2, 3 \rangle, \langle 1, 3, 5 \rangle, \langle 0, 5, 8 \rangle$
  - ▷ **Correctness?** For positive  $X$ , running  $\alpha$  with input  $\langle X, \_, \_ \rangle$  we end with  $\langle 0, \text{Fib}(X - 1), \text{Fib}(X) \rangle$
  - ▷ **Termination?**  $\alpha$  does not [terminate](#) on input  $\langle -1, \_, \_ \rangle$ .



### Multi-Modal Logic fits well

- ▷ **Observation:** Multi modal logic fits well
  - ▷ States as [possible worlds](#), [program](#) statements as [accessibility relations](#).
  - ▷ Two syntactic categories: [programs](#)  $\alpha$  and [formulae](#)  $A$ .
  - ▷ Interpret  $[\alpha]A$  as “*If  $\alpha$  terminates, then  $A$  holds afterwards*”
  - ▷ Interpret  $\langle \alpha \rangle A$  as “ *$\alpha$  terminates and  $A$  holds afterwards*”.
- ▷ **Example 10.4.2.** Assertions about [Fibonacci number](#) ( $\alpha$ )
  - ▷  $\forall X, Y. [\alpha]Z = \text{Fib}(X)$
  - ▷  $\forall X, Y. (X \geq 0) \Rightarrow \langle \alpha \rangle Z = \text{Fib}(X)$



### Levels of Description in Dynamic Program Logic

- ▷ **Propositional dynamic logic** ( $\text{DL}^0$ ) (independent of variable assignments)
  - ▷  $\models [\alpha]A \wedge [\alpha]B \Leftrightarrow [\alpha](A \wedge B)$
  - ▷  $\models [\text{while } A \vee B \text{ do } \alpha \text{ end}]C \Leftrightarrow [\text{while } A \text{ do } \alpha \text{ end} ; \text{while } B \text{ do } \alpha ; \text{while } A \text{ do } \alpha \text{ end end}]C$
- ▷ **First-order program logic** ( $\text{DL}^1$ ) (function, predicates uninterpreted)
  - ▷  $\models p(f(X)) \Rightarrow g(Y, f(X)) \Rightarrow \langle Z := f(X) \rangle p(Z, g(Y, Z))$

▷  $\models Z = Y \wedge (\forall X. f(g(X)) = X) \Rightarrow [\text{while } p(Y) \text{ do } Y := g(Y) \text{ end}] \langle \text{while } Y \neq Z \text{ do } Y := f(Y) \text{ end} \rangle T$

▷  $\text{DL}^1$  with interpreted functions, predicates (maybe some other time)

▷  $\forall X. \langle \text{while } X \neq 1 \text{ do if even}(X) \text{ then } X := \frac{X}{2} \text{ else } X := 3X + 1 \text{ end} \rangle T$

▷ **Definition 10.4.3.** We collectively call these dynamic program logics.

## $\text{DL}^0$ Syntax

▷ **Definition 10.4.4.** Propositional dynamic logic ( $\text{DL}^0$ ) is  $\text{PL}^0$  extended by

▷ program variables  $\mathcal{V}_\pi = \{\alpha, \beta, \gamma, \dots\}$ ,

▷ modalities  $[\alpha], \langle \alpha \rangle$ .

▷ program constructors  $\Sigma^\pi = \{;, \cup, *, ?\}$  (minimal set)

|                     |                                                            |              |
|---------------------|------------------------------------------------------------|--------------|
| $\alpha ; \beta$    | execute first $\alpha$ , then $\beta$                      | sequence     |
| $\alpha \cup \beta$ | execute (non-deterministically) either $\alpha$ or $\beta$ | distribution |
| $*\alpha$           | (non-deterministically) repeat $\alpha$ finitely often     | iteration    |
| $\mathbf{A}?$       | proceed if $\models \mathbf{A}$ , else stop                | test         |

▷ **Idea:** Standard program primitives as derived concepts

| Construct                                  | as                                                         |
|--------------------------------------------|------------------------------------------------------------|
| if $\mathbf{A}$ then $\alpha$ else $\beta$ | $(\mathbf{A} ? ; \alpha) \cup (\neg \mathbf{A} ? ; \beta)$ |
| while $\mathbf{A}$ do $\alpha$ end         | $*(\mathbf{A} ? ; \alpha) ; \neg \mathbf{A} ?$             |
| repeat $\alpha$ until $\mathbf{A}$ end     | $*(\alpha ; \neg \mathbf{A} ?) ; \mathbf{A} ?$             |

## $\text{DL}^0$ Semantics

▷ **Definition 10.4.5.** A model for  $\text{DL}^0$  consists of a set  $\mathcal{W}$  of possible worlds called states for  $\text{DL}^0$ .

▷ **Definition 10.4.6.**  $\text{DL}^0$  variable assignments come in two parts:

▷  $\varphi: \mathcal{V}_0 \times \mathcal{W} \rightarrow \mathcal{D}_0$  (for propositional variables)

▷  $\pi: \mathcal{V}_\pi \rightarrow \mathcal{P}(\mathcal{W} \times \mathcal{W})$  (maps program variables to accessibility relations)

▷ **Definition 10.4.7.** The meaning of complex formulae is given by the following value function  $\mathcal{I}_{\varphi, \pi}^w: \text{wff}_0(\mathcal{V}_0) \rightarrow \mathcal{D}_0$  on formulae:

▷  $\mathcal{I}_{\varphi, \pi}^w(V) = \varphi(w, V)$  for  $V \in \mathcal{V}_0$ .

▷  $\mathcal{I}_{\varphi, \pi}^w(\neg \mathbf{A}) = \mathbf{T}$  iff  $\mathcal{I}_{\varphi, \pi}^w(\mathbf{A}) = \mathbf{F}$

▷  $\mathcal{I}_{\varphi, \pi}^w([\alpha]\mathbf{A}) = \mathbf{T}$  iff  $\mathcal{I}_{\varphi, \pi}^{w'}(\mathbf{A}) = \mathbf{T}$  for all  $w' \in \mathcal{W}$  with  $w \mathcal{I}_{\varphi, \pi}(\alpha) w'$ .

And  $\mathcal{I}_{\varphi, \pi}: \text{wff}_0(\mathcal{V}_0) \rightarrow \mathcal{P}(\mathcal{W} \times \mathcal{W})$  on programs: (independent of  $w \in \mathcal{W}$ )

- ▷  $\mathcal{I}_{\varphi, \pi}(\alpha) = \pi(\alpha)$ . (program variable by assignment)
- ▷  $\mathcal{I}_{\varphi, \pi}(\alpha ; \beta) = \mathcal{I}_{\varphi, \pi}(\beta) \circ \mathcal{I}_{\varphi, \pi}(\alpha)$  (sequence by composition)
- ▷  $\mathcal{I}_{\varphi, \pi}(\alpha \cup \beta) = \mathcal{I}_{\varphi, \pi}(\alpha) \cup \mathcal{I}_{\varphi, \pi}(\beta)$  (distribution by union)
- ▷  $\mathcal{I}_{\varphi, \pi}(*\alpha) = \mathcal{I}_{\varphi, \pi}(\alpha)^*$  (iteration by reflexive transitive closure)
- ▷  $\mathcal{I}_{\varphi, \pi}(\mathbf{A}?) = \{\langle w, w \rangle \mid \mathcal{I}_{\varphi, \pi}^w(\mathbf{A}) = \mathbf{T}\}$  (test by subset of identity relation)

## First-Order Program Logic ( $\text{DL}^1$ )

- ▷ **Observation:** Imperative programs uses variables, function and predicate constants (uninterpreted), but no program variables. The main operation is variable assignment.
- ▷ **Idea:** Make a multimodal logic in the spirit of  $\text{DL}^0$  that features all of these for a deeper understanding.
- ▷ **Definition 10.4.8.** First-order program logic ( $\text{DL}^1$ ) combines the features of  $\text{PL}^1$ ,  $\text{DL}^0$  without program variables, with the following two assignment operators:
  - ▷ nondeterministic assignment  $X := ?$
  - ▷ deterministic assignment  $X := \mathbf{A}$
- ▷ **Example 10.4.9.**  $\models p(f(X)) \Rightarrow g(Y, f(X)) \Rightarrow \langle Z := f(X) \rangle p(Z, g(Y, Z))$  in  $\text{DL}^1$ .
- ▷ **Example 10.4.10.** In  $\text{DL}^1$  we have
 
$$\models Z = Y \wedge (\forall X. p(f(g(X)) = X) \Rightarrow [\text{while } p(Y) \text{ do } Y := g(Y) \text{ end}] \langle \text{while } Y \neq Z \text{ do } Y := f(Y) \text{ end} \rangle \mathbf{T}$$

## $\text{DL}^1$ Semantics

- ▷ **Definition 10.4.11.** Let  $\mathcal{M} = \langle \mathcal{D}, \mathcal{I} \rangle$  be a first-order model then the states (possible worlds) are variable assignments:  $\mathcal{W} = \{\varphi \mid \varphi: \mathcal{V}_i \rightarrow \mathcal{D}\}$
- ▷ **Definition 10.4.12.** For a set  $\mathcal{X}$  of variables, write  $\varphi[\mathcal{X}]\psi$ , iff  $\varphi(X) = \psi(X)$  for all  $X \notin \mathcal{X}$ .
- ▷ **Definition 10.4.13.** The meaning of complex formulae is given by the following value function  $\mathcal{I}_{\varphi}^w: \text{wff}_o(\Sigma, \mathcal{V}_i) \rightarrow \mathcal{D}_0$ 
  - ▷  $\mathcal{I}_{\varphi}^w(\mathbf{A}) = \mathcal{I}_{\varphi}(\mathbf{A})$  if  $\mathbf{A}$  term or atom.
  - ▷  $\mathcal{I}_{\varphi}^w(\neg \mathbf{A}) = \mathbf{T}$  iff  $\mathcal{I}_{\varphi}^w(\mathbf{A}) = \mathbf{F}$
  - ▷  $\vdots$
  - ▷  $\mathcal{I}_{\varphi}(X := ?) = \{\langle \varphi, \psi \rangle \mid \varphi[X]\psi\}$
  - ▷  $\mathcal{I}_{\varphi}(X := \mathbf{A}) = \{\langle \varphi, \psi \rangle \mid \varphi[X]\psi \text{ and } \psi(X) = \mathcal{I}_{\varphi}(\mathbf{A})\}$ .
- ▷ **Observation 10.4.14 (Substitution and Quantification).** We have

$$\triangleright \mathcal{I}_\varphi([X:=\mathbf{A}]\mathbf{B}) = \mathcal{I}_{\varphi, [\mathcal{I}_\varphi(\mathbf{A})/X]}(\mathbf{B})$$

$$\triangleright \forall X. \mathbf{A} = [X:=?]\mathbf{A}.$$

▷ Thus **substitutions** and **quantification** are definable in  $\text{DL}^1$ .

## Natural Deduction for $\text{DL}^0$

▷ **Definition 10.4.15.** The **natural deduction calculus**  $\mathcal{ND}_0$  for  $\text{DL}^0$  contains the **inference rules** from  $\mathcal{ND}_0$  plus:

| Introduction                                                                                                                                   | Elimination                                                                                                                                                              |
|------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| $\frac{[\alpha][\beta]\mathbf{A}}{[\alpha;\beta]\mathbf{A}} \mathcal{ND}_0;I$                                                                  | $\frac{[\alpha;\beta]\mathbf{A}}{[\alpha][\beta]\mathbf{A}} \mathcal{ND}_0;E$                                                                                            |
| $\frac{[\alpha]\mathbf{A} \quad [\beta]\mathbf{A}}{[\alpha \cup \beta]\mathbf{A}} \mathcal{ND}_0 \cup I$                                       | $\frac{[\alpha \cup \beta]\mathbf{A}}{[\alpha]\mathbf{A}} \mathcal{ND}_0 \cup E_l \quad \frac{[\alpha \cup \beta]\mathbf{A}}{[\beta]\mathbf{A}} \mathcal{ND}_0 \cup E_r$ |
| $\frac{[\alpha]^0\mathbf{A} \quad \dots \quad [\alpha]^n\mathbf{A} \text{ for all } n \in \mathbb{N}}{[*\alpha]\mathbf{A}} \mathcal{ND}_0 * I$ | $\frac{[*\alpha]\mathbf{A} \quad n \in \mathbb{N}}{[\alpha]^n\mathbf{A}} \mathcal{ND}_0 * E$                                                                             |
| $\frac{[\mathbf{A}]^1 \quad \dots \quad \mathbf{B}}{[\mathbf{A}?]\mathbf{B}} \mathcal{ND}_0 ? I^1$                                             | $\frac{[\mathbf{A}?]\mathbf{B} \quad \mathbf{A}}{\mathbf{B}} \mathcal{ND}_0 ? E$                                                                                         |

For details see [HM95].

## Natural Deduction for $\text{DL}^1$

▷ **Definition 10.4.16.** The **natural deduction calculus**  $\mathcal{ND}_1$  for  $\text{DL}^1$  contains the **inference rules** from  $\mathcal{ND}^1$  and  $\mathcal{ND}_0$  plus:

$$\frac{[\mathbf{A}/X](\mathbf{B}) \quad X \notin (\text{free}(\mathbf{A}) \cup \text{free}(\mathbf{B}))}{[X:=\mathbf{A}]\mathbf{B}} \mathcal{ND}_0 := I$$

$$\frac{[X:=\mathbf{A}]\mathbf{B} \quad \begin{array}{c} [[\mathbf{A}/X](\mathbf{B})]^1 \\ \vdots \\ \mathbf{C} \end{array}}{\mathbf{C}} \mathcal{ND}_0 := E$$

For details see [HM95].

▷ **Observation:** No **inference rules** for  $:=?$  needed as  $\forall X. \mathbf{A} = [X:=?]\mathbf{A}$   
 $\Leftarrow \forall I$  and  $\forall E$  suffice.



## Natural Language as Programming Languages

- ▷ **Question:** Why is dynamic program logic interesting in a natural language semantics course?
- ▷ **Answer:** There are fundamental relations between dynamic (discourse) logics and dynamic program logics.
- ▷ **David Israel:** “*Natural languages are programming languages for mind*” [Isr93]

# Chapter 11

## Some Issues in the Semantics of Tense

### Tense as a Deictic Element

- ▷ **Goal:** Capturing the **truth conditions** and the **logical form** of sentences of English.
- ▷ **Clearly:** The following three sentences have different **truth conditions**.
  1. “*Jane saw George.*”
  2. “*Jane sees George.*”
  3. “*Jane will see George.*”
- ▷ **Observation 11.0.1.** *Tense is a **deictic** element, i.e. its interpretation requires reference to something outside the sentence itself.*
- ▷ **Remark:** Often, in particular in the case of monoclausal sentences occurring in isolation, as in our examples, this “something” is the **speech** time.
- ▷ **Idea:** make use of the reference time “*now*”:
  - ▷ “*Jane saw George*” is true at a time iff “*Jane sees George*” was true at some point in time before now.
  - ▷ “*Jane will see George*” is true at a time iff “*Jane sees George*” will be true at some point in time after now.



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### A Simple Semantics for Tense

- ▷ **Problem:** The **meaning** of “*Jane saw George*” and “*Jane will see George*” is defined in terms of “*Jane sees George*”.
  - ∼ We need the **truth conditions** of the **present tense** sentence.
- ▷ **Idea:** “*Jane sees George*” is true at a time iff Jane sees George at that time.
- ▷ **Implementation:** Postulate **temporal operator** as sentential operators (expressions of type  $o \rightarrow o$ ). Interpret

1. “Jane saw George” as  $\text{PAST}(\text{see}(g, j))$ ,
2. “Jane sees George” as  $\text{PRES}(\text{see}(g, j))$ , and
3. “Jane wil see George” as  $\text{FUT}(\text{see}(g, j))$ .



Some notes:

- Most treatments of the semantics of *tense* invoke some notion of a *tenseless* proposition/formula for the *base case*, just like we do. The idea here is that markers of *past*, *present* and *future* all operate on an underlying *un-tenseed* expression, which can be evaluated for truth at a time.
- Note that we have made no attempt to show how these translations would be derived from the *natural language syntax*. Giving a *compositional semantics* for *tense* is a complicated business – for one thing, it requires us to first establish the *syntax* of *tense* – so we set this goal aside in this brief presentation.
- Here, we have implicitly assumed that the English modal “*will*” is simply a *tense* marker. This is indeed assumed by some. But others consider that it is no accident that “*will*” has the syntax of other modals like “*can*” and “*must*”, and believe that “*will*” is also semantically a modal.

## Models and Evaluation for a Tensed Language

- ▷ **Problem:** The interpretations of constants vary over time.
- ▷ **Idea:** Introduce times into our models, and let the interpretation function give values of constants at a time. Relativize the valuation function to times
- ▷ **Idea:** We will consider temporal structures, where denotations are constant on intervals.
- ▷ **Definition 11.0.2.** Let  $I \subseteq \{[i, j] \mid i, j \in \mathbb{R}\}$  be a set of real *intervals*, then we call  $\langle I, \circ, <, \subseteq \rangle$  an *interval time structure*, where for *intervals*  $i := [i_l, i_r]$  and  $j := [j_l, j_r]$  we say that
  - ▷  $i$  and  $j$  *overlap* (written  $i \circ j$ ), iff  $i_l \leq i_r$ ,
  - ▷  $i$  *precedes*  $j$  (written  $i < j$ ), iff  $i_r \leq j_l$ , and
  - ▷  $i$  is *contained* in  $j$  (written  $i \subseteq j$ ), iff  $i_l \leq j_l$  and  $i_r \leq j_r$ .
- ▷ **Definition 11.0.3.** A *temporal model* is a triple  $\langle \mathcal{D}, \mathbb{I}, \mathcal{I} \rangle$ , where
  - ▷  $\mathcal{D}$  is a *set* called the *domain*,
  - ▷  $\mathbb{I}$  is an *interval time structure*, and
  - ▷  $\mathcal{I}: \mathbb{I} \times \Sigma_{\mathcal{T}} \rightarrow \mathcal{D}$  an interpretation function.



**The ordering relation:** The ordering relation  $<$  is needed to make sure that our models represent temporal relations in an intuitively correct way. Whatever the truth may be about time, as language *users* we have rather robust intuitions that time goes in one direction along a straight line, so that every moment of time is either before, after or identical to any other moment; and no moment of time is both before and after another moment. If we think of the set of times as the set of natural numbers, then the ordering relation  $<$  is just the relation “*less than*” on that set.

**Intervals:** Although intuitively time is given by as a set of moments of time, we will adopt here (following Cann, who follows various others) an *interval semantics*, in which expressions are evaluated relative to intervals of time. Intervals are defined in terms of moments, as a continuous set of moments ordered by  $<$ .

**The new interpretation function:** In models without times, the interpretation function  $\mathcal{I}$  assigned an extension to every constant. Now, we want it to assign an extension to each constant relative to each interval in our *interval time structure*. I.e. the interpretation function associates each constant with a pair consisting of an interval and an appropriate extension, interpreted as the extension at that interval. This set of pairs is, of course, equivalent to a function from intervals to extensions.

### Interpretation rules for the temporal operators

▷ **Definition 11.0.4.** For the **value function**  $\mathcal{I}_\varphi^i(\cdot)$  we only redefine the clause for constants:

- ▷  $\mathcal{I}_\varphi^i(c) := \mathcal{I}(c)$
- ▷  $\mathcal{I}_\varphi^i(X) := \varphi(X)$
- ▷  $\mathcal{I}_\varphi^i(\mathbf{FA}) := \mathcal{I}_\varphi^i(\mathbf{F})(\mathcal{I}_\varphi^i(\mathbf{A}))$ .

▷ **Definition 11.0.5.** We define the **meaning** of the **temporal operators**:

1.  $\mathcal{I}_\varphi^i(\text{PRES}(\Phi)) = \mathbf{T}$ , iff  $\mathcal{I}_\varphi^i(\Phi) = \mathbf{T}$ .
2.  $\mathcal{I}_\varphi^i(\text{PAST}(\Phi)) = \mathbf{T}$  iff there is an **interval**  $j \in \mathbb{I}$  with  $j < i$  and  $\mathcal{I}_\varphi^j(\Phi) = \mathbf{T}$ .
3.  $\mathcal{I}_\varphi^i(\text{FUT}(\Phi)) = \mathbf{T}$  iff there is an **interval**  $j \in \mathbb{I}$  with  $i < j$  and  $\mathcal{I}_\varphi^j(\Phi) = \mathbf{T}$ .

### Complex Tenses in English

▷ How do we use this machinery to deal with complex **tenses** in English?

- ▷ Past of past (pluperfect): “*Jane had left (by the time I arrived)*”.
- ▷ Future perfect: “*Jane will have left (by the time I arrive)*”.
- ▷ Past progressive: “*Jane was going to leave (when I arrived)*”.

### Perfective vs. imperfective

▷ **Data:**

- ▷ “*Jane left.*”
- ▷ “*Jane was leaving.*”

▷ **Question:** How do the **truth conditions** of these sentences differ?

▷ **Standard observation:**

- ▷ Perfective indicates a completed action,
- ▷ imperfective indicates an incomplete or ongoing action.
- ▷ This becomes clearer when we look at the “creation predicates” like “*build a house*” or “*write a book*”
  - ▷ “*Jane built a house.*” entails: “*There was a house that Jane built.*”
  - ▷ “*Jane was building a house.*” does not entail that “*there was a house that Jane built.*”

## Future Readings of Present Tense

- ▷ **New Data:**
  1. “*Jane leaves tomorrow.*”
  2. “*Jane is leaving tomorrow.*”
  3. ?? “*It rains tomorrow.*”
  4. ?? “*It is raining tomorrow.*”
  5. ?? “*The dog barks tomorrow.*”
  6. ?<sub>i</sub> “*The dog is barking tomorrow.*”
- ▷ **Future readings** of **present tense** appear to arise only when the event described is planned, or planable, either by the subject of the sentence, the speaker, or a third party.

## Sequence of Tense

- ▷ “*George said that Jane was laughing.*”
  - ▷ **Reading 1:** George said “*Jane is laughing.*” I.e. saying and laughing co-occur. So **past tense** in subordinate clause is past of **utterance** time, but not of main clause reference time.
  - ▷ **Reading 2:** George said “*Jane was laughing.*” I.e. laughing precedes saying. So **past tense** in subordinate clause is past of **utterance** time and of main clause reference time.
- ▷ “*George saw the woman who was laughing.*”
  - ▷ How many readings?
- ▷ “*George will say that Jane is laughing.*”
  - ▷ **Reading 1:** George will say “*Jane is laughing.*” Saying and laughing co-occur, but both saying and laughing are future of **utterance** time. So **present tense** in subordinate clause indicates futurity relative to **utterance** time, but not to main clause reference time.

- ▷ **Reading 2:** Laughing overlaps **utterance** time and saying (by George). So **present tense** in subordinate clause is **present** relative to **utterance** time *and* main clause reference time.

## Sequence of Tense (continued)

- ▷ *"George will see the woman who is laughing."*
  - ▷ How many readings?
- ▷ Note that in all of the above cases, the predicate in the subordinate clause describes an event that is extensive in time. Consider readings when subordinate event is punctual.
- ▷ *"George said that Mary fell."*
  - ▷ Falling must precede George's saying.
- ▷ *"George saw the woman who fell."*
  - ▷ Same three readings as before: falling must be past of **utterance** time, but could be past, present or future relative to seeing (i.e main clause reference time).
- ▷ And just for fun, consider past under present... *"George will claim that Mary hit Bill."*
  - ▷ **Reading 1:** hitting is past of **utterance** time (therefore past of main clause reference time).
  - ▷ **Reading 2:** hitting is future of **utterance** time, but past of main clause reference time.
- ▷ And finally...
  1. *"A week ago, John decided that in ten days at breakfast he would tell his mother that they were having their last meal together."* (Abusch 1988)
  2. *"John said a week ago that in ten days he would buy a fish that was still alive."* (Ogihara 1996)

## Interpreting Tense in Discourse

- ▷ **Example 11.0.6 (Ordering and Overlap).** *"A man walked into the bar. He sat down and ordered a beer. He was wearing a nice jacket and expensive shoes, but he asked me if I could spare a buck."*
- ▷ **Example 11.0.7 (Tense as anaphora?).**
  1. Said while driving down the NJ turnpike: *"I forgot to turn off the stove."*
  2. *"I didn't turn off the stove."*



## Chapter 12

# Quantifier Scope Ambiguity and Underspecification

### 12.1 Scope Ambiguity and Quantifying-In

Now that we are able to interpret sentences with quantification objects and subjects, we can address the issue of quantifier scope ambiguities.

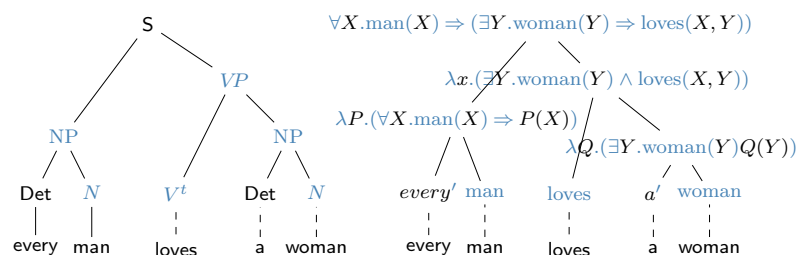
#### Quantifier Scope Ambiguities: Data

▷ Consider the following sentences:

1. “*Every man loves a woman*” (Britney Spears or his mother?)
2. “*Most Europeans speak two languages.*”
3. “*Some student in every course sleeps in every class at least some of the time.*”

▷ **Definition 12.1.1.** We call these systematic ambiguities **quantifier scope ambiguities**

▷ **Example 12.1.2.** We can represent the “wide-scope” reading with our methods



▷ **Question:** How to map an unambiguous input structure to multiple translations.

This is a correct representation of one of the possible readings of the sentence – namely the one where the quantifier of the object-NP occurs inside the scope of the quantifier of the subject-NP. We say that the quantifier of the object-NP has narrow scope while the quantifier of the subject-NP has wide scope. But the other reading is not generated here! This means our algorithm doesn't represent the linguistic reality correctly.



**What's the problem?:** This is because our approach so far constructs the **semantics** deterministically from the **syntactic analysis**. Our **analysis** simply isn't yet able to **compute** two different **readings** for a **syntactically unambiguous sentence**. The reason why we only get the **reading** with wide scope for the **subject** is because in the **semantic construction process**, the **verb semantics** is first combined with the **object semantics**, then with that of the **subject**. And given the order of the -prefixes in our **semantic representations**, this eventually transports the **object semantics** inside the **subject's scope**.

**A Closer Look:** To understand why our **algorithm** produces the **reading** it does (and not the other alternative), let us have a look at the order of applications in the **semantic representation** as it is before we start  $=_\beta$ -reducing. To be able to see the order of applications more clearly, we abbreviate the **representations** for the **determiners**. E.g. we **write** instead of  $\lambda$ . We will of course have to expand those abbreviations at some point when we want to perform  $=_\beta$ -reduction.

In the **VP node** for “*loves a woman*” we have  $(\lambda F X. \lambda Q. (\exists Y. \text{woman}(Y) \wedge Q Y))$  **loves** and thus the **sentence representation** is

$$(\lambda P. (\forall X. \text{man}(X) \Rightarrow P(X))) (\lambda F X. \lambda Q. (\exists Y. \text{woman}(Y) \wedge Q Y)) \text{loves}$$

The resulting **expression** is an **application** of form  $\langle \text{everyman} \rangle (\langle \text{awoman} \rangle (\langle \text{loves} \rangle))$ . I.e. the **universal quantifier** occurs in the **functor** (the **translation** of the **subject NP**), and the **existential quantifier** occurs in the **argument** (corresponding to the **VP**). The **scope relations** in the  $=_\beta$ -reduced result reflect the structure in this **application**.

With some imagination we can already guess what an **algorithm** would have to do in order to produce the second **reading** we've seen above (where the **subject-NP** has narrow scope): It would somehow have to move the “*a woman*” part in front of the “*every*”. Something like  $\langle \text{awoman} \rangle (\langle \text{everyman} \rangle (\langle \text{loves} \rangle))$  would do.

### Storing and Quantifying In

▷ **Analysis:** The **sentence meaning** is of the form  $\langle \text{everyman} \rangle (\langle \text{awoman} \rangle (\langle \text{loves} \rangle))$

▷ **Idea:** Somehow have to move the “*a woman*” part in front of the “*every*” to obtain

$$\langle \text{awoman} \rangle (\langle \text{everyman} \rangle (\langle \text{loves} \rangle))$$

▷ **More concretely:** Let's try “*A woman - every man loves her.*”  
In **semantics construction**, apply “*a woman*” to “*every man loves her*”.  
So “*a woman*” out-scopes “*every man*”.

▷ **Problem:** How to **represent pronouns** and link them to their **antecedents**

▷ **STORE** is an alternative **translation rule**. Given a **node** with an **NP** daughter, we can **translate** the **node** by passing up to it the **translation** of its non-**NP** daughter, and putting the **translation** of the **NP** into a **store**, for later use.

▷ The **QI rule** allows us to empty out a **non-empty store**.

To make the second analysis work, one has to **think** of a **representation** for the **pronoun**, and one must provide for linking the **pronoun** to its **antecedent** “*a woman*” later in the **semantics construction process**. Intuitively, the **pronoun** itself is **semantically empty**. Now Montague's **idea** essentially was to choose a new variable to **represent** the **pronoun**. Additionally, he had to secure that this **variable** ends up in the right place after  $=_\beta$ -reduction.

### Storing and Quantifying In (Technically)

▷ **Definition 12.1.3.** **STORE** $(NP, \Phi) \rightarrow (\Phi, \Sigma * NP)$ , where  $\Sigma * NP$  is the result of adding  $NP$  to  $\Sigma$ , i.e.  $\Sigma * NP = \Sigma \cup \{NP\}$ ; we will assume that  $NP$  is not already in  $\Sigma$ , when we use the  $*$  operator.

▷ **Definition 12.1.4.** **QI** $(\langle \Phi, \Sigma * NP \rangle) \rightarrow \langle NP \oplus \Phi, \Sigma \rangle$  where  $\oplus$  is either **function application** or **function composition**.

▷ **Nondeterministic Semantics Construction:** Adding **rules** gives us more choice

1. **Rule C (simple combination)** If  $A$  is a **node** with daughters  $B$  and  $C$ , and the **translations** of  $B$  and of  $C$  have empty stores, then  $A$  **translates** to  $B' \oplus C'$ . Choice of rule is determined by **types**.

2. **STORE** If  $A$  is a **node** with daughters  $B$  and  $C$ , where:

▷  $B$  is an **NP** with **translation**  $B'$  and

▷  $C$  **translates** to  $(C', \Sigma)$

then  $A$  may **translate** to **STORE** $(B', C')$

Note that **STORE** may be applied whether or not the **stores** of the **constituent nodes** are **empty**.



We now have more than one way to **translate** a branching **node**, but the choice is partly constrained by whether or not the daughters of the **node** have **empty stores**. We have the following two options for **translating** a branching **node**. (Note: To simplify the notation, let us adopt the following **convention**: If the **translation** of  $A$  has an **empty store**, we omit **reference** to the **store** in **representing** the **translation** of  $A$ , **A**.)

Application of **STORE** must always eventually be followed by application of **QI**. (Note that **QI** is not a **translation rule**, but a sort of transformation on **translations**.) But when must **QI** be applied? There are two cases:

1. The **process** of **semantics construction** must conclude with an **empty store**.
2. If  $A$  is a branching **node** one of whose daughters is a **conjunction** (i.e. “*and*” or “*or*”, the **translation** of  $A$  is given by Rule C).

The first of these rules has the effect that if the initial **translation** of  $S$  has a **non-empty store**, we must apply **QI** as many times as needed to empty the **store**. The second rule has the effect of requiring the same thing where “*and*” attaches to any **constituent**.

We assume that our **syntax processing** returned the **syntax tree** on the left. Just as before; the only difference is that we have a different **syntax-semantics interface**. The  $NP$  nodes get their **semantics**  $\mathbf{A} := \lambda P.(\forall X.\text{man}(X) \Rightarrow P(X))$  and  $\mathbf{B} := \lambda Q.(\exists Y.\text{woman}(Y) \Rightarrow Q(Y))$  as before. Similarly, the  $V^t$  node has the **value** *loves*. To **compute** the **semantics** of the  $VP$  nodes, we use the **rule STORE** and obtain  $\langle \text{loves}, \{\mathbf{A}\} \rangle$  and similarly  $\langle \text{loves}, \{\mathbf{A}, \mathbf{B}\} \rangle$  for the  $S$  node, thus we have the following **semantics tree**.

### Quantifying in Practice: “*Every man loves a woman*”

▷ **Example 12.1.5.**

▷ Continue with **QI** applications: first retrieve  $\lambda Q. (\exists Y. \text{woman}(Y) \Rightarrow Q(Y))$

$$\begin{aligned}
 & \langle \text{loves}, \{ \lambda P. (\forall X. \text{man}(X) \Rightarrow P(X)), \lambda Q. (\exists Y. \text{woman}(Y) \Rightarrow Q(Y)) \} \rangle \\
 \rightarrow_{QI} & \langle \lambda P. (\forall X. \text{man}(X) \Rightarrow P(X)) \rangle \text{loves}, \{ \lambda Q. (\exists Y. \text{woman}(Y) \Rightarrow Q(Y)) \} \rangle \\
 \rightarrow_{\beta} & \langle \lambda Z. (\lambda P. (\forall X. \text{man}(X) \Rightarrow P(X))) \text{loves } Z, \{ \lambda Q. (\exists Y. \text{woman}(Y) \Rightarrow Q(Y)) \} \rangle \\
 \rightarrow_{\beta} & \langle \lambda Z. (\forall X. \text{man}(X) \Rightarrow \text{loves } Z \ X), \{ \lambda Q. (\exists Y. \text{woman}(Y) \Rightarrow Q(Y)) \} \rangle \\
 \rightarrow_{QI} & \langle (\lambda Q. (\exists Y. \text{woman}(Y) \Rightarrow Q(Y))) (\lambda Z. (\forall X. \text{man}(X) \Rightarrow \text{loves } Z \ X)), \emptyset \rangle \\
 \rightarrow_{\beta} & \langle \exists Y. \text{woman}(Y) \Rightarrow (\lambda Z. (\forall X. \text{man}(X) \Rightarrow \text{loves } Z \ X)) Y, \emptyset \rangle \\
 \rightarrow_{\beta} & \langle \exists Y. \text{woman}(Y) \Rightarrow (\forall X. \text{man}(X) \Rightarrow \text{loves } Y \ X), \emptyset \rangle
 \end{aligned}$$

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This reading corresponds to the wide scope reading for “a woman”. If we had used the **QI** rules the other way around, first extracting “a woman” and then “every man”, we would have gotten the reading with wide scope for “every man” in the same way.

## 12.2 Type Raising for non-quantificational NPs

There is now a discrepancy in the type assigned to subject NPs with quantificational determiners, and subject NPs consisting of a proper name or a definite description. This corresponds to a discrepancy in the roles of the NP and VP in interpretation: where the NP is quantificational, it takes the VP as argument; where the NP is non-quantificational, it constitutes the argument of the VP. This discrepancy can be resolved by type raising.

### Proper names

- ▷ **Problem:** Subject NPs with quantificational determiners have type  $(\iota \rightarrow o) \rightarrow o$  (and are applied to the VP) whereas subject NPs with proper names have type  $\iota$ . (argument to the VP)
- ▷ **Idea:** “John runs” translates to  $\text{runs}(\text{john})$ , where  $\text{runs} \in \Sigma_{\iota \rightarrow o}$  and  $\text{john} \in \Sigma_{\iota}$ .  
Now we  $=_{\beta}$ -expand over the VP yielding  $(\lambda P_{\iota \rightarrow o}. P(\text{john})) \text{runs}$   
 $\lambda P_{\iota \rightarrow o}. P(\text{john})$  has type  $(\iota \rightarrow o) \rightarrow o$  and can be applied to the VP runs.
- ▷ **Definition 12.2.1.** If  $c \in \Sigma_{\alpha}$ , then **type raising**  $c$  yields  $\lambda P_{\alpha \rightarrow o}. P \ c$ .

### Definite NPs

- ▷ **Problem:** On our current assumptions,  $the' = \iota$ , and so for any definite NP “the N”, its translation is  $\iota \ N$ , an expression of type  $\iota$ .

- ▷ **Idea:** Type lift just as we did with **proper names**:  $\iota N$  type lifts to  $\lambda P.P \iota N$ , so  $the' = \lambda PQ.Q \iota P$
- ▷ **Advantage:** This is a “generalized quantifier treatment”:  $the'$  treated as **denoting relations** between **sets**.
- ▷ **Solution by Barwise&Cooper 1981:** For any  $a \in \mathcal{D}_{\iota \rightarrow o}$ :  $\mathcal{I}(the')(a) = \mathcal{I}(every')(a)$  if  $\#(a) = 1$ , **undefined** otherwise  
 So  $the'$  is that **function** in  $\mathcal{D}_{(\iota \rightarrow o) \rightarrow (\iota \rightarrow o) \rightarrow o}$  such that for any  $A, B \in \mathcal{D}_{\iota \rightarrow o}$  if  $\#(A) = 1$  then  $the'(A, B) = \mathbf{T}$  if  $A \subseteq B$  and  $the'(A, B) = \mathbf{F}$  if  $A \not\subseteq B$  otherwise **undefined**



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This treatment of “*the*” is completely equivalent to the  $\iota$  treatment, guaranteeing that, for example, the **sentence** “*The dog barked*” has the **value true** if there is a unique dog and that dog barked, the **value false** if there is a unique dog and that dog did not bark, and, if there is no dog or more than one dog, has an **undefined value**. So we can indeed treat “*the*” as a generalized quantifier.

However, there are two further considerations.

1. The **function** characterized above cannot straightforwardly be **represented** as a **relation on sets**. We might try the following:

$$\{\langle X, Y \rangle \mid \#(X) = 1 \ \& \ X \subseteq Y\}$$

Now, consider a **pair**  $\langle X, Y \rangle$  which is not a **member** of the **set**. There are two possibilities: either  $\#(X) \neq 1$  or  $\#(X) = 1$  and  $X \not\subseteq Y$ . But we want to treat these two cases differently: the first leads to undefinedness, and the second to falsity. But the **relation** does not capture this difference.

2. If we adopt a generalized quantifier treatment for the **definite article**, then we must always treat it as an **expression** of **type**  $\iota \rightarrow o \rightarrow o$ . If we maintain the  $\iota$  treatment, we can choose, for any given case, whether to treat a **definite NP** as an **expression** of **type**  $\iota$ , or to type lift the **NP** to  $\iota \rightarrow o \rightarrow o$ . This flexibility will be useful (particularly for purposes of **model generation**). Consequently, we will maintain the  $\iota$  treatment.

These considerations may appear purely technical in nature. However, there is a significant philosophical literature on **definite descriptions**, much of which focuses on the **question** of whether these **expressions** are referential or **quantificational**. Many have the view that **definite descriptions** are **ambiguous** between a referential and a **quantificational interpretation**, which in fact differentiates them from other **NPs**, and which is captured to some extent by our proposed treatment.

Our discussion of **quantification** has led us to a treatment of **quantified NPs** as **expressions** of **type**  $(\iota \rightarrow o) \rightarrow o$ . Moreover, we now have the option of treating **proper names** and **definite descriptions** as **expressions** of this higher **type** too. This change in the **type** of **NPs** causes no difficulties with composition in the **intransitive sentences** considered so far, although it requires us to take the **translation** of the **VP** as **argument** to the **subject NP**.

### Problems with Type raised NPs

- ▷ **Problem:** We have **type-raised NPs**, but consider **transitive verbs** as in “*Mary loves most cats*”. *loves* is of **type**  $\iota \rightarrow \iota \rightarrow o$  while the **object NP** is of **type**  $(\iota \rightarrow o) \rightarrow o$  (**application?**)
- ▷ **Another Problem:** We encounter the same problem in the **sentence** “*Mary loves John*” if we choose to type-lift the **NPs**.

- ▷ **Idea:** Change the **type** of the **transitive verb** to allow it to “swallow” the higher-typed **object NP**.
- ▷ **Better Idea:** Adopt a new **rule** for semantic composition for this case.
- ▷ **Remember:**  $\text{loves}'$  is a **function** from individuals (e.g. “*John*”) to **properties** (in the case of the **VP** “*loves John*”, the **property** “*X loves John*” of *X*).



In our **type-raised semantics**, the **denotation** of **NPs** is a **function**  $f$  from **properties** to **truth values**. So if we **compose** an **NP denotation** with a **transitive verb denotation**, we obtain a **function** from individuals to **truth values**, i.e. a **property**.

### Type raised NPs and Function Composition

- ▷ We can extend  $\text{HOL}^{\rightarrow}$  by a **constant**  $\circ_{(\beta \rightarrow \gamma) \rightarrow (\alpha \rightarrow \beta) \rightarrow \alpha \rightarrow \gamma}$  by setting  $\circ := \lambda F G X. F(G(X))$  thus

$$\circ g f \rightarrow_{\beta} \lambda X. g(f(X)) \quad \text{and} \quad \circ g f a \rightarrow_{\beta} g(f(a))$$

In our **example**, we have

$$\begin{aligned} \circ (\lambda P. P(\text{john})) \text{ loves} &=_{\text{Def}} (\lambda F G X. F(G(X))) (\lambda P. P(\text{john})) \text{ loves} \\ &\rightarrow_{\beta} (\lambda G X. (\lambda P. P(\text{john})) G(X)) \text{ loves} \\ &\rightarrow_{\beta} \lambda X. (\lambda P. P(\text{john})) \text{ loves } X \\ &\rightarrow_{\beta!} \lambda X. \text{loves}(X, \text{john}) \end{aligned}$$



**Definition 12.2.2 (Function Composition).** Let  $f: A \rightarrow B$  and  $g: B \rightarrow C$  be **functions**, then we call the **function**  $h: A \rightarrow C$  such that  $h(a) = g(f(a))$  for all  $a \in A$  the **composition** of  $g$  and  $f$  and **write** it as  $gf$  (read this as “ $g$  after  $f$ ”).

## 12.3 Dealing with Quantifier Scope Ambiguity: Cooper Storage

### Type raising transitive verbs

- ▷ We need **transitive verbs** to combine with **quantificational objects** of type  $(\iota \rightarrow o) \rightarrow o$  but ...
- ▷ We still ultimately want their “basic” **translation** to be type  $\iota \rightarrow \iota \rightarrow o$ , i.e. something that **denotes** a **relation** between individuals.
- ▷ We do this by starting with the basic **translation**, and raising its **type**. Here is what we’ll end up with, for the **verb** “*like*”:

$$\lambda P Y. P (\lambda X. \text{likes}(X, Y))$$

where  $P$  is a **variable** of type  $(\iota \rightarrow o) \rightarrow o$  and  $X, Y$  are **variables** of type  $\iota$ . (For details on how this is derived, see [CKG09, pp.178-179])

We have already seen the basic *idea* that we will use here. We will proceed with *compositional translation* in the familiar way. But when we encounter a QNP, we will put its *translation* aside, in a *store*. To make sure we *know* where it came from, we will put a “place holder” in the *translation*, and co-index the stored NP with its place holder. When we get to the S *node*, we will have a *representation* which we can re-combine with each of the stored NPs in turn. The order in which we re-combine them will determine the scopal relations among them.

### Cooper Storage

- ▷ **Intuition:** A *store* consists of a “core” *semantic representation*, computed in the usual way, plus the *representations* of *quantifiers* encountered in the composition so far.
- ▷ **Definition 12.3.1.** A *store* is an  $n$  place sequence. The first member of the sequence is the core *semantic representation*. The other members of the sequence (if any) are *pairs*  $(\beta, i)$  where:
  - ▷  $\beta$  is a QNP *translation* and
  - ▷  $i$  is an index, which will *associate* the NP *translation* with a *free variable* in the core *semantic translation*.

We call these *pairs* *binding operators* (because we will use them to *bind free variables* in the core *representation*).

- ▷ **Definition 12.3.2.** In the *Cooper storage* method, QNPs are stored in the *store* and later retrieved – not necessarily in the order they were stored – to build the *representation*.
- ▷ The elements in the *store* are *written* enclosed in angled brackets. However, we will often have a *store* which consists of only one element, the core *semantic representation*. This is because QNPs are the only things which add elements beyond the core *representation* to the *store*. So we will adopt the *convention* that when the *store* has only one element, the brackets are omitted.

### How we put QNPs in the Store

- ▷ **Storage Rule**  
If the *store*  $\langle \varphi, (\beta, j), \dots, (\gamma, k) \rangle$  is a possible *translation* for a QNP, then the *store*

$$\langle \lambda P.P(X_i)(\varphi, i)(\beta, j), \dots, (\gamma, k) \rangle$$

where  $i$  is a new index, is also a possible *translation* for that QNP.

- ▷ This rule says: if you encounter a QNP with *translation*  $\varphi$ , you can replace its *translation* with an indexed place holder of the same *type*,  $\lambda P.P(X_i)$ , and add  $\varphi$  to the *store*, *paired* with the index  $i$ . We will use the place holder *translation* in the semantic composition of the *sentence*.

## Working with Stores

▷ Working out the translation for “*Every student likes some professor.*”

$$\begin{aligned}
 NP_1 &\rightarrow \lambda P.(\exists X.\text{prof}(X) \wedge P(X)) \text{ or } \langle \lambda Q.Q(X_1), (\lambda P.(\exists X.\text{prof}(X) \wedge P(X)), 1) \rangle \\
 V_i &\rightarrow \lambda RY.R (\lambda Z.\text{likes}(Z, Y)) \\
 VP &\rightarrow (\text{Combine core representations by FA; pass store up})^* \\
 &\rightarrow \langle \lambda Y.\text{likes}(X_1, Y), (\lambda P.(\exists X.\text{prof}(X) \wedge P(X)), 1) \rangle \\
 NP_2 &\rightarrow \lambda P.(\forall Z.\text{student}(Z) \Rightarrow P(Z)) \text{ or } \langle \lambda R.R(X_2), (\lambda P.(\forall Z.\text{student}(Z) \Rightarrow P(Z)), 2) \rangle \\
 S &\rightarrow (\text{Combine core representations by FA; pass stores up})^{**} \\
 &\rightarrow \langle \text{likes}(X_1, X_2), (\lambda P.(\exists X.\text{prof}(X) \wedge P(X)), 1), (\lambda P.(\forall Z.\text{student}(Z) \Rightarrow P(Z)), 2) \rangle
 \end{aligned}$$

\* Combining  $V_i$  with place holder

1.  $(\lambda RY.R (\lambda Z.\text{likes}(Z, Y))) (\lambda Q.Q(X_1))$
2.  $\lambda Y.(\lambda Q.Q(X_1)) (\lambda Z.\text{likes}(Z, Y))$
3.  $\lambda Y.(\lambda Z.\text{likes}(Z, Y)) X_1$
4.  $\lambda Y.\text{likes}(X_1, Y)$

\*\* Combining  $VP$  with place holder

1.  $(\lambda R.R(X_2)) (\lambda Y.\text{likes}(X_1, Y))$
2.  $(\lambda Y.\text{likes}(X_1, Y)) X_2$
3.  $\text{likes}(X_1, X_2)$

## Retrieving NPs from the store

▷ **Retrieval:**

Let  $\sigma_1$  and  $\sigma_2$  be (possibly empty) sequences of binding operators. If the store  $\langle \varphi, \sigma_1, \sigma_2, (\beta, i) \rangle$  is a translation of an expression of category  $S$ , then the store  $\langle \beta(\lambda X_1.\varphi), \sigma_1, \sigma_2 \rangle$  is also a translation of it.

▷ **What does this say?:** It says: suppose you have an  $S$  translation consisting of a core representation (which will be of type  $o$ ) and one or more indexed QNP translations. Then you can do the following:

1. Choose one of the QNP translations to retrieve.
2. Rewrite the core translation,  $\lambda$ -abstracting over the variable which bears the index of the QNP you have selected. (Now you will have an expression of type  $\iota \rightarrow o$ .)
3. Apply this  $\lambda$ -term to the QNP translation (which is of type  $(\iota \rightarrow o) \rightarrow o$ ).

## Example: “*Every student likes some professor.*”

1. Retrieve “*every student*”

- (a)  $(\lambda Q.(\forall Z.\text{student}(Z) \Rightarrow Q(Z))) (\lambda X_2.\text{likes}(X_1, X_2))$
- (b)  $\forall Z.\text{student}(Z) \Rightarrow (\lambda X_2.\text{likes}(X_1, X_2)) Z$
- (c)  $\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X_1, Z)$

2. Retrieve “*some professor*”

(a)  $(\lambda P.(\exists X.\text{prof}(X) \wedge P(X))) (\lambda X_1.(\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X_1, Z)))$

(b)  $\exists X.\text{prof}(X)(\lambda X_1.(\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X_1, Z))) X$

(c)  $\exists X.\text{prof}(X) \wedge (\forall Z.\text{student}(Z) \Rightarrow \text{likes}(X, Z))$



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The Cooper storage approach to quantifier scope ambiguity basically moved the ambiguity problem into the syntax/semantics interface: from a single syntactic tree, it generated multiple unambiguous semantic representations. We will now come to an approach, which does not force the system to commit to a particular reading so early.

## 12.4 Underspecification

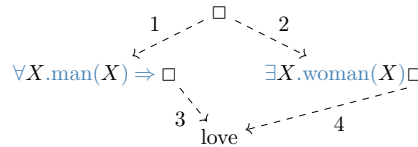
In this section we introduce Johan Bos’ “Hole Semantics”, since this is possibly the simplest underspecification framework around. The main idea is that the result of the translation is a “quasi-logical form” (QLF), i.e. a representation that represents all possible readings. This QLF can then be used for semantic/pragmatic analysis.

### 12.4.1 Unplugging Predicate Logic

The problem we need to solve for our QLF is that regular logical formulae, such as

$$\forall X.\text{man}(X) \Rightarrow (\exists Y.\text{woman}(Y) \Rightarrow \text{loves}(Y, X))$$

fully specifies the scope relation between the quantifiers. The idea behind “hole semantics” (and most other approaches to quantifier scope underspecification) is to “unplug” first-order logic, i.e. to take apart logical formulae into smaller parts, and add constraints on how the parts can be plugged together again. To keep track of where formulae have to be plugged together again, “hole semantics” uses the notion of “holes”. Our example “*Every man loves a woman*” now has the following form:



The meaning of the dashed arrows is that the holes (depicted by  $\square$ ) can be filled by one of the formulae that are pointed to. The hole at the top of the graph serves as the representation of the whole sentence.

We can disambiguate the QLF by choosing an arc for every hole and plugging the respective formulae into the holes, collapsing the graph into a single logical formula. If we act on arcs 1 and 4, we obtain the wide-scope reading for “*every man*”, if we act on 2 and 3, we obtain the reading, where “*a woman*” out-scopes “*every man*”. So much for the general idea, how can this be represented in logic?

### 12.4.2 $PL_H$ a first-order logic with holes

The main idea is to label the holes and formulae, and represent the arcs as pairs of labels. To do this, we add holes to first-order logic, arriving at a logic  $PL_H$ . This can simply be done by reserving a lexical category  $\mathcal{H} = \{h_0, h_1, h_2, \dots\}$  of holes, and adding them as possible atomic formulae, so that  $\forall X.\text{man}(X) \Rightarrow h_1$  is a  $PL_H$  formula.



Using this, a QLF is a triple  $\langle F, C \rangle$ , where  $F$  is a set of labeled formulae of the form  $\ell_i : \mathbf{A}_i$ , where  $\ell_i$  is taken from a set  $\mathcal{L} = \{\ell_0, \ell_1, \dots\}$  of labels, and  $\mathbf{A}_i$  is a  $PL_H$  formula, and  $C$  is a set of constraints of the form  $\ell_i \leq h_j$ . The underspecified representation above now has the form

$$\langle \{\ell_1 : \forall X.\text{man}(X) \Rightarrow h_1, \ell_2 : \forall Y.\text{woman}(Y) \Rightarrow h_2\}, \{\ell_1 \leq h_0, \ell_2 \leq h_0, \ell_3 \leq h_1, \ell_3 \leq h_2\} \rangle$$

Note that we always reserve the hole  $h_0$  for the top-level hole, that represents the [sentence meaning](#).

### 12.4.3 Plugging and Chugging

A plugging  $p$  for a QLF  $\mathcal{Q}$  is now a mapping from the holes in  $\mathcal{Q}$  to the labels in  $\mathcal{Q}$  that satisfies the constraint  $C$  of  $\mathcal{Q}$ , i.e. for all holes  $h$  in  $\mathcal{Q}$  we have  $h \leq p(h) \in C$ . Note that the set of admissible pluggings can be computed from the constraint alone in a straightforward manner. Acting on the pluggings yields a logical formula. In our example, we have two pluggings that give us the intended readings of the sentence.

| # | plugging                                   | logical form                                                                                |
|---|--------------------------------------------|---------------------------------------------------------------------------------------------|
| 1 | $[\ell_1/h_0], [\ell_2/h_1], [\ell_3/h_2]$ | $\forall X.\text{man}(X) \Rightarrow (\exists Y.\text{woman}(Y) \wedge \text{loves}(X, Y))$ |
| 2 | $[\ell_2/h_0], [\ell_3/h_1], [\ell_1/h_2]$ | $\exists Y.\text{woman}(Y) \Rightarrow (\forall X.\text{man}(X) \wedge \text{loves}(X, Y))$ |

## Chapter 13

# Higher-Order Unification and NL Semantics Reconstruction

### 13.1 Introduction

#### Application of HOL in NL Semantics: Ellipsis

- ▷ **Example 13.1.1.** “*John loves his wife. George does too*”
  - ▷  $\text{loves}(\text{john}, \text{wifeof}(\text{john})) \wedge Q(\text{george})$
  - ▷ “*George has property some  $Q$ , which we still have to determine*”.
- ▷ **Idea:** If “*John*” has property  $Q$ , then it is that he “*loves his wife*”.
- ▷ **Equation:**  $Q(\text{john}) =_{\alpha\beta\eta} \text{loves}(\text{john}, \text{wifeof}(\text{john}))$
- ▷ **Solutions (computed by HOU):**
  - ▷  $Q = \lambda z. \text{loves}(z, \text{wifeof}(z))$  and  $Q = \lambda z. \text{loves}(z, \text{wifeof}(\text{john}))$
  - \*  $Q = \lambda z. \text{loves}(\text{john}, \text{wifeof}(z))$  and  $Q = \lambda z. \text{loves}(\text{john}, \text{wifeof}(\text{john}))$
- ▷ **Readings:** “*George loves his own wife*”. and “*George loves John’s wife*”.
- ▷ **Erraneous HOU Predictions:** \* “*John loves George’s wife*”. and \* “*John loves John’s wife*”.



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#### Higher-Order Unification (HOU)

- ▷ **Intuitively:** Equation solving in the simply typed  $\lambda$ -calculus (modulo the built-in  $\alpha\beta\eta$ -equality)
- ▷ **Formally:** Given formulae  $\mathbf{A}, \mathbf{B} \in \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ , find a substitution  $\sigma$  with  $\sigma(\mathbf{A}) =_{\alpha\beta\eta} \sigma(\mathbf{B})$ .
- ▷ **Definition 13.1.2.**  
We call  $\mathcal{E} := \mathbf{A}_1 =^? \mathbf{B}_1 \wedge \dots \wedge \mathbf{A}_n =^? \mathbf{B}_n$  a **unification problem**. The set  $\mathbf{U}(\mathcal{E}) =$

$\{\sigma \mid \sigma(A_i) =_{\alpha\beta\eta} \sigma(B_i)\}$  is called the **set of unifiers** for  $\mathcal{E}$  and any of its members a **unifier**.

- ▷ **Example 13.1.3.** The unification problem  $F(fa) =? f(Fa)$  where  $F, f: \alpha \rightarrow \alpha$  and  $\vdash_{\Sigma} a: \alpha$  has unifiers  $[f/F], [\lambda X_{\alpha}. f(fX)/F], [\lambda X_{\alpha}. f(f(fX))/F], \dots$
- ▷ find Representatives that induce all of  $\mathbf{U}(\mathcal{E})$  (are there most general unifiers?)

## Discourse Coherence

- ▷ **Meaning** of a **discourse** is more than just the conjunction of **sentences**
- ▷ Coherence is prerequisite for well-formedness (not just pragmatics)

$A$  “*John killed Peter.*”

$B^1$  “*No, John killed BILL!*”

$B^2$  \* “*No, John goes hiking!*”

$B^3$  “*No, PETER died in that fight!*”

- ▷ Coherence in a **discourse** is achieved by discourse relations
- ▷ in this case “contrastive parallelism”

## Discourse Relations (Examples)

- ▷ **Parallel:** “*John organized rallies for Clinton, and Fred distributed pamphlets for him.*”
- ▷ **Contrast:** “*John supported Clinton, but Mary opposed him.*”
- ▷ **Exemplification:** “*Young aspiring politicians often support their party’s presidential candidate. For instance John campaigned hard for Clinton in 1996.*”
- ▷ **Generalization:** “*John campaigned hard for Clinton in 1996. Young aspiring politicians often support their party’s presidential candidate.*”
- ▷ **Elaboration:** “*A young aspiring politician was arrested in Texas today. John Smith, 34, was nabbed in a Houston law firm while attempting to embezzle funds for his campaign.*”

## Discourse Relations (The General Case)

- ▷ We need inferences to discover them
- ▷ General conditions [Hobbs 1990]

| Relation | Requirements                                                                  | Particle      |
|----------|-------------------------------------------------------------------------------|---------------|
| Parallel | $a_i \sim b_i, p \models q$                                                   | "and"         |
| Contrast | $a_i \sim b_i, p \models \neg q$ or $\neg p \models q$ $a_i, b_i$ contrastive | "but"         |
| Exempl.  | $p \models q, a_i \in \vec{b}$ or $a_i \models b_i$                           | "for example" |
| Generl.  | $p \models q, b_i \in \vec{a}$ or $b_i \models a_i$                           | "in general"  |
| Elabor.  | $q \simeq p, a_i \sim b_i$                                                    | "that is"     |

Source semantics  $p(a_1, \dots, a_n)$ , Target semantics  $q(a_1, \dots, a_m)$

- ▷ Need **theorem proving methods** for general case.

## Underspecification/Ellipsis

- ▷ **Natural language** is economic
- ▷ Use the hearer's inferential capabilities to reduce communication costs.
- ▷ Makes use of discourse coherence for **reconstruction** (here: Parallelism)
  - ▷ "Jon loves his wife. Bill does too". [love his/Bill's wife]
  - ▷ "Mary wants to go to Spain and Fred wants to go to Peru, but because of limited resources, only one of them can". [go where he/she wants to go]
- ▷ **Anaphora** give even more coherence. (here: Elaboration)
  - ▷ "I have a new car. It is in the parking lot downstairs". [My new car]
- ▷ Discourse relation determines the **value** of **underspecified element**.

## Analyses based on Parallelism

- ▷ HOU Analyses (the structural level)
  - ▷ Ellipsis [DSP'91, G&K'96, DSP'96, Pinkal, et al'97]
  - ▷ Focus [Pulman'95, G&K96]
  - ▷ Corrections [G&K& v. Leusen'96]
  - ▷ Deaccenting, Sloppy Interpretation [Gardent, 1996]
- ▷ Discourse theories (the general case, needs deduction!)
  - ▷ Literature and Cognition [Hobbs, CSLI Notes'90]
  - ▷ Cohesive Forms [Kehler, PhD'95]
- ▷ **Problem:** All **assume parallelism structure**: given a pair of parallel **utterances**, the **parallel elements** are **taken as given**.

## 13.2 Higher-Order Unification

We now come to a very important (if somewhat non-trivial and under-appreciated) **algorithm**: **higher-order unification**, i.e. **unification** in the **simply typed  $\lambda$ -calculus**, i.e. **unification** modulo  $\alpha\beta\eta$  equality.

### 13.2.1 Higher-Order Unifiers

Before we can start solving the problem of higher-order unification, we have to become clear about the terms we want to use. It turns out that “most general  $\alpha\beta\eta$  unifiers may not exist” – as ??? shows, there may be **infinitely** descending chains of unifiers that become more and more general. Thus we will have to generalize our concepts a bit here.

#### HOU: Complete Sets of Unifiers

- ▷ **Question:** Are there most general higher-order Unifiers?
- ▷ **Answer:** What does that mean anyway?
- ▷ **Definition 13.2.1.**  $\sigma =_{\beta\eta} \rho[W]$ , iff  $\sigma(X) =_{\alpha\beta\eta} \rho(X)$  for all  $X \in W$ .  $\sigma =_{\beta\eta} \rho[\mathcal{E}]$  iff  $\sigma =_{\beta\eta} \rho[\text{free}(\mathcal{E})]$
- ▷ **Definition 13.2.2.**  $\sigma$  is **more general** than  $\theta$  on  $W$  ( $\sigma \leq_{\beta\eta} \theta[W]$ ), iff there is a **substitution**  $\rho$  with  $\theta =_{\beta\eta} (\rho \circ \sigma)[W]$ .
- ▷ **Definition 13.2.3.**  $\Psi \subseteq \mathbf{U}(\mathcal{E})$  is a **complete set of unifiers**, iff for all unifiers  $\theta \in \mathbf{U}(\mathcal{E})$  there is a  $\sigma \in \Psi$ , such that  $\sigma \leq_{\beta\eta} \theta[\mathcal{E}]$ .
- ▷ **Definition 13.2.4.** If  $\Psi \subseteq \mathbf{U}(\mathcal{E})$  is **complete**, then  $\leq_{\beta}$ -**minimal** elements  $\sigma \in \Psi$  are **most general unifiers** of  $\mathcal{E}$ .
- ▷ **Theorem 13.2.5.** The set  $\{[\lambda uv.h \ u/F]\} \cup \{\sigma_i \mid i \in \mathbb{N}\}$  where

$$\sigma_i := [\lambda uv.g_n \ u \ u \ h_1^n \ u \ v \ \dots \ u \ h_n^n \ u \ v/F], [\lambda v.z/X]$$

is a complete set of unifiers for the equation  $F \ X \ (a_\iota) =^? F \ X \ (b_\iota)$ , where  $F$  and  $X$  are variables of types  $(\iota \rightarrow \iota) \rightarrow \iota \rightarrow \iota$  and  $\iota \rightarrow \iota$

Furthermore,  $\sigma_{i+1}$  is more general than  $\sigma_i$ .

- ▷ *Proof sketch:* [Hue76, Theorem 5]

The definition of a solved form in  $\Lambda^?$  is just as always; even the argument that solved forms are most general unifiers works as always, we only need to take  $\alpha\beta\eta$  equality into account at every level.

#### Unification

- ▷ **Definition 13.2.6.**  $X^1 =^? B^1 \wedge \dots \wedge X^n =^? B^n$  is in **solved form**, if the  $X^i$  are distinct **free variables**  $X^i \notin \text{free}(B^j)$  and  $B^j$  does not contain **Skolem constants** for all  $j$ .

▷ **Lemma 13.2.7.** *If  $\mathcal{E} = X^1 =? B^1 \wedge \dots \wedge X^n =? B^n$  is in solved form, then  $\sigma_{\mathcal{E}} := [B^1/X^1], \dots, [B^n/X^n]$  is the unique most general unifier of  $\mathcal{E}$*

▷ *Proof:*

1.  $\sigma(X^i) =_{\alpha\beta\eta} \sigma(B^i)$ , so  $\sigma \in \mathbf{U}(\mathcal{E})$
2. Let  $\theta \in \mathbf{U}(\mathcal{E})$ , then  $\theta(X^i) =_{\alpha\beta\eta} \theta(B^i) = \theta \circ \sigma(X^i)$
3. so  $\theta \leq_{\beta\eta} (\theta \circ \sigma)[\mathcal{E}]$ .

□



### 13.2.2 Higher-Order Unification Transformations

We are now in a position to introduce the higher-order unification transformations. We proceed just like we did for first-order unification by casting the unification algorithm as a set of inference rules, leaving the control to a second layer of development.

We first look at a group of transformations that are (relatively) well-behaved and group them under the concept of “simplification”, since (like the first-order transformation rules they resemble) have good properties. These are usually implemented in a group and applied eagerly.

#### Simplification $\mathcal{SIM}$

▷ **Definition 13.2.8.** The higher order simplification transformations  $\mathcal{SIM}$  consist of the rules below.

$$\frac{(\lambda X_{\alpha}. \mathbf{A}) =? (\lambda Y_{\alpha}. \mathbf{B}) \wedge \mathcal{E} \quad s \in \Sigma_{\alpha}^{S^k \text{ new}}}{([s/X](\mathbf{A})) =? ([s/Y](\mathbf{B})) \wedge \mathcal{E}} \mathcal{SIM}:\alpha$$

$$\frac{(\lambda X_{\alpha}. \mathbf{A}) =? \mathbf{B} \wedge \mathcal{E} \quad s \in \Sigma_{\alpha}^{S^k \text{ new}}}{([s/X](\mathbf{A})) =? \mathbf{B}s \wedge \mathcal{E}} \mathcal{SIM}:\eta$$

$$\frac{(h \overline{\mathbf{U}^n}) =? (h \overline{\mathbf{V}^n}) \wedge \mathcal{E} \quad h \in (\Sigma \cup \Sigma^{S^k})}{\mathbf{U}_1 =? \mathbf{V}_1 \wedge \dots \wedge \mathbf{U}_n =? \mathbf{V}_n \wedge \mathcal{E}} \mathcal{SIM}:\text{dec}$$

$$\frac{\mathcal{E} \wedge X =? \mathbf{A} \quad X \notin \text{free}(\mathbf{A}) \quad \mathbf{A} \cap \Sigma^{S^k} = \emptyset \quad X \in \text{free}(\mathcal{E})}{[\mathbf{A}/X](\mathcal{E}) \wedge X =? \mathbf{A}} \mathcal{SIM}:\text{elim}$$

After rule applications all  $\lambda$ -terms are reduced to head normal form.



The main new feature of these rules (with respect to their first-order counterparts) is the handling of  $\lambda$ -binders. We eliminate them by replacing the bound variables by Skolem constants in the bodies: The  $\mathcal{SIM}:\alpha$  standardizes them to a single one using  $\alpha\beta\eta$ -equality, and  $\mathcal{SIM}:\eta$  first  $\eta$ -expands the right-hand side (which must be of functional type) so that  $\mathcal{SIM}:\alpha$  applies. Given that we are setting bound variables free in this process, we need to be careful that we do not use them in the  $\mathcal{SIM}:\text{elim}$  rule, as these would be variable capturing.

Consider for instance the higher-order unification problem  $(\lambda X.X) =^? (\lambda Y.W)$ , which is unsolvable (the left hand side is the identity function and the right hand side some constant function – whose value is given by  $W$ ). So after an application of  $\text{SIM}:\alpha$ , we have  $c =^? W$ , which looks like it could be a solved pair, but the elimination rule prevents that by insisting that instances may not contain Skolem variables. Conceptually,  $\text{SIM}$  is a direct generalization of first-order unification transformations, and shares its properties; even the proofs go correspondingly.

### Properties of Simplification

▷ **Lemma 13.2.9 (Properties of  $\text{SIM}$ ).**  $\text{SIM}$  generalizes first-order unification.

▷  $\text{SIM}$  is terminating and confluent up to  $\alpha$ -conversion

▷ Unique  $\text{SIM}$  normal forms exist (all pairs have the form  $(h \overline{\mathbf{U}}^n) =^? (k \overline{\mathbf{V}}^m)$ )

▷ **Lemma 13.2.10.**  $\mathbf{U}(\mathcal{E} \wedge \mathcal{E}_\sigma) = \mathbf{U}(\sigma(\mathcal{E}) \wedge \mathcal{E}_\sigma)$ .

▷ *Proof:* by the definitions

1. If  $\theta \in \mathbf{U}(\mathcal{E} \wedge \mathcal{E}_\sigma)$ , then  $\theta \in (\mathbf{U}(\mathcal{E}) \cap \mathbf{U}(\mathcal{E}_\sigma))$ .
2. So  $\theta =_{\beta\eta} (\theta \circ \sigma)[\text{supp}(\sigma)]$ ,
3. and thus  $\theta \circ \sigma \in \mathbf{U}(\mathcal{E})$ , iff  $\theta \in \mathbf{U}(\sigma(\mathcal{E}))$ .

□

▷ **Theorem 13.2.11.** If  $\mathcal{E} \vdash_{\text{SIM}} \mathcal{F}$ , then  $\mathbf{U}(\mathcal{E}) \leq_{\beta\eta} \mathbf{U}(\mathcal{F})[\mathcal{E}]$ . (correct, complete)

*Proof:* By an induction over the length of the derivation

We treat the  $\text{SIM}$  rules individually for the *base case*

1.  $\text{SIM}:\alpha$   
by  $\alpha\beta\eta$ -conversion
3.  $\text{SIM}:\eta$   
By  $\eta$ -conversion in the presence of  $\text{SIM}:\alpha$
5.  $\text{SIM}:\text{dec}$   
The head  $h \in (\Sigma \cup \Sigma^{S_k})$  cannot be instantiated.
7.  $\text{SIM}:\text{elim}$   
By ???.
9. The *step case* goes directly by induction hypothesis and transitivity of the derivation relation.

□

Now that we have simplification out of the way, we have to deal with unification pairs of the form  $(h \overline{\mathbf{U}}^n) =^? (k \overline{\mathbf{V}}^m)$ . Note that the case where both  $h$  and  $k$  are constants is unsolvable, so we can assume that one of them is a variable. The unification problem  $(F_{\alpha \rightarrow \alpha}) a =^? a$  is a particularly simple example; it has solutions  $[\lambda X_\alpha. a / F]$  and  $[\lambda X_\alpha. X / F]$ . In the first, the solution comes by instantiating  $F$  with a  $\lambda$ -term of type  $\alpha \rightarrow \alpha$  with head  $a$ , and in the second with a 1-projection term of type  $\alpha \rightarrow \alpha$ , which projects the head of the argument into the right position. In both cases, the solution came from a term with a given type and an appropriate head. We will look at the problem of finding such terms in more detail now.

## General Bindings

- ▷ **Problem:** Find all formulae of given type  $\alpha$  and head  $h$ .
  - ▷ **sufficient:** long  $\beta\eta$  head normal form, most general.
  - ▷ **Definition 13.2.12 (General Bindings).**  $\mathbf{G}_\alpha^h(\Sigma) := \lambda \overline{X}_\alpha^k. h(H^1 \overline{X}) \dots (H^n \overline{X})$ 
    - ▷ where  $\alpha = \overline{\alpha}_k \rightarrow \beta$ ,  $h:\overline{\gamma}_n \rightarrow \beta$  and  $\beta \in \mathcal{BT}$
    - ▷ and  $H^i:\overline{\alpha}_k \rightarrow \gamma_i$  new variables.
- is called the **general binding** of type  $\alpha$  for the head  $h$ .
- ▷ **Observation 13.2.13.**  
*General bindings are unique up to choice of names for  $H^i$ .*
  - ▷ **Definition 13.2.14.** If the head  $h$  is  $j^{\text{th}}$  **bound variable** in  $\mathbf{G}_\alpha^h(\Sigma)$ , call  $\mathbf{G}_\alpha^h(\Sigma)$   **$j$ -projection binding** (and write  $\mathbf{G}_\alpha^j(\Sigma)$ ) else **imitation binding**
  - ▷ clearly  $\mathbf{G}_\alpha^h(\Sigma) \in \text{wff}_\alpha(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  and  $\text{head}(\mathbf{G}_\alpha^h(\Sigma)) = h$



For the construction of **general bindings**, note that their construction is completely driven by the intended type  $\alpha$  and the (type of) the head  $h$ . Let us consider some examples.

**Example 13.2.15.** The following **general bindings** may be helpful:  $\mathbf{G}_{(\iota \rightarrow \iota)}^{(a_\iota)}(\Sigma) = \lambda X_\iota. a$ ,  $\mathbf{G}_{(\iota \rightarrow \iota \rightarrow \iota)}^{(a_\iota)}(\Sigma) = \lambda X_\iota Y_\iota. a$ , and  $\mathbf{G}_{(\iota \rightarrow \iota \rightarrow \iota)}^{(a_{\iota \rightarrow \iota})}(\Sigma) = \lambda X_\iota Y_\iota. a(HXY)$ , where  $H$  is of type  $\iota \rightarrow \iota \rightarrow \iota$

We will now show that the **general bindings** defined in Definition 13.2.14 are indeed the most general  $\lambda$ -terms given their **type** and **head symbol**.

## Approximation Theorem

- ▷ **Theorem 13.2.16.** If  $\mathbf{A} \in \text{wff}_\alpha(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  with  $\text{head}(\mathbf{A}) = h$ , then there is a **general binding**  $\mathbf{G} = \mathbf{G}_\alpha^h(\Sigma)$  and a **substitution**  $\rho$  with  $\rho(\mathbf{G}) =_{\alpha\beta\eta} \mathbf{A}$  and  $\text{dp}\rho < \text{dp}\mathbf{A}$ .
- ▷ **Proof:** We analyze the term structure of  $\mathbf{A}$ 
  1. If  $\alpha = \overline{\alpha}_k \rightarrow \beta$  and  $h:\overline{\gamma}_n \rightarrow \beta$  where  $\beta \in \mathcal{BT}$ , then the long head normal form of  $\mathbf{A}$  must be  $\lambda \overline{X}_\alpha^k. h \overline{U}^n$ .
  2.  $\mathbf{G} = \mathbf{G}_\alpha^h(\Sigma) = \lambda \overline{X}_\alpha^k. h(H_1 \overline{X}) \dots (H_n \overline{X})$  for some variables  $H_i:\overline{\alpha}_k \rightarrow \gamma_i$ .
  3. Choose  $\rho := [\lambda \overline{X}_\alpha^k. U_1 / H_1], \dots, [\lambda \overline{X}_\alpha^k. U_n / H_n]$ .
  4. Then we have
 
$$\begin{aligned} \rho(\mathbf{G}) &= \lambda \overline{X}_\alpha^k. h(\lambda \overline{X}_\alpha^k. U_1 \overline{X}) \dots (\lambda \overline{X}_\alpha^k. U_n \overline{X}) \\ &=_{\beta\eta} \lambda \overline{X}_\alpha^k. h \overline{U}^n \\ &=_{\beta\eta} \mathbf{A} \end{aligned}$$
  5. The depth condition can be read off as  $\text{dp}(\lambda \overline{X}_\alpha^k. U_1) \leq \text{dp}\mathbf{A} - 1$ .

□



With this result we can state the higher-order unification transformations.



## Higher-Order Unification ( $\mathcal{HOU}$ )

- ▷ **Recap:** After simplification, we have to deal with pairs where one (flex/rigid) or both heads (flex/flex) are variables
- ▷ **Definition 13.2.17.** Let  $\mathbf{G} = \mathbf{G}_\alpha^h(\Sigma)$  (imitation) or  $\mathbf{G} \in \{\mathbf{G}_\alpha^j(\Sigma) \mid 1 \leq j \leq n\}$ , then the **calculus  $\mathcal{HOU}$**  for **higher-order unification** consists of the transformations (always reduce to  **$\mathcal{SIM}$  normal form**)

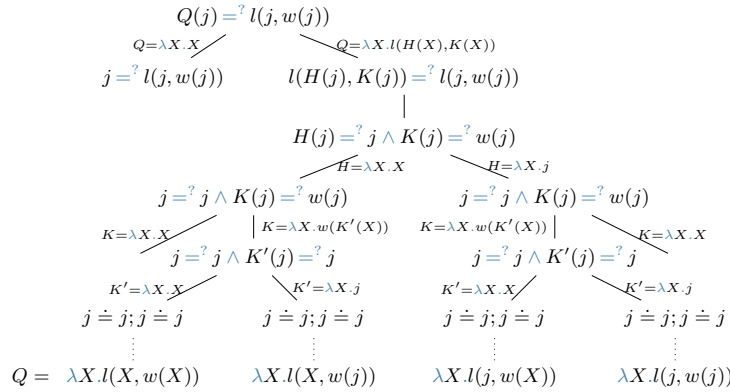
▷ Rule for flex/rigid pairs: 
$$\frac{(F_\alpha \bar{\mathbf{U}}) = ? (h \bar{\mathbf{V}}) \wedge \mathcal{E}}{F = ? \mathbf{G} \wedge (F \bar{\mathbf{U}}) = ? (h \bar{\mathbf{V}}) \wedge \mathcal{E}} \mathcal{HOU:fr}$$

▷ Rules for flex/flex pairs: 
$$\frac{(F_\alpha \bar{\mathbf{U}}) = ? (H \bar{\mathbf{V}}) \wedge \mathcal{E}}{F = ? \mathbf{G} \wedge (F \bar{\mathbf{U}}) = ? (H \bar{\mathbf{V}}) \wedge \mathcal{E}} \mathcal{HOU:ff}$$

Let us now fortify our intuition with a simple example.

## $\mathcal{HOU}$ Example

**Example 13.2.18.** Let  $Q, w: \iota \rightarrow \iota$ ,  $l: \iota \rightarrow \iota \rightarrow \iota$ , and  $j: \iota$ , then we have the following **derivation tree** in  $\mathcal{HOU}$ .



The first thing that meets the eye is that higher-order unification is branching. Indeed, for flex/-rigid pairs, we have to systematically explore the possibilities of binding the head variable the imitation binding and all projection bindings. On the initial node, we have two bindings, the projection binding leads to an unsolvable unification problem, whereas the imitation binding leads to a unification problem that can be decomposed into two flex/rigid pairs. For the first one of them, we have a projection and an imitation binding, which we systematically explore recursively. Eventually, we arrive at four solutions of the initial problem. The following encoding of **natural number arithmetic** into  $\Lambda^\rightarrow$  is useful for testing our **unification algorithm**.

## A Test Generator for Higher-Order Unification

▷ **Definition 13.2.19 (Church Numerals).** We define **closed  $\lambda$ -terms** of type  $\nu := (\alpha \rightarrow \alpha) \rightarrow \alpha \rightarrow \alpha$

▷ Numbers: **Church numerals:** ( $n$  fold iteration of  $\text{arg1}$  starting from  $\text{arg2}$ )

$$n := \lambda S_{\alpha \rightarrow \alpha}. \lambda O_{\alpha}. \underbrace{S(S \dots S(O) \dots)}_n$$

▷ **Addition** ( $N$ -fold iteration of  $S$  from  $N$ )

$$+ := \lambda N_{\nu}. \lambda M_{\nu}. \lambda S_{\alpha \rightarrow \alpha}. \lambda O_{\alpha}. NS(MSO)$$

▷ **Multiplication:** ( $N$ -fold iteration of  $MS (=+m)$  from  $O$ )

$$\cdot := \lambda N_{\nu}. \lambda M_{\nu}. \lambda S_{\alpha \rightarrow \alpha}. \lambda O_{\alpha}. N(MS)O$$

▷ **Observation 13.2.20.** Subtraction and (integer) division on Church numerals can be automated via higher-order unification.

▷ **Example 13.2.21.**

$5 - 2$  by solving the unification problem  $(2 + x_{\nu}) = ? 5$

▷ Equation solving for Church numerals yields a very nice generator for test cases for higher-order unification, as we know which solutions to expect.



### 13.2.3 Properties of Higher-Order Unification

We will now establish the properties of the higher-order unification problem and the **algorithms** we have introduced above. We first establish the undecidability, since it will influence how we go about the rest of the properties.

We establish that higher-order unification is **undecidable**. The proof idea is a typical for **undecidability** proofs: we reduce the higher-order unification problem to one that is known to be **undecidable**: here, the solution of Diophantine equations  $\mathbb{N}$ .

#### Undecidability of Higher-Order Unification

▷ **Theorem 13.2.22.** Second-order unification is **undecidable** (Goldfarb '82 [Gol81])

▷ *Proof sketch:* Reduction to Hilbert's tenth problem (solving Diophantine equations) (**known to be undecidable**)

▷ **Definition 13.2.23.**

We call an equation a **Diophantine equation**, if it is of the form

▷  $x_i x_j = x_k$

▷  $x_i + x_j = x_k$

▷  $x_i = c_j$  where  $c_j \in \mathbb{N}$

where the variables  $x_i$  range over  $\mathbb{N}$ .

▷ These can be solved by higher-order unification on **Church numerals**. (cf. ???).

- ▷ **Theorem 13.2.24.** *The general solution for sets of Diophantine equations is **undecidable**. (Matijasevič 1970 [Mat70])*



The argument undecidability proofs is always the same: If higher-order unification were **decidable**, then via the encoding we could use it to solve Diophantine equations, which we know we cannot by Matijasevič's Theorem.

The next step will be to analyze our transformations for higher-order unification for correctness and completeness, just like we did for first-order unification.

### **HOU** is Correct

- ▷ **Lemma 13.2.25.** *If  $\mathcal{E} \vdash_{\text{HOU}} \mathcal{E}'$  or  $\mathcal{E} \vdash_{\text{HOU}} \mathcal{E}'$ , then  $\mathbf{U}(\mathcal{E}') \subseteq \mathbf{U}(\mathcal{E})$ .*
- ▷ *Proof sketch:* **HOU**:fr and **HOU**:ff only add new pair.
- ▷ **Corollary 13.2.26.** ***HOU** is correct: If  $\mathcal{E} \vdash_{\text{HOU}} \mathcal{E}'$ , then  $\mathbf{U}(\mathcal{E}') \subseteq \mathbf{U}(\mathcal{E})$ .*



Given that higher-order unification is not unitary and **undecidable**, we cannot just employ the notion of completeness that helped us in the analysis of first-order unification. So the first thing is to establish the condition we want to establish to see that **HOU** gives a higher-order unification **algorithm**.

### Completeness of **HOU**

- ▷ We cannot expect completeness in the same sense as for first-order unification: "If  $\mathcal{E} \vdash_{\mathbf{U}} \mathcal{F}$ , then  $\mathbf{U}(\mathcal{E}) \subseteq \mathbf{U}(\mathcal{F})$ " (see ???) as the rules fix a binding and thus partially commit to a unifier (which excludes others).
- ▷ We cannot expect termination either, since **HOU** is **undecidable**.
- ▷ For a **semi-decision procedure** we only need termination on unifiable problems.
- ▷ **Theorem 13.2.27 (**HOU** derives Complete Set of Unifiers).** *If  $\theta \in \mathbf{U}(\mathcal{E})$ , then there is a **HOU**-derivation  $\mathcal{E} \vdash_{\text{HOU}} \mathcal{F}$ , such that  $\mathcal{F}$  is in **solved form**,  $\sigma_{\mathcal{F}} \in \mathbf{U}(\mathcal{E})$ , and  $\sigma_{\mathcal{F}}$  is more general than  $\theta$ .*
- ▷ *Proof sketch:* Given a unifier  $\theta$  of  $\mathcal{E}$ , we guide the derivation with a measure  $\mu_{\theta}$  towards  $\mathcal{F}$ .



So we will embark on the details of the completeness proof. The first step is to define a measure that will guide the **HOU** transformation out of a unification problem  $\mathcal{E}$  given a unifier  $\theta$  of  $c\mathcal{E}$ .

### Completeness of **HOU** (Measure)

- ▷ **Definition 13.2.28.** We call  $\mu(\mathcal{E}, \theta) := \langle \mu_1(\mathcal{E}, \theta), \mu_2(\theta) \rangle$  the **unification measure** for  $\mathcal{E}$  and  $\theta$ , if

- ▷  $\mu_1(\mathcal{E}, \theta)$  is the **multiset** of term **depths** of  $\theta(X)$  for the unsolved  $X \in \text{supp}(\theta)$ .
- ▷  $\mu_2(\mathcal{E})$  the **multiset** of term **depths** in  $\mathcal{E}$ .
- ▷  $\prec$  is the strict **lexicographic order** on **pairs**:  $(\langle a, b \rangle \prec \langle c, d \rangle)$ , if  $a < c$  or  $a = c$  and  $b < d$
- ▷ Component orderings are **multiset orderings**:  $(M \cup \{m\} < M \cup N)$  iff  $n < m$  for all  $n \in N$
- ▷ **Lemma 13.2.29.**  $\prec$  is well-founded. (by construction)



This measure will now guide the  $\mathcal{HOU}$  transformation in the sense that in any step it chooses whether to use  $\mathcal{HOU}:\text{fr}$  or  $\mathcal{HOU}:\text{ff}$ , and which **general binding** (by looking at what  $\theta$  would do). We formulate the details in ??? and look at their consequences before we prove it.

### Completeness of $\mathcal{HOU}$ ( $\mu$ -Prescription)

- ▷ **Theorem 13.2.30.** If  $\mathcal{E}$  is unsolved and  $\theta \in \mathbf{U}(\mathcal{E})$ , then there is a **unification problem**  $\mathcal{E}$  with  $\mathcal{E} \vdash_{\mathcal{HOU}} \mathcal{E}'$  and a **substitution**  $\theta' \in \mathbf{U}(\mathcal{E}')$ , such that
  - ▷  $\theta =_{\beta\eta} \theta'[\mathcal{E}]$
  - ▷  $\mu(\mathcal{E}, \theta'0) \prec \mu(\mathcal{E}, \theta)$ .
 we call such a  $\mathcal{HOU}$ -step a  **$\mu$ -prescribed**
- ▷ **Corollary 13.2.31.** If  $\mathcal{E}$  is **unifiable** without  **$\mu$ -prescribed  $\mathcal{HOU}$ -steps**, then  $\mathcal{E}$  is **solved**.
- ▷ **In other words:**  $\mu$  guides the  $\mathcal{HOU}$ -transformations to a **solved form**.



We now come to the proof of ???, which is a relatively simple consequence of ???.

### Proof of ???

- ▷ *Proof:*
  1. Let  $\mathbf{A} =^? \mathbf{B}$  be an **unsolved pair** of the form  $(\mathbf{F} \ \overline{\mathbf{U}}) =^? (\mathbf{G} \ \overline{\mathbf{V}})$  in  $\mathcal{F}$ .
  2.  $\mathcal{E}$  is a  **$\mathcal{SIM}$**  normal form, so  $\mathbf{F}$  and  $\mathbf{G}$  must be constants or variables,
  3. but not the same constant, since otherwise  **$\mathcal{SIM}:\text{dec}$**  would be applicable.
  4. By ??? there is a **general binding**  $\mathbf{G} = \mathbf{G}_\alpha^f(\Sigma)$  and a **substitution**  $\rho$  with  $\rho(\mathbf{G}) =_{\alpha\beta\eta} \theta(F)$ . So,
    - ▷ if  $\text{head}(\mathbf{G}) \notin \text{supp}(\theta)$ , then  $\mathcal{HOU}:\text{fr}$  is applicable,
    - ▷ if  $\text{head}(\mathbf{G}) \in \text{supp}(\theta)$ , then  $\mathcal{HOU}:\text{ff}$  is applicable.
  5. Choose  $\theta' := \theta \cup \rho$ . Then  $\theta =_{\beta\eta} \theta'[\mathcal{E}]$  and  $\theta' \in \mathbf{U}(\mathcal{E}')$  by correctness.
  6.  $\mathcal{HOU}:\text{ff}$  and  $\mathcal{HOU}:\text{fr}$  solve  $F \in \text{supp}(\theta)$  and replace  $F$  by  $\text{supp}(\rho)$  in the set of unsolved variable of  $\mathcal{E}$ .
  7. so  $\mu_1(\mathcal{E}, \theta') \prec \mu_1(\mathcal{E}, \theta)$  and thus  $\mu(\mathcal{E}, \theta') \prec \mu(\mathcal{E}, \theta)$ .



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We now convince ourselves that if  $\mathcal{HOU}$  terminates with a unification problem, then it is either solved – in which case we can read off the solution – or unsolvable.

### Terminal $\mathcal{HOU}$ -problems are Solved or Unsolvable

- ▷ **Theorem 13.2.32.** *If  $\mathcal{E}$  is a unsolved UP and  $\theta \in \mathbf{U}(\mathcal{E})$ , then there is a  $\mathcal{HOU}$ -derivation  $\mathcal{E} \vdash_{\mathcal{HOU}} \sigma_\theta$ , with  $\sigma \leq_{\beta\eta} \theta[\mathcal{E}]$ .*
- ▷ *Proof:* Let  $\mathcal{D}: \mathcal{E} \vdash_{\mathcal{HOU}} \mathcal{F}$  a maximal  $\mu$ -prescribed  $\mathcal{HOU}$ -derivation from  $\mathcal{E}$ .
  1. This must be finite, since  $\prec$  is well-founded (ind. over length  $n$  of  $\mathcal{D}$ )
  2. If  $n = 0$ , then  $\mathcal{E}$  is solved and  $\sigma_\mathcal{E}$  most general unifier
  3. thus  $\sigma_\mathcal{E} \leq_{\beta\eta} \theta[\mathcal{E}]$
  4. If  $n > 0$ , then there is a  $\mu$ -prescribed step  $\mathcal{E} \vdash_{\mathcal{HOU}} \mathcal{E}'$  and a substitution  $\theta$  as in ???.
  5. by IH there is a  $\mathcal{HOU}$ -derivation  $\mathcal{E}' \vdash_{\mathcal{HOU}} \mathcal{F}$  with  $\sigma_\mathcal{F} \leq_{\beta\eta} \theta'[\mathcal{E}']$ .
  6. by correctness  $\sigma_\mathcal{F} \in \mathbf{U}(\mathcal{E}') \subseteq \mathbf{U}(\mathcal{E})$ .
  7. rules of  $\mathcal{HOU}$  only expand free variables, so  $\sigma_\mathcal{F} \leq_{\beta\eta} \theta'[\mathcal{E}']$ .
  8. Thus  $\sigma_\mathcal{F} \leq_{\beta\eta} \theta'[\mathcal{E}]$ ,
  9. This completes the proof, since  $\theta' =_{\beta\eta} \theta[\mathcal{E}]$  by ???.



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We now recap the properties of higher-order unification (HOU) to gain an overview.

### Properties of HO-Unification

- ▷ HOU is **undecidable**,
- ▷ HOU need not have most general unifiers
- ▷ The  $\mathcal{HOU}$  transformation induce an **algorithm** that enumerates a complete set of higher-order unifiers.
- ▷  $\mathcal{HOU}:\mathbb{F}$  **gives enormous degree of indeterminism**
- ▷ HOU is **intractable** in practice **consider restricted fragments where it is!**
- ▷ HO Matching (**decidable** up to order four), HO Patterns (unitary, linear), ...



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#### 13.2.4 Pre-Unification

We will now come to a variant of higher-order unification that is used in higher-order theorem

proving, where we are only interested in the existence of a unifier – e.g. in mating-style tableaux. In these cases, we can do better than full higher-order unification.

### Pre-Unification

- ▷  $\mathcal{HOU}:\text{ff}$  has a giant **branching factor** in the search space for unifiers. (makes  $\mathcal{HOU}$  **impracticable**)
- ▷ In most situations, we are more interested in solvability of unification problems than in the unifiers themselves.
- ▷ More liberal treatment of flex/flex pairs.
- ▷ **Observation 13.2.33.** *flex/flex-pairs  $(F \ \overline{\mathbf{U}}^n) =^? (G \ \overline{\mathbf{V}}^m)$  are always (trivially) solvable by  $[\lambda \overline{X}^n. H / F], [\lambda \overline{Y}^m. H / G]$ , where  $H$  is a new variable*
- ▷ **Idea:** consider flex/flex-pairs as **pre solved**.
- ▷ **Definition 13.2.34 (Pre-Unification).** For given terms  $\mathbf{A}, \mathbf{B} \in \text{wff}_\alpha(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  find a **substitution**  $\sigma$ , such that  $\sigma(\mathbf{A}) =_{\beta\eta}^p \sigma(\mathbf{B})$ , where  $=_{\beta\eta}^p$  is the equality theory that is induced by  $=_{\beta\eta}$  and  $F \ \overline{\mathbf{U}} = G \ \overline{\mathbf{V}}$ .
- ▷ **Lemma 13.2.35.** *A higher-order unification problem is unifiable, iff it is pre-unifiable.*



The higher-order pre-unification **algorithm** can be obtained from  $\mathcal{HOU}$  by simply omitting the offending  $\mathcal{HOU}:\text{ff}$  rule.

### Pre-Unification Algorithm $\mathcal{HOPU}$

- ▷ **Definition 13.2.36.** A **unification problem** is a **pre solved form**, iff all of its pairs are solved or flex/flex
- ▷ **Lemma 13.2.37.** *If  $\mathcal{E}$  is solved and  $\mathcal{P}$  flex/flex, then  $\sigma_\sigma$  is a most general unifier of a pre-solved form  $\mathcal{E} \wedge \mathcal{P}$ .*
- ▷ Restrict all  $\mathcal{HOU}$  rule so that they cannot be applied to pre-solved pairs.
- ▷ In particular, remove  $\mathcal{HOU}:\text{ff}$ !
- ▷ **Definition 13.2.38.** The **higher-order pre-unification calculus  $\mathcal{HOPU}$**  only consists of  $\mathcal{SIM}$  and  $\mathcal{HOU}:\text{fr}$ .
- ▷ **Theorem 13.2.39.**  $\mathcal{HOPU}$  is a correct and complete pre-unification **algorithm**
- ▷ *Proof sketch:* with exactly the same methods as higher-order unification
- ▷ **Theorem 13.2.40.** *Higher-order pre-unification is infinitary, i.e. a unification problem can have **infinitely** many unifiers.* (Huet 76' [Hue76])
- ▷ **Example 13.2.41.**  $Y (\lambda X_\iota. X) a =^? a$ , where  $a$  is a constant of type  $\iota$  and  $Y$  a variable of type  $(\iota \rightarrow \iota) \rightarrow \iota \rightarrow \iota$  has the most general unifiers  $\lambda sz.s^n z$  and  $\lambda sz.s^n a$ , which are mutually incomparable and thus most general.



- ▷ **Idea:** [Dalrymple, Shieber, Pereira]  
Given a labeling of occurrences as either primary or secondary, the POR excludes of the set of linguistically valid solutions, any solution which contains a primary occurrence.
- ▷ A **primary occurrence** is an occurrence that is **directly associated** with a **source parallel element**.
- ▷ a **source parallel element** is an element of the source (i.e. antecedent) clause which has a parallel counterpart in the target (i.e. elliptic) clause.
- ▷ **Example 13.3.1.**
  - ▷  $\text{loves}(\text{john}, \text{wifeof}(\text{john})) = Q(\text{george})$
  - ▷  $Q = \lambda x. \text{loves}(x, \text{wifeof}(\text{john}))$
  - ▷  $Q = \lambda x. \text{loves}(\text{john}, \text{wifeof}(\text{john}))$
- ▷ Use the **colored  $\lambda$ -calculus** for general theory

### Colored $\lambda$ -calculus [HK00]

- ▷ Developed for inductive theorem proving (Rippling with **Metavariable**)
- ▷ **Definition 13.3.2.** **Symbol occurrences** can be annotated with **colors** (variables  $\alpha, \beta, \gamma, \dots$  and constants  $a, b, \dots$ )
- ▷ **Bound variables** are uncolored ( $\beta\eta$  conversion just as usual)
- ▷ **Definition 13.3.3.** Well-colored **substitutions**  $\sigma$ 
  - ▷ Map colored variables  $X_X$  to colored formulae.
  - ▷ If  $a$  and  $b$  are different colors, then  $|\sigma(X_X)| = |\sigma(X_X)|$ :  
equal color erasures. (Consistency)
  - ▷ All color annotations on  $\sigma(X_X)$  have to be compatible with those for  $c$ . (Monochromaticity)

### Colored HO-Unification

- ▷ HOCU has only two differences wrt. general HOU

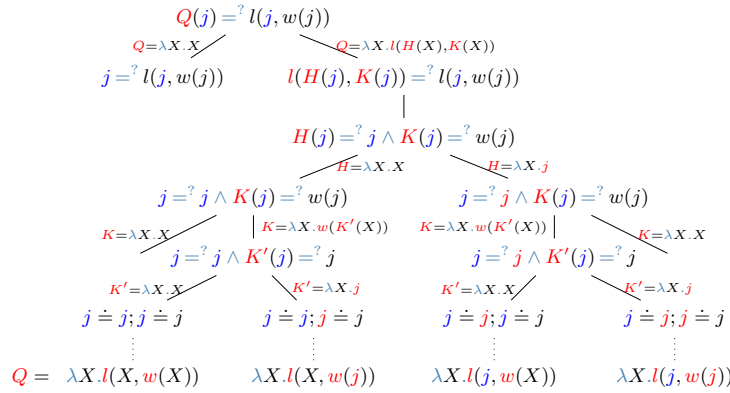
$$\frac{f_f(t^1, \dots, t^n) =^? f_f(s^1, \dots, s^n)}{a =^? b \wedge t^1 =^? s^1 \wedge t^n =^? s^n} \qquad \frac{X_X =^? \mathbf{A} \wedge \mathcal{E}}{X =^? \mathbf{A} \wedge [\mathbf{A}/X](\mathcal{E})}$$

- ▷ Decomposition must consider colors
- ▷ Elimination ensures Monochromaticity and Consistency



- ▷  $X =^? A := X_X =^? A_A \wedge X_X =^? A_A$
- ▷  $[A/X] := [A_A/X_X], \dots, [A_A/X_X]$  propagates color information

## George does too (HOCU)



## The Original Motivation: First-Order Rippling

**Example 13.3.4.** Proving:  $\forall x, y : \text{list.rev}(\text{app}(\text{rev}(x))y) = \text{app}(\text{rev}(y))x$

$$\begin{aligned}
 & \text{rev}(\text{app}(\text{rev}(\text{cons}(h)))y) = \text{app}(\text{rev}(y))\text{cons}(h) \\
 & \quad \downarrow \\
 & \text{rev}(\text{app}(\text{app}(\text{rev}(x))\text{cons}(h))y) = \text{app}(\text{rev}(y))\text{cons}(h) \\
 & \text{app}_\alpha(X_X, \text{cons}(Y)) = \text{app}_\alpha(F_1(X_X, Y, Z), Z_Z) \quad \downarrow \\
 & \text{rev}(\text{app}(\text{app}(\text{rev}(x))\text{cons}(h))y) = \text{app}(F_1(\text{rev}(y), h, x))x \\
 & \text{app}(\text{rev}_\alpha(Y_Y))\text{cons}(X) = \text{rev}_\alpha(\text{cons}(X)) \quad \downarrow \\
 & \text{rev}(\text{app}(\text{app}(\text{rev}(x))\text{cons}(h))y) = \text{app}(\text{rev}(\text{cons}(h)))x \\
 & \quad \downarrow \\
 & \text{rev}(\text{app}(\text{rev}(x))\text{cons}(h)) = \text{app}(\text{rev}(\text{cons}(h)))x
 \end{aligned}$$

## The Higher-Order Case: Schematic Rippling

**Example 13.3.5 (Synthesizing Induction Orderings).**  $\forall x. \exists y. f(g(y)) \leq x$

Induction Step:  $\forall x. \exists y. f(g(y)) \leq x$  to  $\exists y. f(g(y)) \leq F(x)$

$$\begin{aligned}
f(g(y)) &\leq F(x) \\
f(s(g(y'))) &\leq F(x) \\
s(s(f(g(y')))) &\leq F(x) \\
s(s(f(g(y')))) &\leq s(s(x)) \quad F \leftarrow \lambda X. s(s(X)) \\
f(g(y')) &\leq x
\end{aligned}$$

## A Unification Problem

### ▷ Example 13.3.6 (A Unification Problem).

$$\begin{aligned}
&F(\text{rev}(y), h, x) = ? \text{rev}_\alpha(Y_\beta) \text{cons}(X) \\
&\quad \downarrow [\lambda UVW. \text{app}(H(U, V, W)) K(U, V, W) / F] \\
&H(\text{rev}(u), h, v) = ? \text{rev}_\alpha(Y_Y) \wedge K(\text{rev}(u), h, v) = ? \text{cons}(X) \\
&\quad \downarrow [\lambda UVW. \text{cons}(M(U, V, W)) / K], [\lambda UVW. U / H] \\
&\text{rev}(u) = ? \text{rev}_\alpha(Y_Y) \wedge \text{cons}(M(\text{rev}(u), h, v)) = ? \text{cons}(X) \\
&\quad \downarrow \\
&\alpha = ? \blacksquare \wedge u = ? Y_Y \wedge X = ? M(\text{rev}(u), h, v) \wedge N(\text{rev}(u), h, v) = ? \text{nil} \\
&\quad \downarrow \\
&h = ? h \wedge \text{nil} = ? \text{nil}
\end{aligned}$$

Result:  $[\lambda UVW. \text{app}(U) \text{cons}(V) / F], [u / Y_Y], [h / X], [\blacksquare / \alpha]$

## Linguistic Application: Focus/Ground Structures

### ▷ Example 13.3.7. “John only likes MARY.”

▷ **Analysis:**  $\text{likes}(\text{john}, \text{mary}) \wedge (\forall x. G(x)) \Rightarrow x = \text{mary}.$

▷ **Equation:**  $\text{likes}(\text{john}, \text{mary}) =_{\alpha\beta\eta} G(\text{mary}).$

▷ Variable  $G$  for (back)ground (Focus is prosodically marked)

▷ **Solution:**  $G = \lambda z. \text{likes}(\text{john}, z)$

▷ **Semantics:**  $\text{likes}(\text{john}, \text{mary}) \wedge (\forall x. \text{likes}(\text{john}, x) \Rightarrow x = \text{mary}).$

▷ **Linguistic Coverage:** Prosodically unmarked focus, sentences with multiple focus operators  
[Gardent & Kohlhase'96]

Isn't HOCU just a notational variant of DSP's POR?

- ▷ HOCU has a *formal*, well-understood foundation which permits a clear assessment of its *mathematical* and *computational* properties;
- ▷ It is a *general* theory of colors:
- ▷ Other Constraints
  - ▷ POR for focus
  - ▷ Second Occurrence Expressions
  - ▷ Weak Crossover Constraints
- ▷ Multiple constraints and their interaction are easily handled
  - ▷ Use feature constraints as colors

## Interaction of Constraints via Extended Colors

- ▷ **Example 13.3.8.** “*John likes MARY and Peter does too*”

- ▷ Ellipsis:  $l(j_j, s_s) = R_R(j_j)$
- ▷ Focus:  $R_R(p) = G_G(F_F)$
- ▷  $\neg pe$  forbids only  $pe$       $\neg pf$  forbids only  $pf$

- ▷ **Derivation:**

- ▷ Solution  $R_R = \lambda x.l(x, s_s)$  to the Ellipsis equation
- ▷ yields Focus equation  $l(p, s_s) = G_G(F_F)$

- ▷ **Solution:**  $G_G = \lambda x.l(p_p, x)$   $F_F = m_m$

## Featuring even more colors for Interaction

- ▷ “*John<sub>1</sub>’s mum loves him<sub>1</sub>. Peter’s mum does too.*”

- ▷ Two readings:

- ▷ “*Peter’s mum loves Peter*” (sloppy)
- ▷ “*Peter’s mum loves John*” (strict)

- ▷ Parallelism equations

$$\begin{aligned} C(j) &= l(m(j), j) \\ C(p) &= R(m(p)) \end{aligned}$$

- ▷ Two solution for the first equation:

$$C = \lambda Z.l(m(Z), j) \text{ (strict)} \quad \text{and} \quad C = \lambda Z.l(m(Z), Z) \text{ (sloppy)}$$

- ▷ Two versions of the second equation

$$\begin{aligned} l(m(p), j) &= R(m(p)) \\ l(m(p), p) &= R(m(p)) \end{aligned}$$

- ▷  $R = \lambda Z.l(Z, j)$  solves the first equation (strict reading)
- ▷ the second equation is unsolvable  $R = \lambda Z.l(Z, p)$  is not well-colored.
- ▷ **Idea:** Need additional constraint:  
VPE may not contain (any part of) its subject
- ▷ Need more dimensions of colors to model the interaction
- ▷ **Idea:** Extend supply of colors to **feature terms**.

*"John<sub>1</sub>'s mum loves him<sub>1</sub>. Peter's mum does too."*

- ▷ Parallelism Constraints

$$\begin{aligned} C_C(j_j) &= l(m_m(j_j), j) \\ C_C(p_p) &= R_R(m_m(p_p)) \end{aligned}$$

- ▷ Resolving the first equation yields two possible values for  $C_C$ :

$$\lambda z.l(m_m(z), j) \quad \text{and} \quad \lambda z.l(m_m(z), z)$$

- ▷ Two versions of the second equation

$$\begin{aligned} l(m_m(p_p), j) &= R_R(m_m(p_p)) \\ l(m_m(p_p), p_p) &= R_R(m_m(p_p)) \end{aligned}$$

- ▷ Two solutions for the ellipsis (for  $R_R$ )

$$\begin{aligned} \{R_R \leftarrow \lambda z.l(z, j)\} & \quad \text{Strict Reading} \\ \{R_R \leftarrow \lambda z.l(z, p_p)\} & \quad \text{Sloppy Reading} \end{aligned}$$

- ▷ Need *dynamic constraints*/
  - ▷ resulting from the unification of several independent constraints
  - ▷ VPE subject is  $[e +]$ , while part of is a parallel element ( $[p +]$ ).
  - ▷ Various linguistic **modules** interact in creating complex constraints

## Computation of Parallelism (The General Case)

- ▷ We need inferences to discover discourse relations

- ▷ General Conditions [Hobbs 1990]

| Relation | Requirements                                                                  | Particle |
|----------|-------------------------------------------------------------------------------|----------|
| Parallel | $a_i \sim b_i, p \simeq q$                                                    | "and"    |
| Contrast | $a_i \sim b_i, p \supset \neg q$ or $\neg p \supset q$ $a_i, b_i$ contrastive | "but"    |

Source semantics  $p(\vec{a})$ , Target semantics  $q(\vec{b})$

- ▷  $a \sim b$ , iff  $\forall p. p(a) \Rightarrow (\exists q \simeq p. q(b))$        $p \simeq q$ , iff  $\forall a. p(a) \Rightarrow (\exists b \sim a. q(b))$

- ▷ Need **theorem proving methods** for general case.

- ▷ **Idea:** use only special properties (Sorts from the Taxonomy)

## 13.4 Sorted Higher-Order Unification

### Sorted $\lambda$ -Calculus

- ▷ higher-order automated theorem provers are relatively weak
- ▷ transfer first-order theorem proving technology to higher-order
- ▷ sorts are a particularly **efficient** refinement
- ▷ separation of **sorts** and **types**
  - ▷ **functional** base sorts
  - ▷ **term declarations** as very general mechanism for declaring sort information

### Sorted Unification:

- ▷ Example: Signature  $\Sigma$  with

$$\begin{aligned}
 &[+ : (\mathbb{N} \rightarrow \mathbb{N} \rightarrow \mathbb{N})] \\
 &[+ : (\mathbb{E} \rightarrow \mathbb{E} \rightarrow \mathbb{E})] \\
 &[+ : (\mathbb{O} \rightarrow \mathbb{O} \rightarrow \mathbb{E})] \\
 &[(\lambda X. + X X) : (\mathbb{N} \rightarrow \mathbb{E})]
 \end{aligned}$$

- ▷ general bindings

$$\mathbf{G}_{\mathbb{E}}^{+}() = \left\{ \begin{array}{l} +Z_{\mathbb{E}}W_{\mathbb{E}}, \\ +Z_{\mathbb{O}}W_{\mathbb{O}}, \\ +Z_{\mathbb{N}}Z_{\mathbb{N}} \end{array} \right\}$$

### Example (Elementary Calculus)

- ▷ Sorts

- ▷  $\mathbb{R}^+$ ,  $\mathbb{R}$  of type  $\iota$ : (non-negative) real numbers
- ▷  $\mathbb{M}$ ,  $\mathbb{P}$  of type  $\iota \rightarrow \iota$ : monomials, polynomials
- ▷  $\mathbb{M}$ ,  $\mathbb{P}$  of type  $\iota \rightarrow \iota$ : differentiable and continuous functions

▷ Signature  $\Sigma$

$$\begin{aligned}
 & [ + : (\mathbb{R} \rightarrow \mathbb{R} \rightarrow \mathbb{R}) ], [ * : (\mathbb{R} \rightarrow \mathbb{R} \rightarrow \mathbb{R}) ], [ (\lambda X. * X X) : (\mathbb{R} \rightarrow \mathbb{R}^+) ], \\
 & [ \mathbb{R}^+ \sqsubset \mathbb{R} ], [ \mathbb{M} \sqsubset \mathbb{P} ], [ \mathbb{P} \sqsubset \mathbb{M} ], [ \mathbb{M} \sqsubset \mathbb{P} ] \\
 & [ (\lambda X. X) : \mathbb{M} ], [ (\lambda X Y. Y) : (\mathbb{R} \rightarrow \mathbb{M}) ], \\
 & [ (\lambda F G X. * (F X)(G X)) : (\mathbb{M} \rightarrow \mathbb{M} \rightarrow \mathbb{M}) ], \\
 & [ (\lambda F G X. + (F X)(G X)) : (\mathbb{M} \rightarrow \mathbb{M} \rightarrow \mathbb{P}) ], \\
 & [ \partial : (\mathbb{M} \rightarrow \mathbb{P}) ], [ \partial : (\mathbb{P} \rightarrow \mathbb{P}) ], [ \partial : (\mathbb{M} \rightarrow \mathbb{M}) ].
 \end{aligned}$$

### Example (continued)

- ▷ **Question:** Are there non-negative, differentiable functions?

- ▷ **Unification Problem:**  $G_{(\mathbb{R} \rightarrow \mathbb{R}^+)} =^? F_{\mathbb{M}}$

- ▷ **guess**  $G_{(\mathbb{R} \rightarrow \mathbb{R}^+)}$  to be  $(\lambda X. * (H^1_{(\mathbb{R} \rightarrow \mathbb{R})} X)(H^1 X))$ :

$$F_{\mathbb{M}} =^? (\lambda X. * (H^1_{(\mathbb{R} \rightarrow \mathbb{R})} X)(H^1 X))$$

- ▷ **imitate** with  $F_{\mathbb{M}}$  as  $\lambda X. * (H^2_{\mathbb{M}} X)(H^3_{\mathbb{M}} X)$ :

$$H^1_{(\mathbb{R} \rightarrow \mathbb{R})} Z^0 =^? H^2_{\mathbb{M}} Z^0 \wedge H^1_{(\mathbb{R} \rightarrow \mathbb{R})} Z^0 =^? H^3_{\mathbb{M}} Z^0$$

- ▷ **weaken**  $H^1_{(\mathbb{R} \rightarrow \mathbb{R})}$  to  $H^4_{\mathbb{M}}$

$$H^4_{\mathbb{M}} Z^0 =^? H^2_{\mathbb{M}} Z^0 \wedge H^4_{\mathbb{M}} Z^0 =^? H^3_{\mathbb{M}} Z^0$$

- ▷ **solvable with** with  $H^4 = H^3 = H^2$

- ▷ **Answer:**  $F = G = \lambda X_{\mathbb{R}}. * (H^4_{\mathbb{M}} X)(H^4_{\mathbb{M}} X)$  (even degree monomial)

### Abductive Reconstruction of Parallelism (ARP)

- ▷ Mix Parallelism with HOCU
- ▷ Example (Gapping): “*John likes Golf and Mary too.*”
- ▷ Representation  $\text{loves}(\text{john}, \text{golf}) \wedge R(\text{mary})$
- ▷ Equation  $\text{loves}(\text{john}_{\text{john}}, \text{golf}_{\text{golf}}) =^s R^{\text{pe}}_{(\text{Woman} \rightarrow o)}(\text{mary}_{\text{mary}})$ 
  - ▷  $R$  for the missing semantics (of Sort  $\text{Woman} \rightarrow o$  and not primary for ellipsis)
- ▷ Number Restriction Constraint

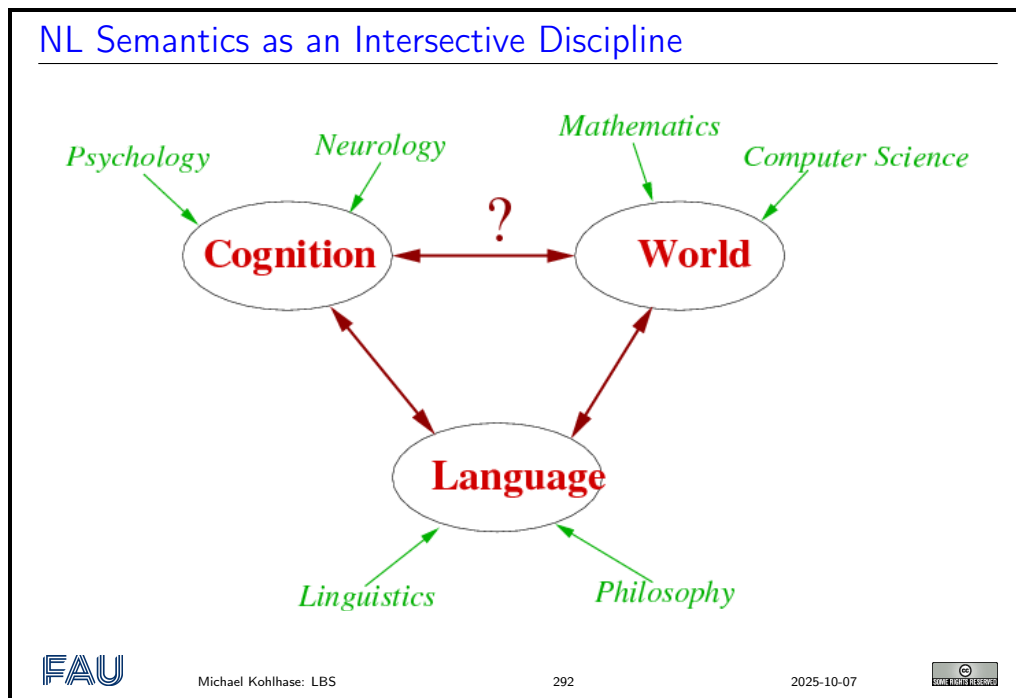
- ▷ “*Jon*” and “*golf*” might be parallel to “*Mary*”, but at most one of them can.
- ▷ color variable *A*: if *Jon* is *pe* then *golf* isn’t, and vice versa
- ▷ Generalizes DSP’s Primary Occurrence Restriction (POR)

- ▷ Initial Equation:  $\text{loves}(\text{john}_{\text{john}}, \text{golf}_{\text{golf}}) = ? R_{(\text{Woman} \rightarrow o)}^{\neg \text{pe}}(\text{mary}_{\text{mary}})$ 
  - ▷ imitate  $R_{(\text{Woman} \rightarrow o)}^{\neg \text{pe}}$  with  $\lambda Z. \text{loves}(H_H Z, K_K Z)$
  - ▷ *H*, *K* new variables of sort  $\text{Woman} \rightarrow \text{Human}$
- ▷  $\text{loves}(\text{john}_{\text{john}}, \text{golf}_{\text{golf}}) = ? \text{loves}(H_H(\text{mary}_{\text{mary}}), K_K \text{mary}_{\text{mary}})$
- ▷  $H_H \text{mary}_{\text{mary}} = ? \text{john}_{\text{john}} \wedge K_K \text{mary}_{\text{mary}} = ? \text{golf}_{\text{golf}}$
- ▷ Two possible continuations:
  - ▷ project  $H = \lambda Z. Z$  (so  $A = ? \text{pe}$ )
  - ▷ project  $K = \lambda Z. Z$  (so  $\neg A = ? \text{pe}$ )
  - ▷ imitate  $K = \lambda Z. \text{golf}_{\text{golf}}$
  - ▷ imitate  $H = \lambda Z. \text{john}_{\text{john}}$
- ▷ then  $\boxed{\text{mary}_{\text{mary}} = ? \text{john}_{\text{john}}}$   
 $\text{golf}_{\text{golf}} = ? \text{golf}_{\text{golf}}$
- ▷ then  $\boxed{\text{john}_{\text{john}} = ? \text{john}_{\text{john}}}$   
 $\text{mary}_{\text{mary}} = ? \text{golf}_{\text{golf}}$
- ▷ *Mary* likes *Golf* (preferred)
- ▷ *John* likes *Mary*

# Chapter 14

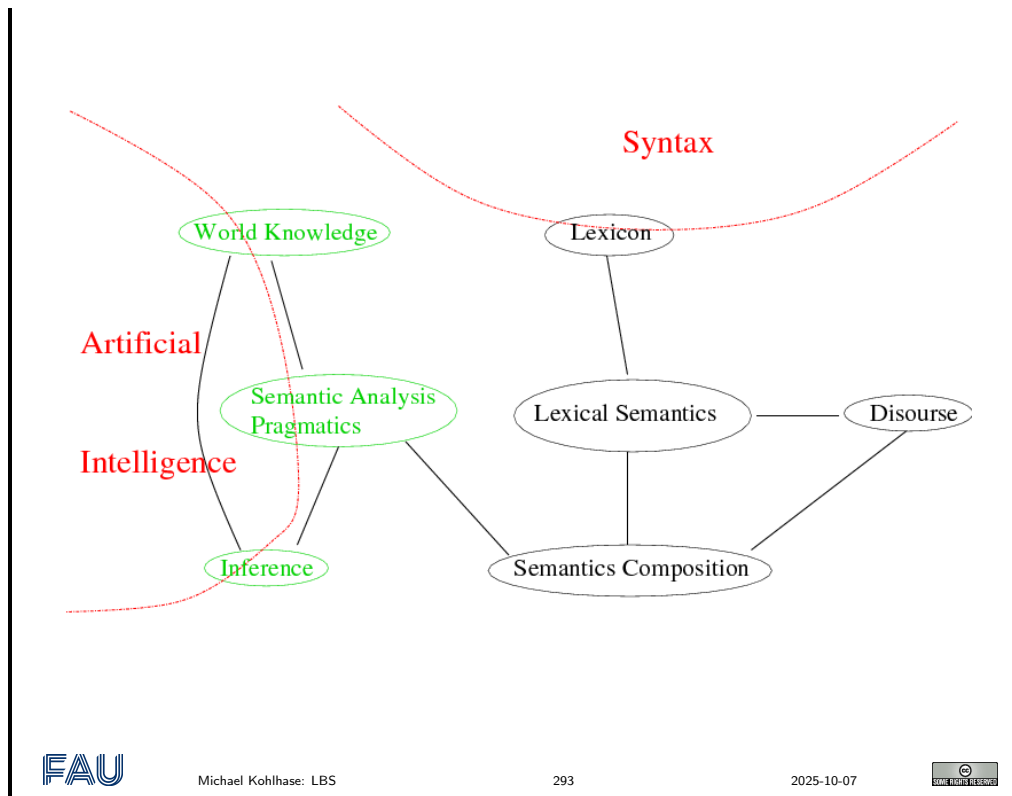
## Conclusion

### 14.1 A Recap in Diagrams



A landscape of formal semantics

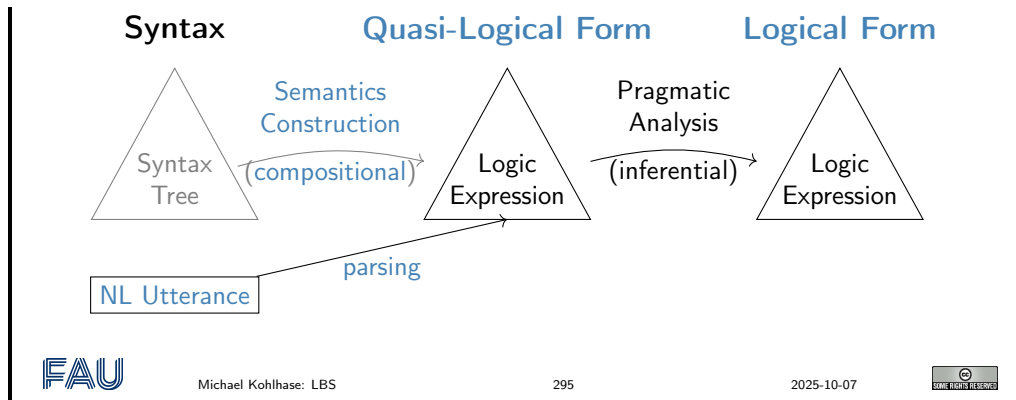




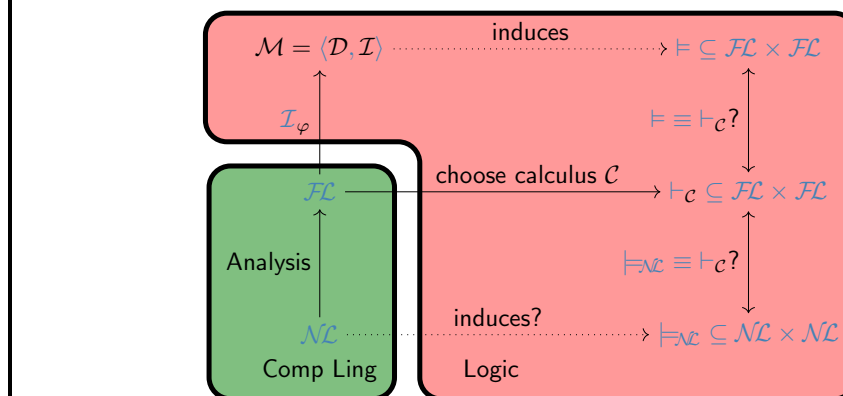
## Modeling Natural Language Semantics

- ▷ **Problem:** Find formal (logic) system for the meaning of natural language.
- ▷ History of ideas
  - ▷ Propositional logic [ancient Greeks like Aristotle]
    - \* “*Every human is mortal*”
  - ▷ First-Order Predicate logic [Frege ≤ 1900]
    - \* “*I believe, that my audience already knows this.*”
  - ▷ Modal logic [Lewis18, Kripke65]
    - \* “*A man sleeps. He snores.*”  $((\exists X.\text{man}(X) \wedge \text{sleeps}(X))) \wedge \text{snores}(X)$
  - ▷ Various dynamic approaches (e.g. DRT, DPL)
    - \* “*Most men wear black*”
  - ▷ Higher-order Logic, e.g. generalized quantifiers
  - ▷ ...

## A Semantic Processing Pipeline based on LF



## Natural Language Semantics?



## 14.2 Where to From Here

### Where to from here?

- ▷ We can continue the exploration of semantics in two different ways:
  - ▷ Look around for additional **logical/formal systems** and see how they can be applied to various linguistic problems. (the **logician's approach**)
  - ▷ Look around for additional linguistic forms and wonder about their **truth conditions**, their **logical forms**, and how to represent them. (the **linguist's approach**)
- ▷ Here are some possibilities...

### Semantics of Plurals

1. "*The dogs were barking.*"
2. "*Fido and Chester were barking.*" (What kind of an object do the subject NPs denote?)
3. "*Fido and Chester were barking. They were hungry.*"
4. "*Jane and George came to see me. She was upset.*" (Sometimes we need to look inside a plural!)
5. "*Jane and George have two children.*" (Each? Or together?)
6. "*Jane and George got married.*" (To each other? Or to other people?)
7. "*Jane and George met.*" (The predicate makes a difference to how we interpret the plural)

## Reciprocals

▷ What's required to make these true?

1. "*The men all shook hands with one another.*"
2. "*The boys are all sitting next to one another on the fence.*"
3. "*The students all learn from each other.*"

## Presuppositional expressions

- ▷ What are presuppositions?
- ▷ What expressions give rise to presuppositions?
- ▷ Are all apparent presuppositions really the same thing?

1. "*The window in that office is open.*"
2. "*The window in that office isn't open.*"
3. "*George knows that Jane is in town.*"
4. "*George doesn't know that Jane is in town.*"
5. "*It was / wasn't George who upset Jane.*"
6. "*Jane stopped / didn't stop laughing.*"
7. "*George is / isn't late.*"

## Presupposition projection

1. "*George doesn't know that Jane is in town.*"
2. "*Either Jane isn't in town or George doesn't know that she is.*"
3. "*If Jane is in town, then George doesn't know that she is.*"
4. "*Henry believes that George knows that Jane is in town.*"

## Conditionals

- ▷ What are the **truth conditions** of conditionals?

1. "*If Jane goes to the game, George will go.*"

- ▷ Intuitively, not made true by falsity of the antecedent or truth of consequent independent of antecedent.

2. "*If John is late, he must have missed the bus.*"

- ▷ Generally agreed that conditionals are modal in nature. Note presence of modal in consequent of each conditional above.

## Counterfactual conditionals

- ▷ And what about these??

1. "*If kangaroos didn't have tails, they'd topple over.*" (David Lewis)

2. "*If Woodward and Bernstein hadn't got on the Watergate trail, Nixon might never have been caught.*"

3. "*If Woodward and Bernstein hadn't got on the Watergate trail, Nixon would have been caught by someone else.*"

- ▷ Counterfactuals undoubtedly modal, as their evaluation depends on which alternative world you put yourself in.

## Before and after

- ▷ These seem easy. But **modality** creeps in again...

1. "*Jane gave up linguistics after she finished her dissertation.*" (Did she finish?)

2. "*Jane gave up linguistics before she finished her dissertation.*" (Did she finish? Did she start?)



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Part III

Excursions



As this [course](#) is predominantly about modeling [natural language](#) and not about the theoretical aspects of the logics themselves, we give the discussion about these as a “suggested readings” section part here.



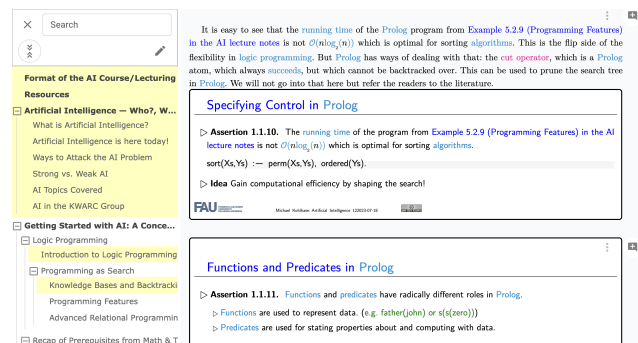
# Appendix A

## ALeA – AI-Supported Learning

In this chapter we introduce the **ALeA** (Adaptive Learning Assistant) system, a **learning support system** we will use to support **students** in LBS.

### ALeA: Adaptive Learning Assistant

- ▷ **Idea:** Use **AI** methods to help **teach/learn AI** (AI4AI)
- ▷ **Concretely:** Provide **HTML** versions of the LBS slides/**lecture notes** and embed **learning support services** into them. (for pre/postparation of lectures)
- ▷ **Definition A.0.1.** Call a **document active**, iff it is **interactive** and adapts to specific **information needs** of the **readers**. (lecture notes on steroids)
- ▷ **Intuition:** **ALeA** serves **active course materials**. (PDF mostly inactive)
- ▷ **Goal:** Make **ALeA** more like a **instructor** + **study group** than like a book!
- ▷ **Example A.0.2 (Course Notes).**  $\hat{=}$  Slides + Comments



~ yellow parts in table of contents (left) already covered in **lectures**.

The central idea in the AI4AI approach – using **AI** to support **learning AI** – and thus the **ALeA** system is that we want to make **course materials** – i.e. what we give to **students** for preparing and postparing **lectures** – more like **teachers** and **study groups** (only available 24/7) than like static books.



VoLL-KI Portal at <https://courses.voll-ki.fau.de>

▷ **Portal for ALeA Courses:** <https://courses.voll-ki.fau.de>



Artificial Intelligence - I

NOTES

SLIDES

CARDS

FORUM



IWGS - I

NOTES

SLIDES

CARDS

FORUM



Logic-based Natural Language Semantics

NOTES

SLIDES

CARDS

FORUM

▷ **LBS in ALeA:** <https://courses.voll-ki.fau.de/course-home/lbs>

- ▷ All details for the [course](#).
- ▷ recorded syllabus (keep track of material covered in course)
- ▷ syllabus of the last [semesters](#) (for over/preview)

▷ **ALeA Status:** The [ALEA](#) system is deployed at FAU for over 1000 [students](#) taking eight [courses](#)

- ▷ (some) [students](#) use the system actively (our logs tell us)
- ▷ reviews are mostly positive/enthusiastic (error reports pour in)



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The [ALEA LBS page](#) is the central entry point for working with the [ALEA](#) system. You can get to all the components of the system, including two presentations of the [course](#) contents (notes- and slides-centric ones), the [flashcards](#), the localized forum, and the [quiz](#) dashboard.

We now come to the heart of the [ALEA](#) system: its [learning support services](#), which we will now briefly introduce. Note that this presentation is not really sufficient to understand what you may be getting out of them, you will have to try them, and interact with them sufficiently that the [learner model](#) can get a good estimate of your [competencies](#) to adapt the results to you.

## Learning Support Services in ALEA

- ▷ **Idea:** Embed [learning support services](#) into [active course materials](#).
- ▷ **Example A.0.3 (Definition on Hover).** Hovering on a (cyan) [term reference](#) reminds us of its definition. (even works recursively)

A Conce...

rch

### Heuristic Functions

▷ **Definition 1.1.11.** Let  $\Pi$  be a problem with [states](#)  $S$ . A [heuristic function](#) (or short [heuristic](#)) for  $\Pi$  is a [function](#)  $h: S \rightarrow \mathbb{R}_0^+ \cup \{\infty\}$  so that  $h(s) = 0$  whenever  $s$  is a [goal state](#).

**Definition 0.1.** A [search problem](#)  $(S, A, T, g)$  consists of a [set](#)  $S$  of [states](#), a [set](#)  $A$  of [actions](#), and a [transition model](#)  $T: A \times S \rightarrow \mathcal{P}(S)$  that assigns to any [action](#)  $a \in A$  and [state](#)  $s \in S$  a [set](#) of [successor states](#). Certain [states](#) in  $S$  are designated as [goal states](#) ( $G \subseteq S$ ) and [initial states](#)  $I \subseteq S$ . A [goal state](#), or  $\infty$  if no such path exists, is called the [goal distance function](#) for  $\Pi$ .

- ▷ **Example A.0.4 (More Definitions on Click).** Clicking on a (cyan) [term reference](#) shows us more definitions from other contexts.

▷ **Axiom 0.1 (SAT: A kind of CSP).** SAT can be viewed as a CSP problem in which all variable domains are Boolean, and the constraints have unbounded arity.

▷ **Theorem 0.1 (Encoding CSP as SAT).** Given any constraint network  $\mathcal{C}$ , we can in low

▷ Symbol CNF

DM(de) All(en) DM(en)

▷ A formula is in **conjunctive normal form (CNF)** if it is a conjunction of disjunctions of literals: i.e. if it is of the form  $\bigwedge_{i=1}^n \bigvee_{j=1}^{m_i} l_{ij}$

CLOSE

▷ **Axiom 0.1 (SAT: A kind of CSP).** SAT can be viewed as a CSP problem in which all variable domains are Boolean, and the constraints have unbounded arity.

▷ **Theorem 0.1 (Encoding CSP as SAT).** Given any constraint network  $\mathcal{C}$ , we can in low

▷ Symbol CNF

DM(de) All(en) DM(en)

A **literal** is an **atomic formula** or a **negation** of one. A formula is said to be in

- **negation normal form (NNF)**, iff **negations** are **literals**.
- **conjunctive normal form (CNF)**, iff it is a **conjunction** of **disjunctions** of **literals**.
- **disjunctive normal form (DNF)**, iff it is a **disjunction** of **conjunctions** of **literals**.

CLOSE

▷ **Axiom 0.1 (SAT: A kind of CSP).** SAT can be viewed as a CSP problem in which all variable domains are Boolean, and the constraints have unbounded arity.

▷ **Theorem 0.1 (Encoding CSP as SAT).** Given any constraint network  $\mathcal{C}$ , we can in low

▷ Symbol CNF

DM(de) All(en) DM(en)

Ein **Literal** ist eine **atomare Formel** or die **Negation** einer solchen. Wir sagen, dass eine **Formel** eine

- **Negationsnormalform (NNF)** ist, wenn alle darin vorkommenden **Negationen** **Literale** sind.
- **konjunktive Normalform (CNF)** ist, wenn sie eine **Konjunktion** von **Diskunktionen** von **Literalen** ist.
- **disjunktive Normalform (DNF)** ist, wenn sie eine **Disjunktion** von **Konjunktionen** von **Literalen** ist.

CLOSE

- ▷ **Example A.0.5 (Guided Tour).** A [guided tour](#) for a concept  $c$  assembles defini-

tions/etc. into a self-contained mini-course culminating at  $c$ .

$c = \text{count-able} \leadsto$

- ▷ **Example A.0.6 (Problems Everywhere).** We can deploy personalized practice problems that explore/
  - ▷ at the end of a section  $S$ , based on the symbols introduced in  $S$  (review knowledge)
  - ▷ before a new section  $S$ , based on the symbols used in it. (traffic light)
  - ▷ ... in all generated materials.
- ▷ ... your idea here ... If the semantics supports it, we can build it! (the sky is the limit)



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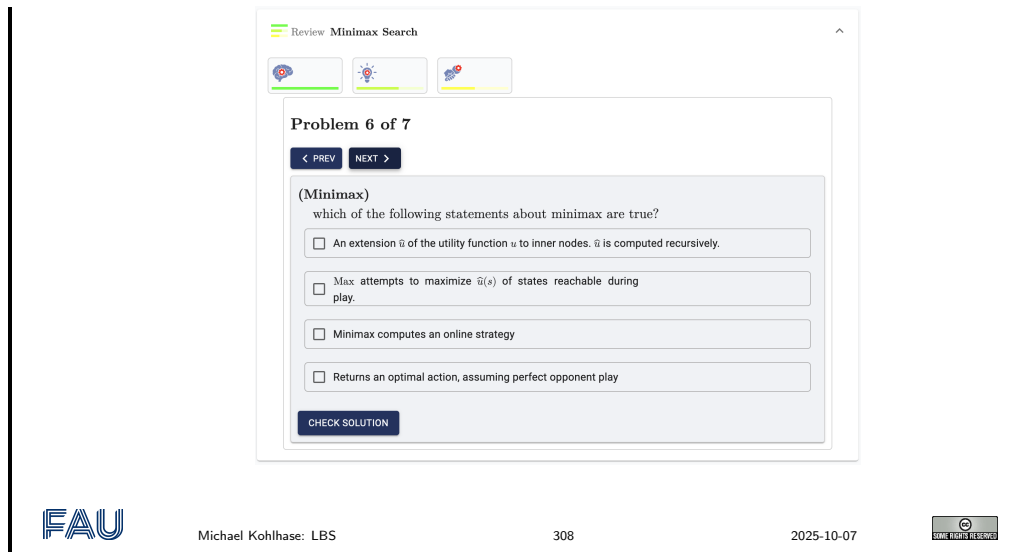
Note that this is only an initial collection of [learning support services](#), we are constantly working on additional ones. Look out for feature notifications ( ) on the upper right hand of the [ALeA](#) screen.

## (Practice/Remedial) Problems Everywhere

- ▷ **Problem:** Learning requires a mix of understanding and test-driven practice.
- ▷ **Idea:** ALeA supplies targeted practice problems everywhere.
- ▷ **Concretely:** Revision markers at the end of sections.
  - ▷ A relatively non-intrusive overview over [competency](#)

- ▷ Click to extend it for details.

- ▷ Practice problems as usual. (targeted to your specific competency)



While the [learning support services](#) up to now have been addressed to individual [learners](#), we now turn to services addressed to communities of [learners](#), ranging from [study groups](#) with three [learners](#), to whole [courses](#), and even – eventually – all the alumni of a [course](#), if they have not de-registered from [ALeA](#).

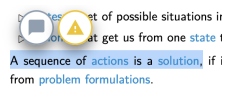
Currently, the community aspect of [ALeA](#) only consists in [localized interactions](#) with the [course materials](#).

The [ALeA](#) system uses the semantic structure of the [course materials](#) to [localize](#) some [interactions](#) that are otherwise often from separate applications. Here we see two:

1. one for reporting content errors – and thus making the material better for all [learners](#) – and
2. a [localized](#) course forum, where forum threads can be attached to [learning objects](#).

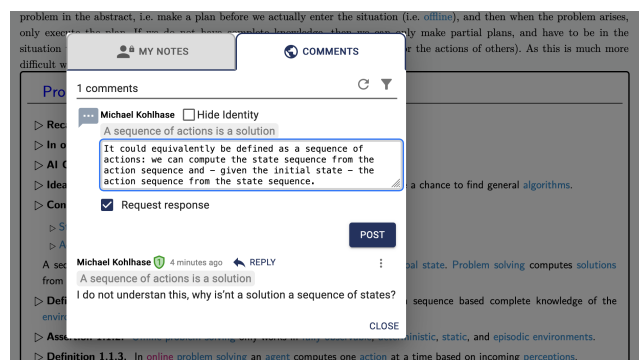
## Localized Interactions with the Community

- ▷ Selecting [text](#) brings up [localized](#) – i.e. anchored on the selection – [interactions](#):



- ▷ post a (public) comment or take (private) note
- ▷ report an [error](#) to the [course authors/instructors](#)

- ▷ [Localized](#) comments induce a thread in the [ALeA](#) forum (like the StudOn Forum, but [targeted towards specific learning objects](#).)



▷ Answering questions gives **karma**  $\hat{=}$  a public measure of **user** helpfulness.

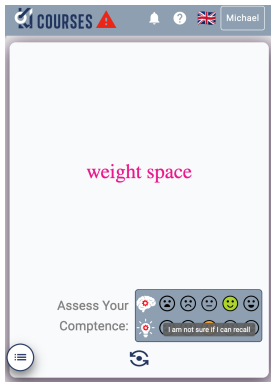
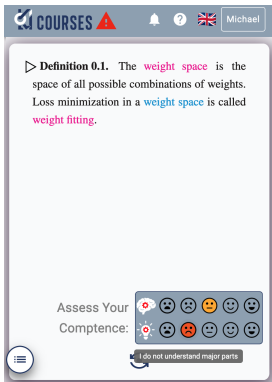
▷ Notes can be anonymous (↪ **generate no karma**)


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We can use the same four models discussed in the space of **guided tours** to deploy additional **learning support services**, which we now discuss.

## New Feature: Drilling with Flashcards

▷ **Flashcards** challenge you with a **task** (term/problem) on the **front**...

... and the definition/answer is on the **back**.

▷ **Self-assessment** updates the **learner model** (before/after)

▷ **Idea:** Challenge yourself to a **card stack**, keep drilling/assessing **flashcards** until the **learner model** eliminates all.

▷ **Bonus:** **Flashcards** can be generated from existing semantic markup (**educational equivalent to free beer**)


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We have already seen above how the **learner model** can drive the **drilling with flashcards**. It can also be used for the configuration of **card stacks** by configuring a **domain** e.g. a section in the **course materials** and a **competency** threshold.

We now come to a very important issue that we always face when we do **AI systems** that **interface** with humans. Most web technology companies that take one the approach “the **user** pays for the services with their **personal data**, which is sold on” or integrate advertising for remuneration. Both are not acceptable in university setting.

But abstaining from monetizing **personal data** still leaves the problem how to protect it from intentional or accidental misuse. Even though the **General Data Protection Regulation** has quite extensive exceptions for research, the **ALeA** system – a research prototype – adheres to the principles and mandates of the **General Data Protection Regulation**. In particular it makes sure that **personal data** of the **learners** is only used in **learning support services** directly or indirectly initiated by the **learners** themselves.

## Learner Data and Privacy in ALEA

- ▷ **Observation:** Learning support services in ALeA use the learner model; they
  - ▷ need the learner model data to adapt to the individual learner!
  - ▷ collect learner interaction data (to update the learner model)
- ▷ **Consequence:** You need to be logged in (via your FAU IDM credentials) for useful learning support services!
- ▷ **Problem:** Learner model data is highly sensitive personal data!
- ▷ **ALeA Promise:** The ALeA team does the utmost to keep your personal data safe. (SSO via FAU IDM/eduGAIN, ALeA trust zone)
- ▷ **ALeA Privacy Axioms:**
  1. ALeA only collects learner models data about logged in users.
  2. Personally identifiable learner model data is only accessible to its subject (delegation possible)
  3. Learners can always query the learner model about its data.
  4. All learner model data can be purged without negative consequences (except usability deterioration)
  5. Logging into ALeA is completely optional.
- ▷ **Observation:** Authentication for bonus quizzes are somewhat less optional, but you can always purge the learner model later.



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So, now that you have an overview over what the ALeA system can do for you, let us see what you have to concretely do to be able to use it.

## Concrete Todos for ALeA

- ▷ **Recall:** You will use ALeA for the prequizzes (or lose bonus points)  
All other use is optional. (but AI-supported pre/postparation can be helpful)
- ▷ To use the ALeA system, you will have to log in via SSO: (do it now)
  - ▷ go to <https://courses.voll-ki.fau.de/course-home/lbs>,
  - ▷ in the upper right hand corner you see ,
  - ▷ log in via your FAU IDM credentials. (you should have them by now)
  - ▷ You get access to your personal ALeA profile via   
(plus feature notifications, manual, and language chooser)
- ▷ **Problem:** Most ALeA services depend on the learner model. (to adapt to you)
- ▷ **Solution:** Initialize your learner model with your educational history!
  - ▷ **Concretely:** enter taken CS courses (FAU equivalents) and grades.
  - ▷ ALeA uses that to estimate your CS/AI competencies. (for your benefit)
  - ▷ then ALeA knows about you; I don't! (ALeA trust zone)



Even if you did not understand some of the [AI jargon](#) or the underlying methods (yet), you should be good to go for using the [ALEA](#) system in your day-to-day work.

## Appendix B

# Properties of the Simply Typed $\lambda$ Calculus

### B.1 Computational Properties of $\lambda$ -Calculus

As we have seen above, the main contribution of the  $\lambda$ -calculus is that it casts the comprehension and (functional) extensionality axioms in a way that is more amenable to automation in reasoning systems, since they can be oriented into a confluent and terminating reduction system. In this section we prove the respective properties. We start out with termination, since we will need it later in the proof of confluence.

#### B.1.1 Termination of $\beta$ -reduction

We will use the termination of  $=_\beta$  reduction to present a very powerful proof method, called the “logical relations method”, which is one of the basic proof methods in the repertoire of a proof theorist, since it can be extended to many situations, where other proof methods have no chance of succeeding.

Before we start into the termination proof, we convince ourselves that a straightforward induction over the structure of expressions will not work, and we need something more powerful.

#### Termination of $\beta$ -Reduction

▷ only holds for the typed case

$(\lambda X.XX) (\lambda X.XX) \rightarrow_\beta (\lambda X.XX) (\lambda X.XX)$

▷ **Theorem B.1.1 (Typed  $\beta$ -Reduction terminates).** *For all  $A \in \text{wff}_\alpha(\Sigma_\mathcal{T}, \mathcal{V}_\mathcal{T})$ , the chain of reductions from  $A$  is finite.*

▷ proof attempts:

▷ Induction on the structure  $A$  must fail, since this would also work for the untyped case.

▷ Induction on the type of  $A$  must fail, since  $\beta$ -reduction conserves types.

▷ combined induction on both: Logical Relations [Tait 1967]



The overall shape of the proof is that we reason about two relations:  $SR$  and  $LR$  between  $\lambda$ -terms and their types. The first is the one that we are interested in,  $LR(\mathbf{A}, \alpha)$  essentially states the property that  $=_{\beta\eta}$  reduction terminates at  $\mathbf{A}$ . Whenever the proof needs to argue by induction on types it uses the “logical relation”  $LR$ , which is more “semantic” in flavor. It coincides with  $SR$  on base types, but is defined via a functionality property.

### Relations $SR$ and $LR$

- ▷ **Definition B.1.2.**  $\mathbf{A}$  is called **strongly reducing** at type  $\alpha$  (write  $SR(\mathbf{A}, \alpha)$ ), iff each chain  $\beta$ -reductions from  $\mathbf{A}$  terminates.
- ▷ **Definition B.1.3.** We define a **logical relation**  $LR$  inductively on the structure of the type
  - ▷  $\alpha$  base type:  $LR(\mathbf{A}, \alpha)$ , iff  $SR(\mathbf{A}, \alpha)$
  - ▷  $LR(\mathbf{C}, \alpha \rightarrow \beta)$ , iff  $LR(\mathbf{C} \mathbf{A}, \beta)$  for all  $\mathbf{A} \in \text{wff}_\alpha(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  with  $LR(\mathbf{A}, \alpha)$ .
- ▷ *Proof:* Termination Proof
  1.  $LR \subseteq SR$  (??? b))
  2.  $\mathbf{A} \in \text{wff}_\alpha(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  implies  $LR(\mathbf{A}, \alpha)$  (??? with  $\sigma = \emptyset$ )
  3. thus  $SR(\mathbf{A}, \alpha)$ .

□
- ▷ **Lemma B.1.4 ( $SR$  is closed under subterms).** If  $SR(\mathbf{A}, \alpha)$  and  $\mathbf{B}_\beta$  is a subterm of  $\mathbf{A}$ , then  $SR(\mathbf{B}, \beta)$ .
- ▷ *Proof sketch:* Every infinite  $\beta$  reduction from  $\mathbf{B}$  would be one from  $\mathbf{A}$ .

The termination proof proceeds in two steps, the first one shows that  $LR$  is a sub-relation of  $SR$ , and the second that  $LR$  is total on  $\lambda$ -terms. Together they give the termination result. The next result proves two important technical side results for the termination proofs in a joint induction over the structure of the types involved. The name “rollercoaster lemma” alludes to the fact that the argument starts with base type, where things are simple, and iterates through the two parts each leveraging the proof of the other to higher and higher types.

### $LR \subseteq SR$ (Rollercoaster Lemma)

- ▷ **Lemma B.1.5 (Rollercoaster Lemma).**
  - a) If  $h$  is a constant or variable of type  $\bar{\alpha}_n \rightarrow \alpha$  and  $SR(\mathbf{A}^i, \alpha^i)$ , then  $LR(h \bar{\mathbf{A}}^n, \alpha)$ .
  - b)  $LR(\mathbf{A}, \alpha)$  implies  $SR(\mathbf{A}, \alpha)$ .
- ▷ *Proof:* we prove both assertions by simultaneous induction on  $\alpha$ 
  1.  $\alpha$  base type
    - 1.1. a)
      - 1.1.1.  $h \bar{\mathbf{A}}^n$  is strongly reducing, since the  $\mathbf{A}^i$  are (brackets!)
      - 1.1.2. so  $LR(h \bar{\mathbf{A}}^n, \alpha)$  as  $\alpha$  is a base type ( $SR = LR$ )
    - 1.3. b)
 

by definition

3.  $\alpha = \beta \rightarrow \gamma$ 
  - 3.1. a)
    - 3.1.1. Let  $\mathcal{LR}(\mathbf{B}, \beta)$ .
    - 3.1.2. by IH b) we have  $\mathcal{SR}(\mathbf{B}, \beta)$ , and  $\mathcal{LR}((h \overline{\mathbf{A}^n}) \mathbf{B}, \gamma)$  by IH a)
    - 3.1.3. so  $\mathcal{LR}(h \overline{\mathbf{A}^n}, \alpha)$  by definition.
  - 3.3. b)
    - 3.3.1. Let  $\mathcal{LR}(\mathbf{A}, \alpha)$  and  $X_\beta \notin \text{free}(\mathbf{A})$ .
    - 3.3.2.  $\mathcal{LR}(X, \beta)$  by IH a) with  $n = 0$ , thus  $\mathcal{LR}(\mathbf{A} X, \gamma)$  by definition.
    - 3.3.3. By IH b) we have  $\mathcal{SR}(\mathbf{A} X, \gamma)$  and by ???  $\mathcal{SR}(\mathbf{A}, \alpha)$ .

□



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The part of the rollercoaster lemma we are really interested in is part b). But part a) will become very important for the case where  $n = 0$ ; here it states that constants and variables are  $\mathcal{LR}$ .

The next step in the proof is to show that all well-formed formulae are  $\mathcal{LR}$ . For that we need to prove closure of  $\mathcal{LR}$  under  $=_\beta$  expansion

### $\beta$ -Expansion Lemma

▷ **Lemma B.1.6.** *If  $\mathcal{LR}([\mathbf{B}/X](\mathbf{A}), \alpha)$  and  $\mathcal{LR}(\mathbf{B}, \beta)$  for  $X_\beta \notin \text{free}(\mathbf{B})$ , then  $\mathcal{LR}((\lambda X. \mathbf{A}) \mathbf{B}, \alpha)$ .*

▷ *Proof:*

1. Let  $\alpha = \overline{\gamma}^i \rightarrow \delta$  where  $\delta$  base type and  $\mathcal{LR}(\mathbf{C}^i, \gamma^i)$
2. It is sufficient to show that  $\mathcal{SR}((\lambda X. \mathbf{A}) \mathbf{B} \overline{\mathbf{C}}, \delta)$ , as  $\delta$  base type
3. We have  $\mathcal{LR}([\mathbf{B}/X](\mathbf{A}) \overline{\mathbf{C}}, \delta)$  by hypothesis and definition of  $\mathcal{LR}$ .
4. thus  $\mathcal{SR}([\mathbf{B}/X](\mathbf{A}) \overline{\mathbf{C}}, \delta)$ , as  $\delta$  base type.
5. in particular  $\mathcal{SR}([\mathbf{B}/X](\mathbf{A}), \alpha)$  and  $\mathcal{SR}(\mathbf{C}^i, \gamma^i)$  (subterms)
6.  $\mathcal{SR}(\mathbf{B}, \beta)$  by hypothesis and ???
7. So an infinite reduction from  $(\lambda X. \mathbf{A}) \mathbf{B} \overline{\mathbf{C}}$  cannot solely consist of redexes from  $[\mathbf{B}/X](\mathbf{A})$  and the  $\mathbf{C}^i$ .
8. so an infinite reduction from  $(\lambda X. \mathbf{A}) \mathbf{B} \overline{\mathbf{C}}$  must have the form

$$\begin{aligned}
 (\lambda X. \mathbf{A}) \mathbf{B} \overline{\mathbf{C}} &\rightarrow_\beta^* (\lambda X. \mathbf{A}') \mathbf{B}' \overline{\mathbf{C}'} \\
 &\rightarrow_\beta^1 ([\mathbf{B}'/X](\mathbf{A}')) \overline{\mathbf{C}'} \\
 &\rightarrow_\beta^* \dots
 \end{aligned}$$

where  $\mathbf{A} \rightarrow_\beta^* \mathbf{A}'$ ,  $\mathbf{B} \rightarrow_\beta^* \mathbf{B}'$  and  $\mathbf{C}^i \rightarrow_\beta^* \mathbf{C}^{i'}$

9. so we have  $[\mathbf{B}/X](\mathbf{A}) \rightarrow_\beta^* [\mathbf{B}'/X](\mathbf{A}')$

10. so we have the infinite reduction

$$\begin{aligned}
 ([\mathbf{B}/X](\mathbf{A})) \overline{\mathbf{C}} &\rightarrow_\beta^* ([\mathbf{B}'/X](\mathbf{A}')) \overline{\mathbf{C}'} \\
 &\rightarrow_\beta^* \dots
 \end{aligned}$$

which contradicts our assumption

□

▷ **Lemma B.1.7** ( $\mathcal{LR}$  is closed under  $\beta$ -expansion). If  $C \rightarrow_\beta D$  and  $\mathcal{LR}(D, \alpha)$ , so is  $\mathcal{LR}(C, \alpha)$ .



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Note that this Lemma is one of the few places in the termination proof, where we actually look at the properties of  $\beta$  reduction.

We now prove that every well-formed formula is related to its type by  $\mathcal{LR}$ . But we cannot prove this by a direct induction. In this case we have to strengthen the statement of the theorem – and thus the *induction hypothesis*, so that we can make the *step cases* go through. This is common for non-trivial induction proofs. Here we show instead that *every instance* of a well-formed formula is related to its type by  $\mathcal{LR}$ ; we will later only use this result for the cases of the *empty substitution*, but the stronger assertion allows a direct induction proof.

$A \in \text{wff}_\alpha(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  implies  $\mathcal{LR}(A, \alpha)$

▷ **Definition B.1.8.** We write  $\mathcal{LR}(\sigma)$  if  $\mathcal{LR}(\sigma(X_\alpha), \alpha)$  for all  $X \in \text{supp}(\sigma)$ .

▷ **Theorem B.1.9.** If  $A \in \text{wff}_\alpha(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ , then  $\mathcal{LR}(\sigma(A), \alpha)$  for any *substitution*  $\sigma$  with  $\mathcal{LR}(\sigma)$ .

▷ *Proof:* by induction on the structure of  $A$

1.  $A = X_\alpha \in \text{supp}(\sigma)$ 
  - 1.1. then  $\mathcal{LR}(\sigma(A), \alpha)$  by assumption
3.  $A = X \notin \text{supp}(\sigma)$ 
  - 3.1. then  $\sigma(A) = A$  and  $\mathcal{LR}(A, \alpha)$  by ??? with  $n = 0$ .
5.  $A \in \Sigma_{\mathcal{T}}$ 
  - 5.1. then  $\sigma(A) = A$  as above
7.  $A = BC$ 
  - 7.1. by IH  $\mathcal{LR}(\sigma(B), \gamma \rightarrow \alpha)$  and  $\mathcal{LR}(\sigma(C), \gamma)$
  - 7.2. so  $\mathcal{LR}((\sigma(B)) (\sigma(C)), \alpha)$  by definition of  $\mathcal{LR}$ .
9.  $A = \lambda X_\beta. C_\gamma$ 
  - 9.1. Let  $\mathcal{LR}(B, \beta)$  and  $\theta := \sigma, [B/X]$ , then  $\theta$  meets the conditions of the IH.
  - 9.2. Moreover  $(\sigma(\lambda X_\beta. C_\gamma)) B \rightarrow_\beta \sigma, [B/X](C) = \theta(C)$ .
  - 9.3. Now,  $\mathcal{LR}(\theta(C), \gamma)$  by IH and thus  $\mathcal{LR}((\sigma(A)) B, \gamma)$  by ???.
  - 9.4. So  $\mathcal{LR}(\sigma(A), \alpha)$  by definition of  $\mathcal{LR}$ .

□



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In contrast to the proof of the roller coaster Lemma above, we prove the assertion here by an induction on the structure of the  $\lambda$ -terms involved. For the *base cases*, we can directly argue with the first assertion from ???, and the application case is immediate from the definition of  $\mathcal{LR}$ . Indeed, we defined the auxiliary relation  $\mathcal{LR}$  exclusively that the application case – which cannot be proven by a direct structural induction; remember that we needed induction on types in ??? – becomes easy.

The last case on  $\lambda$ -abstraction reveals why we had to strengthen the *induction hypothesis*:  $\beta$  reduction introduces a *substitution* which may increase the size of the subterm, which in turn

keeps us from applying the [induction hypothesis](#). Formulating the assertion directly under all possible  [\$\mathcal{LR}\$  substitutions](#) unblocks us here.

This was the last result we needed to complete the proof of termination of  $=_\beta$ -reduction.

**Remark:**

If we are only interested in the termination of head reductions, we can get by with a much simpler version of this lemma, that basically relies on the uniqueness of head  $=_\beta$  reduction.

### Closure under Head $\beta$ -Expansion (weakly reducing)

▷ **Lemma B.1.10 ( $\mathcal{LR}$  is closed under head  $\beta$ -expansion).** If  $C \rightarrow_\beta^h D$  and  $\mathcal{LR}(D, \alpha)$ , so is  $\mathcal{LR}(C, \alpha)$ .

▷ *Proof:* by induction over the structure of  $\alpha$

1.  $\alpha$  base type

1.1. we have  $\mathcal{SR}(D, \alpha)$  by definition

1.2. so  $\mathcal{SR}(C, \alpha)$ , since head reduction is unique

1.3. and thus  $\mathcal{LR}(C, \alpha)$ .

3.  $\alpha = \beta \rightarrow \gamma$

3.1. Let  $\mathcal{LR}(B, \beta)$ , by definition we have  $\mathcal{LR}(DB, \gamma)$ .

3.2. but  $C B \rightarrow_\beta^h D B$ , so  $\mathcal{LR}(CB, \gamma)$  by IH

3.3. and  $\mathcal{LR}(C, \alpha)$  by definition.

□

▷ **Note:** This result only holds for weak reduction (any chain of  $\beta$  head reductions terminates) for strong reduction we need a stronger Lemma.



For the termination proof of head  $=_\beta$ -reduction we would just use the same proof as above, just for a variant of  $\mathcal{SR}$ , where  $\mathcal{SR}(A, \alpha)$  that only requires that the head reduction sequence out of  $A$  terminates. Note that almost all of the proof except ??? (which holds by the same argument) is invariant under this change. Indeed Rick Statman uses this observation in [Sta85] to give a set of conditions when logical relations proofs work.

### B.1.2 Confluence of $\beta\eta$ Conversion

We now turn to the confluence for  $=_{\beta\eta}$ , i.e. that the order of reductions is irrelevant. This entails the uniqueness of  $=_{\beta\eta}$  normal forms, which is very useful.

Intuitively confluence of a relation  $R$  means that “anything that flows apart will come together again.” – and as a consequence normal forms are unique if they exist. But there is more than one way of formalizing that intuition.

### Confluence

▷ **Definition B.1.11 (Confluence).** Let  $R \subseteq A^2$  be a relation on a set  $A$ , then we say that

▷ has a **diamond property**, iff for every  $a, b, c \in A$  with  $a \rightarrow_R^1 b$   $a \rightarrow_R^1 c$  there is a  $d \in A$  with  $b \rightarrow_R^1 d$  and  $c \rightarrow_R^1 d$ .

▷ is **confluent**, iff for every  $a, b, c \in A$  with  $a \rightarrow_R^* b$   $a \rightarrow_R^* c$  there is a  $d \in A$  with  $b \rightarrow_R^* d$  and  $c \rightarrow_R^* d$ .

▷ **weakly confluent** iff for every  $a, b, c \in A$  with  $a \rightarrow_R^1 b$   $a \rightarrow_R^1 c$  there is a  $d \in A$  with  $b \rightarrow_R^* d$  and  $c \rightarrow_R^* d$ .

diamond  
property

confluent

weakly  
confluent

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The diamond property is very simple, but not many reduction relations enjoy it. Confluence is the notion that directly gives us unique normal forms, but is difficult to prove via a digram chase, while weak confluence is amenable to this, does not directly give us confluence.

We will now relate the three notions of confluence with each other: the diamond property (sometimes also called strong confluence) is stronger than confluence, which is stronger than weak confluence

### Relating the notions of confluence

- ▷ **Observation B.1.12.** *If a rewrite relation has a diamond property, then it is weakly confluent.*
- ▷ **Theorem B.1.13.** *If a rewrite relation has a diamond property, then it is confluent.*
- ▷ *Proof sketch:* by a tiling argument, composing  $1 \times 1$  diamonds to an  $n \times m$  diamond.
- ▷ **Theorem B.1.14 (Newman's Lemma).** *If a rewrite relation is terminating and weakly confluent, then it is also confluent.*



Note that Newman's Lemma cannot be proven by a tiling argument since we cannot control the growth of the tiles. There is a nifty proof by Gérard Huet [Hue80] that is worth looking at.

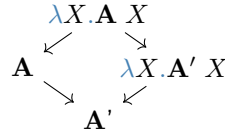
After this excursion into the general theory of reduction relations, we come back to the case at hand: showing the confluence of  $=_{\beta\eta}$ -reduction.

$\rightarrow_\eta^*$  is very well-behaved – i.e. confluent and terminating

### $\eta$ -Reduction ist terminating and confluent

- ▷ **Lemma B.1.15.**  *$\eta$ -Reduction ist terminating*
- ▷ *Proof sketch:* by a simple counting argument
- ▷ **Lemma B.1.16.**  *$\eta$ -reduction is confluent.*

- ▷ *Proof sketch:* We show that  $\eta$ -reduction has the diamond property by diagram chase over



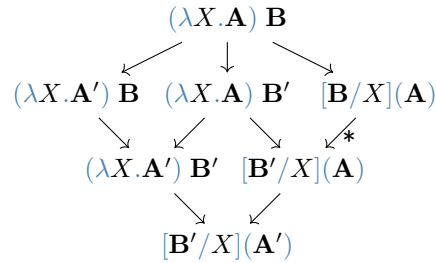
where  $A \rightarrow_{\eta} A'$ . Then the assertion follows by ???.



For  $=_{\beta}$ -reduction the situation is a bit more involved, but a simple diagram chase is still sufficient to prove weak confluence, which gives us confluence via ???

### $=_{\beta}$ is confluent

- ▷ **Lemma B.1.17.**  $=_{\beta}$ -Reduction is weakly confluent.
- ▷ *Proof sketch:* by diagram chase over



- ▷ **Corollary B.1.18.**  $=_{\beta}$ -Reduction is confluent.
- ▷ *Proof sketch:* by Newman's Lemma.



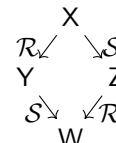
There is one reduction in the diagram in the proof of ??? which (note that  $B$  can occur multiple times in  $[B/X](A)$ ) is not necessary single-step. The diamond property is broken by the outer two reductions in the diagram as well.

We have shown that the  $=_{\beta}$  and  $=_{\eta}$  reduction relations are terminating and confluent and terminating individually, now, we have to show that  $=_{\beta\eta}$  is a well. For that we introduce a new concept.

### Commuting Relations

- ▷ **Definition B.1.19.** Let  $A$  be a set, then we say that relations  $\mathcal{R} \in A^2$  and  $\mathcal{S} \in A^2$  **commute**, if  $X \rightarrow_{\mathcal{R}} Y$  and  $X \rightarrow_{\mathcal{S}} Z$  entail the existence of a  $W \in A$  with  $Y \rightarrow_{\mathcal{S}} W$  and  $Z \rightarrow_{\mathcal{R}} W$ .

- ▷ **Observation B.1.20.** If  $\mathcal{R}$  and  $\mathcal{S}$  commute, then  $\rightarrow_{\mathcal{R}}$  and  $\rightarrow_{\mathcal{S}}$  do as well.



- ▷ **Observation B.1.21.**  $\mathcal{R}$  is confluent, if  $\mathcal{R}$  commutes with itself.
- ▷ **Lemma B.1.22.** If  $\mathcal{R}$  and  $\mathcal{S}$  are terminating and confluent relations such that  $\rightarrow^*_{\mathcal{R}}$  and  $\rightarrow^*_{\mathcal{S}}$  commute, then  $\rightarrow^*_{\mathcal{R} \cup \mathcal{S}}$  is confluent.
- ▷ *Proof sketch:* As  $\mathcal{R}$  and  $\mathcal{S}$  commute, we can reorder any reduction sequence so that all  $\mathcal{R}$ -reductions precede all  $\mathcal{S}$ -reductions. As  $\mathcal{R}$  is terminating and confluent, the  $\mathcal{R}$ -part ends in a unique normal form, and as  $\mathcal{S}$  is normalizing it must lead to a unique normal form as well.



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This directly gives us our goal.

$\rightarrow^*_{\beta\eta}$  is confluent

- ▷ **Lemma B.1.23.**  $\rightarrow^*_{\beta}$  and  $\rightarrow^*_{\eta}$  commute.
- ▷ *Proof sketch:* diagram chase



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## B.2 The Semantics of the Simply Typed $\lambda$ -Calculus

The semantics of  $\Lambda^{\rightarrow}$  is structured around the types. Like the models we discussed before, a model (we call them “algebras”, since we do not have truth values in  $\Lambda^{\rightarrow}$ ) is a pair  $\langle \mathcal{D}, \mathcal{I} \rangle$ , where  $\mathcal{D}$  is the universe of discourse and  $\mathcal{I}$  is the interpretation of constants.

### Semantics of $\Lambda^{\rightarrow}$

- ▷ **Definition B.2.1.** We call a collection  $\mathcal{D}_{\mathcal{T}} := \{\mathcal{D}_{\alpha} \mid \alpha \in \mathcal{T}\}$  a **typed collection** (of sets) and a collection  $f_{\mathcal{T}}: \mathcal{D}_{\mathcal{T}} \rightarrow \mathcal{E}_{\mathcal{T}}$ , a **typed function**, iff  $f_{\alpha}: \mathcal{D}_{\alpha} \rightarrow \mathcal{E}_{\alpha}$ .
- ▷ **Definition B.2.2.** A typed collection  $\mathcal{D}_{\mathcal{T}}$  is called a **frame**, iff  $\mathcal{D}_{\alpha \rightarrow \beta} \subseteq \mathcal{D}_{\alpha} \rightarrow \mathcal{D}_{\beta}$ .
- ▷ **Definition B.2.3.** Given a **frame**  $\mathcal{D}_{\mathcal{T}}$ , and a **typed function**  $\mathcal{I}: \Sigma \rightarrow \mathcal{D}$ , we call  $\mathcal{I}_{\varphi}: \text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}}) \rightarrow \mathcal{D}$  the **value function** induced by  $\mathcal{I}$ , iff
  1.  $\mathcal{I}_{\varphi}|_{\mathcal{V}_{\mathcal{T}}} = \varphi$ ,  $\mathcal{I}_{\varphi}|_{\Sigma_{\mathcal{T}}} = \mathcal{I}$ ,
  2.  $\mathcal{I}_{\varphi}(\mathbf{A} \ \mathbf{B}) = \mathcal{I}_{\varphi}(\mathbf{A})(\mathcal{I}_{\varphi}(\mathbf{B}))$ , and
  3.  $\mathcal{I}_{\varphi}(\lambda X_{\alpha}. \mathbf{A})$  is that **function**  $f \in \mathcal{D}_{\alpha \rightarrow \beta}$ , such that  $f(a) = \mathcal{I}_{\varphi, [a/X]}(\mathbf{A})$  for all  $a \in \mathcal{D}_{\alpha}$ .
- ▷ **Note:** Not every  $\lambda$ -term has a  $\mathcal{I}_{\varphi}$ -value as we have only required  $\mathcal{D}_{\alpha \rightarrow \beta} \subseteq \mathcal{D}_{\alpha} \rightarrow \mathcal{D}_{\beta}$  for **frames**. (there might not be enough functions)
- ▷ **Definition B.2.4.** We call  $\langle \mathcal{D}, \mathcal{I} \rangle$ , where  $\mathcal{D}$  is a **frame** and  $\mathcal{I}$  is a **typed function comprehension closed** or a  **$\Sigma_{\mathcal{T}}$ -algebra**, iff  $\mathcal{I}_{\varphi}: \text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}}) \rightarrow \mathcal{D}$  is **total**.
- ▷ **Theorem B.2.5.**  $=_{\alpha\beta\eta}$  (seen as a **calculus**) is **sound** and **complete** for  $\Sigma$ -algebras.
- ▷ **Upshot for LBS:**  $\Lambda^{\rightarrow}$  is the **logical system** for reasoning about **functions**!

The definition of the semantics in Definition B.2.3 is surprisingly simple. The only part that is new at all is the third clause, and there we already know the trick with treating binders by extending the variable assignment from quantifiers in first-order logic.

The real subtlety is in the definition of [frames](#), where instead of requiring  $\mathcal{D}_{\alpha \rightarrow \beta} = \mathcal{D}_{\alpha} \rightarrow \mathcal{D}_{\beta}$  (full function universes we have only required  $\mathcal{D}_{\alpha \rightarrow \beta} \subseteq \mathcal{D}_{\alpha} \rightarrow \mathcal{D}_{\beta}$ , which necessitates the post-hoc definition of a  $\Sigma_{\mathcal{T}}$ -algebra. But the added complexity gives us [thm.abe-sound-complete](#).

### B.2.1 Soundness of the Simply Typed $\lambda$ -Calculus

We will now show is that  $=_{\alpha\beta\eta}$ -reduction does not change the value of formulae, i.e. if  $\mathbf{A} =_{\alpha\beta\eta} \mathbf{B}$ , then  $\mathcal{I}_{\varphi}(\mathbf{A}) = \mathcal{I}_{\varphi}(\mathbf{B})$ , for all  $\mathcal{D}$  and  $\varphi$ . We say that the reductions are [sound](#). As always, the main tool for proving soundness is a substitution value lemma. It works just as always and verifies that we the definitions are in our semantics plausible.

#### Substitution Value Lemma for $\lambda$ -Terms

▷ **Lemma B.2.6 (Substitution Value Lemma).** *Let  $\mathbf{A}$  and  $\mathbf{B}$  be terms, then  $\mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{A})) = \mathcal{I}_{\psi}(\mathbf{A})$ , where  $\psi = \varphi, [\mathcal{I}_{\varphi}(\mathbf{B})/X]$*

▷ *Proof:* by induction on the depth of  $\mathbf{A}$

*we have five cases*

1.  $\mathbf{A} = X$

1.1. Then  $\mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{A})) = \mathcal{I}_{\varphi}([\mathbf{B}/X](X)) = \mathcal{I}_{\varphi}(\mathbf{B}) = \psi(X) = \mathcal{I}_{\psi}(X) = \mathcal{I}_{\psi}(\mathbf{A})$ .

3.  $\mathbf{A} = Y \neq X$  and  $Y \in \mathcal{V}_{\mathcal{T}}$

3.1. then  $\mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{A})) = \mathcal{I}_{\varphi}([\mathbf{B}/X](Y)) = \mathcal{I}_{\varphi}(Y) = \varphi(Y) = \psi(Y) = \mathcal{I}_{\psi}(Y) = \mathcal{I}_{\psi}(\mathbf{A})$ .

5.  $\mathbf{A} \in \Sigma_{\mathcal{T}}$

5.1. This is analogous to the last case.

7.  $\mathbf{A} = \mathbf{C} \mathbf{D}$

7.1. then  $\mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{A})) = \mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{C} \mathbf{D})) = \mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{C})) ([\mathbf{B}/X](\mathbf{D})) = \mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{C})) (\mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{D}))) = \mathcal{I}_{\psi}(\mathbf{C}) (\mathcal{I}_{\psi}(\mathbf{D})) = \mathcal{I}_{\psi}(\mathbf{C} \mathbf{D}) = \mathcal{I}_{\psi}(\mathbf{A})$

9.  $\mathbf{A} = \lambda Y_{\alpha}. \mathbf{C}$

9.1. We can assume that  $X \neq Y$  and  $Y \notin \text{free}(\mathbf{B})$

9.2. Thus for all  $a \in \mathcal{D}_{\alpha}$  we have  $\mathcal{I}_{\varphi}([\mathbf{B}/X](\mathbf{A}))(a) = \mathcal{I}_{\varphi}([\mathbf{B}/X](\lambda Y. \mathbf{C}))(a) = \mathcal{I}_{\varphi}(\lambda Y. ([\mathbf{B}/X](\mathbf{C}))) (a) = \mathcal{I}_{\varphi, [a/Y]}([\mathbf{B}/X](\mathbf{C})) = \mathcal{I}_{\psi, [a/Y]}(\mathbf{C}) = \mathcal{I}_{\psi}(\lambda Y. \mathbf{C})(a) = \mathcal{I}_{\psi}(\mathbf{A})(a)$

□

#### Soundness of $\alpha\beta\eta$ -Equality

▷ **Theorem B.2.7.** *Let  $\mathcal{A} := \langle \mathcal{D}, \mathcal{I} \rangle$  be a  $\Sigma_{\mathcal{T}}$ -algebra and  $Y \notin \text{free}(\mathbf{A})$ , then  $\mathcal{I}_{\varphi}(\lambda X. \mathbf{A}) = \mathcal{I}_{\varphi}(\lambda Y. [Y/X] \mathbf{A})$  for all assignments  $\varphi$ .*



▷ *Proof:* by substitution value lemma

$$\begin{aligned}\mathcal{I}_\varphi(\lambda Y.[Y/X]\mathbf{A})@a &= \mathcal{I}_{\varphi,[a/Y]}([Y/X](\mathbf{A})) \\ &= \mathcal{I}_{\varphi,[a/X]}(\mathbf{A}) \\ &= \mathcal{I}_\varphi(\lambda X.\mathbf{A})@a\end{aligned}$$

□

▷ **Theorem B.2.8.** If  $\mathcal{A} := \langle \mathcal{D}, \mathcal{I} \rangle$  is a  $\Sigma_{\mathcal{T}}$ -algebra and  $X$  not *bound* in  $\mathbf{A}$ , then  $\mathcal{I}_\varphi((\lambda X.\mathbf{A}) \mathbf{B}) = \mathcal{I}_\varphi([\mathbf{B}/X](\mathbf{A}))$ .

▷ *Proof:* by substitution value lemma again

$$\begin{aligned}\mathcal{I}_\varphi((\lambda X.\mathbf{A}) \mathbf{B}) &= \mathcal{I}_\varphi(\lambda X.\mathbf{A})@\mathcal{I}_\varphi(\mathbf{B}) \\ &= \mathcal{I}_{\varphi,[\mathcal{I}_\varphi(\mathbf{B})/X]}(\mathbf{A}) \\ &= \mathcal{I}_\varphi([\mathbf{B}/X](\mathbf{A}))\end{aligned}$$

□

## Soundness of $\alpha\beta\eta$ (continued)

▷ **Theorem B.2.9.** If  $X \notin \text{free}(\mathbf{A})$ , then  $\mathcal{I}_\varphi(\lambda X.\mathbf{A} X) = \mathcal{I}_\varphi(\mathbf{A})$  for all  $\varphi$ .

▷ *Proof:* by calculation

$$\begin{aligned}\mathcal{I}_\varphi(\lambda X.\mathbf{A} X)@a &= \mathcal{I}_{\varphi,[a/X]}(\mathbf{A} X) \\ &= \mathcal{I}_{\varphi,[a/X]}(\mathbf{A})@\mathcal{I}_{\varphi,[a/X]}(X) \\ &= \mathcal{I}_\varphi(\mathbf{A})@\mathcal{I}_{\varphi,[a/X]}(X) \quad \text{as } X \notin \text{free}(\mathbf{A}). \\ &= \mathcal{I}_\varphi(\mathbf{A})@a\end{aligned}$$

□

▷ **Theorem B.2.10.**  $\alpha\beta\eta$ -equality is *sound* wrt.  $\Sigma_{\mathcal{T}}$ -algebras. (if  $\mathbf{A} =_{\alpha\beta\eta} \mathbf{B}$ , then  $\mathcal{I}_\varphi(\mathbf{A}) = \mathcal{I}_\varphi(\mathbf{B})$  for all assignments  $\varphi$ )

## B.2.2 Completeness of $\alpha\beta\eta$ -Equality

We will now show is that  $=_{\alpha\beta\eta}$ -equality is complete for the semantics we defined, i.e. that whenever  $\mathcal{I}_\varphi(\mathbf{A}) = \mathcal{I}_\varphi(\mathbf{B})$  for all variable assignments  $\varphi$ , then  $\mathbf{A} =_{\alpha\beta\eta} \mathbf{B}$ . We will prove this by a model existence argument: we will construct a model  $\mathcal{M} := \langle \mathcal{D}, \mathcal{I} \rangle$  such that if  $\mathbf{A} \neq_{\alpha\beta\eta} \mathbf{B}$  then  $\mathcal{I}_\varphi(\mathbf{A}) \neq \mathcal{I}_\varphi(\mathbf{B})$  for some  $\varphi$ .

As in other completeness proofs, the model we will construct is a “ground term model”, i.e. a

model where the carrier (the frame in our case) consists of ground terms. But in the  $\lambda$ -calculus, we have to do more work, as we have a non-trivial built-in equality theory; we will construct the “ground term model” from sets of normal forms. So we first fix some notations for them.

### Normal Forms in the simply typed $\lambda$ -calculus

▷ **Definition B.2.11.** We call a term  $A \in \text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  a  $\beta$  normal form iff there is no  $B \in \text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  with  $A \rightarrow_{\beta} B$ .

We call  $N$  a  $\beta$  normal form of  $A$ , iff  $N$  is a  $\beta$ -normal form and  $A \rightarrow_{\beta} N$ .

We denote the set of  $\beta$ -normal forms with  $\text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}}) \downarrow_{\beta\eta}$ .

The  $\eta$ - and  $\beta\eta$  normal forms are defined analogously.

▷ We have just proved that  $\beta$ ,  $\eta$ , and  $\beta\eta$ -reduction are terminating and confluent, so we have

▷ **Corollary B.2.12 (Normal Forms).** Every  $A \in \text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  has a unique  $\beta$  normal form ( $\beta\eta$ , long  $\beta\eta$  normal form), which we denote by  $A \downarrow_{\beta}$  ( $A \downarrow_{\beta\eta}$   $A \downarrow_{\beta\eta^!}$ ).



The term frames will be a quotient spaces over the equality relations of the  $\lambda$ -calculus, so we introduce this construction generally.

### Frames and Quotients

▷ **Definition B.2.13.** Let  $\mathcal{D}$  be a frame and  $\sim$  a typed equivalence relation on  $\mathcal{D}$ , then we call  $\sim$  a congruence on  $\mathcal{D}$ , iff  $f \sim f'$  and  $g \sim g'$  imply  $f(g) \sim f'(g')$ .

▷ **Definition B.2.14.** We call a congruence  $\sim$  functional, iff for all  $f, g \in \mathcal{D}_{\alpha \rightarrow \beta}$  the fact that  $f(a) \sim g(a)$  holds for all  $a \in \mathcal{D}_{\alpha}$  implies that  $f \sim g$ .

▷ **Example B.2.15.**  $=_{\beta}$  ( $=_{\beta\eta}$ ) is a (functional) congruence on  $\text{cwf}_{\mathcal{T}}(\Sigma_{\mathcal{T}})$  by definition.

▷ **Theorem B.2.16.** Let  $\mathcal{DT}$  be a  $\Sigma_{\mathcal{T}}$ -frame and  $\sim$  a functional congruence on  $\mathcal{D}$ , then the quotient space  $\mathcal{D}/\sim$  is a  $\Sigma_{\mathcal{T}}$ -frame.

▷ *Proof:*

1.  $\mathcal{D}/\sim = \{[f]_{\sim} \mid f \in \mathcal{D}\}$ , define  $[f]_{\sim}([a]_{\sim}) := [f(a)]_{\sim}$ .
2. This only depends on equivalence classes: Let  $f' \in [f]_{\sim}$  and  $a' \in [a]_{\sim}$ .
3. Then  $[f(a)]_{\sim} = [f'(a)]_{\sim} = [f'(a')]_{\sim} = [f(a')]_{\sim}$
4. To see that we have  $[f]_{\sim} = [g]_{\sim}$ , iff  $f \sim g$ , iff  $f(a) = g(a)$  since  $\sim$  is functional.
5. This is the case iff  $[f(a)]_{\sim} = [g(a)]_{\sim}$ , iff  $[f]_{\sim}([a]_{\sim}) = [g]_{\sim}([a]_{\sim})$  for all  $a \in \mathcal{D}_{\alpha}$  and thus for all  $[a]_{\sim} \in \mathcal{D}/\sim$ .

□



To apply this result, we have to establish that  $=_{\beta\eta}$ -equality is a functional congruence. We first establish  $=_{\beta\eta}$  as a functional congruence on  $\text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  and then specialize this result to show that it is also functional on  $\text{cwf}_{\mathcal{T}}(\Sigma_{\mathcal{T}})$  by a grounding argument.

### $\beta\eta$ -Equivalence as a Functional Congruence

▷ **Lemma B.2.17.**  $\beta\eta$ -equality is a functional congruence on  $\text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ .

▷ *Proof:* Let  $\mathbf{A} \mathbf{C} =_{\beta\eta} \mathbf{B} \mathbf{C}$  for all  $\mathbf{C}$  and  $X \in \mathcal{V}_{\mathcal{T}} \setminus (\text{free}(\mathbf{A}) \cup \text{free}(\mathbf{B}))$ .

1. then (in particular)  $\mathbf{A} X =_{\beta\eta} \mathbf{B} X$ , and
2.  $\lambda X. \mathbf{A} X =_{\beta\eta} \lambda X. \mathbf{B} X$ , since  $\beta\eta$ -equality acts on subterms.
3. By definition we have  $\mathbf{A} =_{\eta} \lambda X_{\alpha}. \mathbf{A} X =_{\beta\eta} \lambda X_{\alpha}. \mathbf{B} X =_{\eta} \mathbf{B}$ .

□

▷ **Definition B.2.18.** We call an **injective substitution**  $\sigma: \text{free}(\mathbf{C}) \rightarrow \Sigma_{\mathcal{T}}$  a **grounding substitution** for  $\mathbf{C} \in \text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ , iff no  $\sigma(X)$  occurs in  $\mathbf{C}$ .

▷ **Observation:** They always exist, since all  $\Sigma_{\alpha}$  are infinite and  $\text{free}(\mathbf{C})$  is finite.

▷ **Theorem B.2.19.**  $\beta\eta$ -equality is a functional congruence on  $\text{cwff}_{\mathcal{T}}(\Sigma_{\mathcal{T}})$ .

▷ *Proof:* We use ???

1. Let  $\mathbf{A}, \mathbf{B} \in \text{cwff}_{(\alpha \rightarrow \beta)}(\Sigma_{\mathcal{T}})$ , such that  $\mathbf{A} \neq_{\beta\eta} \mathbf{B}$ .
2. As  $\beta\eta$  is functional on  $\text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ , there must be a  $\mathbf{C}$  with  $\mathbf{A} \mathbf{C} \neq_{\beta\eta} \mathbf{B} \mathbf{C}$ .
3. Now let  $\mathbf{C}' := \sigma(\mathbf{C})$ , for a **grounding substitution**  $\sigma$ .
4. Any  $\beta\eta$  conversion sequence for  $\mathbf{A} \mathbf{C}' \neq_{\beta\eta} \mathbf{B} \mathbf{C}'$  induces one for  $\mathbf{A} \mathbf{C} \neq_{\beta\eta} \mathbf{B} \mathbf{C}$ .
5. Thus we have shown that  $\mathbf{A} \neq_{\beta\eta} \mathbf{B}$  entails  $\mathbf{A} \mathbf{C}' \neq_{\beta\eta} \mathbf{B} \mathbf{C}'$ .

□



**Note that:** the result for  $\text{cwff}_{\mathcal{T}}(\Sigma_{\mathcal{T}})$  is sharp. For instance, if  $\Sigma_{\mathcal{T}} = \{c_i\}$ , then  $\lambda X. X \neq_{\beta\eta} \lambda X. c$ , but  $(\lambda X. X) c =_{\beta\eta} c =_{\beta\eta} (\lambda X. c) c$ , as  $\{c\} = \text{cwff}_i(\Sigma_{\mathcal{T}})$  (it is a relatively simple exercise to extend this problem to more than one constant). The problem here is that we do not have a constant  $d_i$  that would help distinguish the two functions. In  $\text{wff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$  we could always have used a variable.

This completes the preparation and we can define the notion of a term algebra, i.e. a  $\Sigma_{\mathcal{T}}$ -algebra whose frame is made of  $=_{\beta\eta}$ -normal  $\lambda$ -terms.

### A Herbrand Model for $\Lambda^{\rightarrow}$

▷ **Definition B.2.20.** We call  $\mathcal{T}_{\beta\eta} := \langle \text{cwff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}) \downarrow_{\beta\eta}, \mathcal{I}^{\beta\eta} \rangle$  the  **$\Sigma$  term algebra**, if  $\mathcal{I}^{\beta\eta} = \text{Id}_{\Sigma_{\mathcal{T}}}$ .

▷ The name “term algebra” in the previous definition is justified by the following

▷ **Theorem B.2.21.**  $\mathcal{T}_{\beta\eta}$  is a  $\Sigma_{\mathcal{T}}$ -algebra

▷ *Proof:* We use the work we did above

1. Note that  $\text{cwff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}) \downarrow_{\beta\eta} = \text{cwff}_{\mathcal{T}}(\Sigma_{\mathcal{T}}) / =_{\beta\eta}$  and thus a  $\Sigma_{\mathcal{T}}$ -frame by ??? and ???.

2. So we only have to show that the value function  $\mathcal{I}^{\beta\eta} = \text{Id}_{\Sigma_{\mathcal{T}}}$  is total.
3. Let  $\varphi$  be an assignment into  $\text{cwf}f_{\mathcal{T}}(\Sigma_{\mathcal{T}})\downarrow_{\beta\eta}$ .
4. Note that  $\sigma := \varphi|_{\text{free}(\mathbf{A})}$  is a **substitution**, since  $\text{free}(\mathbf{A})$  is **finite**.
5. A simple induction on the structure of  $\mathbf{A}$  shows that  $\mathcal{I}^{\beta\eta}_{\varphi}(\mathbf{A}) = (\sigma(\mathbf{A}))\downarrow_{\beta\eta}$ .
6. So the value function is **total** since **substitution application** is.

□



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And as always, once we have a term model, showing completeness is a rather simple exercise. We can see that  $\alpha\beta\eta$ -equality is complete for the class of  $\Sigma_{\mathcal{T}}$ -algebras, i.e. if the equation  $\mathbf{A} = \mathbf{B}$  is valid, then  $\mathbf{A} =_{\alpha\beta\eta} \mathbf{B}$ . Thus  $\alpha\beta\eta$  equivalence fully characterizes equality in the class of all  $\Sigma_{\mathcal{T}}$ -algebras.

### Completeness of $\alpha\beta\eta$ -Equality

- ▷ **Theorem B.2.22.**  $\mathbf{A} = \mathbf{B}$  is valid in the class of  $\Sigma_{\mathcal{T}}$ -algebras, iff  $\mathbf{A} =_{\alpha\beta\eta} \mathbf{B}$ .
- ▷ *Proof:* For  $\mathbf{A}, \mathbf{B}$  closed this is a simple consequence of the fact that  $\mathcal{T}_{\beta\eta}$  is a  $\Sigma_{\mathcal{T}}$ -algebra.
  1. If  $\mathbf{A} = \mathbf{B}$  is valid in all  $\Sigma_{\mathcal{T}}$ -algebras, it must be in  $\mathcal{T}_{\beta\eta}$  and in particular  $\mathbf{A}\downarrow_{\beta\eta} = \mathcal{I}^{\beta\eta}(\mathbf{A}) = \mathcal{I}^{\beta\eta}(\mathbf{B}) = \mathbf{B}\downarrow_{\beta\eta}$  and therefore  $\mathbf{A} =_{\alpha\beta\eta} \mathbf{B}$ .
- If the equation has **free variables**, then the argument is more subtle.
  2. Let  $\sigma$  be a **grounding substitution** for  $\mathbf{A}$  and  $\mathbf{B}$  and  $\varphi$  the induced **variable assignment**.
  3. Thus  $\mathcal{I}^{\beta\eta}_{\varphi}(\mathbf{A}) = \mathcal{I}^{\beta\eta}_{\varphi}(\mathbf{B})$  is the  $\beta\eta$ -normal form of  $\sigma(\mathbf{A})$  and  $\sigma(\mathbf{B})$ .
  4. Since  $\varphi$  is a structure preserving homomorphism on well-formed formulae,  $\varphi^{-1}(\mathcal{I}^{\beta\eta}_{\varphi}(\mathbf{A}))$  is the  $\beta\eta$ -normal form of both  $\mathbf{A}$  and  $\mathbf{B}$  and thus  $\mathbf{A} =_{\alpha\beta\eta} \mathbf{B}$ .

□



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??? and ??? complete our study of the semantics of the **simply-typed  $\lambda$ -calculus** by showing that it is an adequate **logical system** for modeling (the equality) of **functions** and their applications.

## B.3 Simply Typed $\lambda$ -Calculus via Inference Systems

Now, we will look at the **simply typed  $\lambda$ -calculus** again, but this time, we will present it as an inference system for well-typedness judgments. This more modern way of developing type theories is known to scale better to new concepts.

### Simply Typed $\lambda$ -Calculus as an Inference System: Terms

- ▷ **Idea:** Develop the  $\lambda$ -calculus in two steps
  - ▷ A **context-free grammar** for “raw  $\lambda$ -terms” (for the structure)

- ▷ Identify the well-typed  $\lambda$ -terms in that (cook them until well-typed)

▷ **Definition B.3.1.** A grammar for the raw terms of the simply typed  $\lambda$ -calculus:

$$\begin{aligned} \alpha &::= c \mid \alpha \rightarrow \alpha \\ \Sigma &::= \cdot \mid \Sigma, [c : \text{type}] \mid \Sigma, [c : \alpha] \\ \Gamma &::= \cdot \mid \Gamma, [x : \alpha] \\ \mathbf{A} &::= c \mid X \mid \mathbf{A}^1 \mathbf{A}^2 \mid \lambda X_{\alpha}. \mathbf{A} \end{aligned}$$

- ▷ **Then:** Define all the operations that are possible at the “raw terms level”, e.g. realize that signatures and contexts are partial functions to types.

## Simply Typed $\lambda$ -Calculus as an Inference System: Judgments

- ▷ **Definition B.3.2.** **Judgments** make statements about complex properties of the syntactic entities defined by the grammar.

▷ **Definition B.3.3.** Judgments for the simply typed  $\lambda$ -calculus

|                                              |                                                                                    |
|----------------------------------------------|------------------------------------------------------------------------------------|
| $\vdash \Sigma : \text{sig}$                 | $\Sigma$ is a well-formed signature                                                |
| $\Sigma \vdash \alpha : \text{type}$         | $\alpha$ is a well-formed type given the type assumptions in $\Sigma$              |
| $\Sigma \vdash \Gamma : \text{ctx}$          | $\Gamma$ is a well-formed context given the type assumptions in $\Sigma$           |
| $\Gamma \vdash_{\Sigma} \mathbf{A} : \alpha$ | $\mathbf{A}$ has type $\alpha$ given the type assumptions in $\Sigma$ and $\Gamma$ |

## Simply Typed $\lambda$ -Calculus as an Inference System: Rules

- ▷ **Definition B.3.4.**  $\mathbf{A} \in \text{wff}_{\alpha}(\Sigma_{\mathcal{T}}, \mathcal{V}_{\mathcal{T}})$ , iff  $\Gamma \vdash_{\Sigma} \mathbf{A} : \alpha$  derivable in

$$\begin{array}{c} \frac{\Sigma \vdash \Gamma : \text{ctx} \quad \Gamma(X) = \alpha}{\Gamma \vdash_{\Sigma} X : \alpha} \text{wff var} \qquad \frac{\Sigma \vdash \Gamma : \text{ctx} \quad \Sigma(c) = \alpha}{\Gamma \vdash_{\Sigma} c : \alpha} \text{wff const} \\ \frac{\Gamma \vdash_{\Sigma} \mathbf{A} : \beta \rightarrow \alpha \quad \Gamma \vdash_{\Sigma} \mathbf{B} : \beta}{\Gamma \vdash_{\Sigma} \mathbf{A} \mathbf{B} : \alpha} \text{wff app} \qquad \frac{\Gamma, [X : \beta] \vdash_{\Sigma} \mathbf{A} : \alpha}{\Gamma \vdash_{\Sigma} \lambda X_{\beta}. \mathbf{A} : \beta \rightarrow \alpha} \text{wff abs} \end{array}$$

- ▷ **Oops:** this looks surprisingly like a natural deduction calculus. ( $\rightsquigarrow$  Curry-Howard isomorphism)
- ▷ To be complete, we need rules for well-formed signatures, types and contexts
- ▷ **Definition B.3.5.**

$$\begin{array}{c}
\frac{}{\vdash \cdot : \text{sig}} \text{sig empty} \qquad \frac{\vdash \Sigma : \text{sig}}{\vdash (\Sigma, [\alpha : \text{type}]) : \text{sig}} \text{sig type} \\
\frac{\vdash \Sigma : \text{sig} \quad \Sigma \vdash \alpha : \text{type}}{\vdash (\Sigma, [c : \alpha]) : \text{sig}} \text{sig const} \\
\frac{\Sigma \vdash \alpha : \text{type} \quad \Sigma \vdash \beta : \text{type}}{\Sigma \vdash (\alpha \rightarrow \beta) : \text{type}} \text{typ fn} \qquad \frac{\vdash \Sigma : \text{sig} \quad \Sigma(\alpha) = \text{type}}{\Sigma \vdash \alpha : \text{type}} \text{typ start} \\
\frac{\vdash \Sigma : \text{sig}}{\Sigma \vdash \cdot : \text{ctx}} \text{ctx empty} \qquad \frac{\Sigma \vdash \Gamma : \text{ctx} \quad \Sigma \vdash \alpha : \text{type}}{\Sigma \vdash (\Gamma, [X : \alpha]) : \text{ctx}} \text{ctx var}
\end{array}$$

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### Example: A Well-Formed Signature

▷ Let  $\Sigma := [\alpha : \text{type}], [f : \alpha \rightarrow \alpha \rightarrow \alpha]$ , then  $\Sigma$  is a well-formed signature, since we have derivations  $\mathcal{A}$  and  $\mathcal{B}$

$$\frac{\vdash \cdot : \text{sig}}{\vdash [\alpha : \text{type}] : \text{sig}} \text{sig type} \qquad \frac{\mathcal{A} \quad [\alpha : \text{type}](\alpha) = \text{type}}{[\alpha : \text{type}] \vdash \alpha : \text{type}} \text{typ start}$$

and with these we can construct the derivation  $\mathcal{C}$

$$\frac{\mathcal{B} \quad \frac{\mathcal{B} \quad \frac{\mathcal{B} \quad [\alpha : \text{type}] \vdash (\alpha \rightarrow \alpha) : \text{type}}{\mathcal{A} \quad [\alpha : \text{type}] \vdash (\alpha \rightarrow \alpha \rightarrow \alpha) : \text{type}} \text{typ fn}}{\vdash \Sigma : \text{sig}} \text{sig const}$$

### Example: A Well-Formed $\lambda$ -Term

▷ using  $\Sigma$  from above, we can show that  $\Gamma := [X : \alpha]$  is a well-formed context:

$$\frac{\frac{\mathcal{C}}{\Sigma \vdash \cdot : \text{ctx}} \text{ctx empty} \quad \frac{\mathcal{C} \quad \Sigma(\alpha) = \text{type}}{\Sigma \vdash \alpha : \text{type}} \text{typ start}}{\Sigma \vdash \Gamma : \text{ctx}} \text{ctx var}$$

We call this derivation  $\mathcal{G}$  and use it to show that

▷  $\lambda X_{\alpha}. f X X$  is well-typed and has type  $\alpha \rightarrow \alpha$  in  $\Sigma$ . This is witnessed by the type

derivation

$$\begin{array}{c}
\frac{\mathcal{C} \quad \Sigma(f) = \alpha \rightarrow \alpha \rightarrow \alpha}{\Gamma \vdash_{\Sigma} f : \alpha \rightarrow \alpha \rightarrow \alpha} \text{wff const} \quad \frac{\mathcal{G}}{\Gamma \vdash_{\Sigma} X : \alpha} \text{wff var} \\
\frac{\Gamma \vdash_{\Sigma} f : \alpha \rightarrow \alpha \rightarrow \alpha \quad \Gamma \vdash_{\Sigma} X : \alpha}{\Gamma \vdash_{\Sigma} f X : \alpha \rightarrow \alpha} \text{wff app} \quad \frac{\mathcal{G}}{\Gamma \vdash_{\Sigma} X : \alpha} \text{wff var} \\
\frac{\Gamma \vdash_{\Sigma} f X : \alpha \rightarrow \alpha \quad \Gamma \vdash_{\Sigma} X : \alpha}{\Gamma \vdash_{\Sigma} f X X : \alpha} \text{wff app} \\
\frac{\Gamma \vdash_{\Sigma} f X X : \alpha}{\vdash_{\Sigma} \lambda X_{\alpha}. f X X : \alpha \rightarrow \alpha} \text{wff abs}
\end{array}$$

## $\beta\eta$ -Equality by Inference Rules: One-Step Reduction

▷ **Definition B.3.6.** One-step Reduction ( $+ \in \{\alpha, \beta, \eta\}$ )

$$\begin{array}{c}
\frac{\Gamma, [X:\beta] \vdash_{\Sigma} \mathbf{A} : \alpha \quad \Gamma \vdash_{\Sigma} \mathbf{B} : \beta}{\Gamma \vdash_{\Sigma} (\lambda X. \mathbf{A}) \mathbf{B} \rightarrow_{\beta}^1 [\mathbf{B}/X](\mathbf{A})} \text{wff } \beta \text{ top} \\
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} : \beta \rightarrow \alpha \quad X \notin \text{dom}(\Gamma)}{\Gamma \vdash_{\Sigma} \lambda X. \mathbf{A} X \rightarrow_{\eta}^1 \mathbf{A}} \text{wff } \eta \text{ top} \\
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^1 \mathbf{B} \quad \Gamma \vdash_{\Sigma} \mathbf{A} \mathbf{C} : \alpha}{\Gamma \vdash_{\Sigma} \mathbf{A} \mathbf{C} \rightarrow_{+}^1 \mathbf{B} \mathbf{C}} \text{tr appfn} \\
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^1 \mathbf{B} \quad \Gamma \vdash_{\Sigma} \mathbf{C} \mathbf{A} : \alpha}{\Gamma \vdash_{\Sigma} \mathbf{C} \mathbf{A} \rightarrow_{+}^1 \mathbf{C} \mathbf{B}} \text{tr apparg} \\
\frac{\Gamma, [X:\alpha] \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^1 \mathbf{B}}{\Gamma \vdash_{\Sigma} \lambda X. \mathbf{A} \rightarrow_{+}^1 \lambda X. \mathbf{B}} \text{tr abs}
\end{array}$$

## $\beta\eta$ -Equality by Inference Rules: Multi-Step Reduction

▷ **Definition B.3.7.** Multi-Step-Reduction ( $+ \in \{\alpha, \beta, \eta\}$ )

$$\begin{array}{c}
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^1 \mathbf{B}}{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^* \mathbf{B}} \text{ms start} \quad \frac{\Gamma \vdash_{\Sigma} \mathbf{A} : \alpha}{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^* \mathbf{A}} \text{ms ref} \\
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^* \mathbf{B} \quad \Gamma \vdash_{\Sigma} \mathbf{B} \rightarrow_{+}^* \mathbf{C}}{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^* \mathbf{C}} \text{ms trans}
\end{array}$$

▷ Congruence Relation

$$\begin{array}{c}
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} \rightarrow_{+}^* \mathbf{B}}{\Gamma \vdash_{\Sigma} \mathbf{A} =_{+} \mathbf{B}} \text{eq start} \\
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} =_{+} \mathbf{B} \quad \Gamma \vdash_{\Sigma} \mathbf{B} =_{+} \mathbf{C}}{\Gamma \vdash_{\Sigma} \mathbf{A} =_{+} \mathbf{C}} \text{eq trans} \\
\frac{\Gamma \vdash_{\Sigma} \mathbf{A} =_{+} \mathbf{B}}{\Gamma \vdash_{\Sigma} \mathbf{B} =_{+} \mathbf{A}} \text{eq sym}
\end{array}$$

## Type Computation: Manage Types Algorithmically

**type check:** Is  $\Gamma \vdash_{\Sigma} \mathbf{A} : \alpha$ ?

▷ **Questions:** **type inference:** are there  $\Gamma, \alpha$ , such that  $\Gamma \vdash_{\Sigma} \mathbf{A} : \alpha$ ?

**type reconstruction** the above without type annotations at **bound variables**?

▷ **prenex fragment makes problems decidable** (see Curry-Howard isomorphism)

▷ **Algorithm (Hindley & Milner):**

- ▷ invert **inference rules**
- ▷ first-order unification,
- ▷ universal generalization, minimization

## Example Computation

rule tree

constraint

$$\begin{array}{c}
 \frac{[X:\alpha]}{\Gamma, [X:\beta]} \\
 \hline
 \frac{\Gamma, [X:\beta] \vdash_{\Sigma} X : \alpha \quad \Gamma \vdash_{\Sigma} \lambda X.X : \beta \rightarrow \alpha}{\Gamma \vdash_{\Sigma} \lambda X.X(\lambda Z.W) : \alpha} \\
 \frac{[W:\delta] \in \Gamma, [Z:\gamma]}{\Gamma, [Z:\gamma] \vdash_{\Sigma} W : \delta} \\
 \hline
 \Gamma \vdash_{\Sigma} \lambda Z.W : \beta
 \end{array}
 \quad
 \begin{array}{l}
 \alpha = \beta, \\
 [W:\delta] \in \Gamma, \\
 \beta = \gamma \rightarrow \delta
 \end{array}$$

▷ unification:  $\alpha = \beta = \gamma \rightarrow \delta$ ,

▷ minimization:  $\Gamma = [W:\delta]$

▷ **Solution:**  $[W:\delta]] \vdash_{\Sigma} \lambda X.X(\lambda Z.W) : \forall \gamma. \gamma \rightarrow \delta$





# Appendix C

## Higher-Order Dynamics

In this chapter we will develop a [typed  \$\lambda\$  calculus](#) that extend DRT-like dynamic logics like the [simply typed  \$\lambda\$  calculus](#) extends [first-order logic](#).

### C.1 Introduction

We start out our development of a Montague-like [compositional](#) treatment of dynamic [semantics construction](#) by naively “adding  $\lambda$ s” to [DRT](#) and deriving requirements from that.

### Making Montague Semantics Dynamic

---

▷ **Example C.1.1.** “*A man sleeps.*”

$$a\_man = \lambda Q. \left( \frac{U}{\text{man}(U)} \otimes Q(U) \right)$$

$$\text{sleep} = \lambda X. \left( \frac{}{\text{sleeps}(X)} \right)$$

Application and  $\beta$ -reduction:

$$a\_man\_sleep = a\_man(\text{sleep})$$

$$\xrightarrow{\beta} \left( \frac{U}{\text{man}(U)} \otimes \frac{}{\text{sleeps}(U)} \right) \xrightarrow{\tau} \frac{U}{\frac{\text{man}(U)}{\text{sleeps}(U)}}$$


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At the [sentence](#) level we just disregard that we have no idea how to interpret  [\$\lambda\$ -abstractions](#) over DRSEs and just proceed as in the static (first-order) case. Somewhat surprisingly, this works rather well, so we just continue at the [discourse](#) level.

### Coherent Text (Capturing Discourse Referents)

---

▷ **Example C.1.2.** “*A man<sup>1</sup> sleeps. He<sub>1</sub> snores.*”

$$\begin{array}{c}
(\lambda PQ.(P \otimes Q)) \text{ a\_man\_sleep he\_snore} \\
\rightarrow_{=\beta} \left( \lambda Q. \begin{array}{|c|} \hline U \\ \hline \text{man}(U) \\ \text{snores}(U) \\ \hline \end{array} \otimes Q \right) \begin{array}{|c|} \hline \\ \hline \text{snores}(U) \\ \hline \end{array} \\
\rightarrow_{\tau} \begin{array}{|c|} \hline U \\ \hline \text{man}(U) \\ \text{snores}(U) \\ \hline \end{array} \otimes \begin{array}{|c|} \hline \\ \hline \text{snores}(U) \\ \hline \end{array} \rightarrow_{\tau} \begin{array}{|c|} \hline U \\ \hline \text{man}(U) \\ \text{snores}(U) \\ \text{snores}(U) \\ \hline \end{array}
\end{array}$$

▷ **Example C.1.3 (Linear notation).**  $(\lambda Q.(\delta U.\text{man}(U) \wedge \text{snores}(U) \wedge Q(U))) \text{ he\_snore} \rightarrow_{\beta\tau} \delta U.\text{man}(U) \wedge \text{snores}(U) \wedge \text{snores}(U)$

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Here we have our first surprise: the second  $=_{\beta}$  reduction seems to **capture** the **discourse referent**  $U$ : intuitively it is “free” in  $\delta U.\text{snores}(U)$  and after  $=_{\beta}$  reduction it is under the influence of a  $\delta$  declaration. In the  $\lambda$ -calculus tradition **variable capture** is the great taboo, whereas in our example, **referent capture** seems to drive/enable **anaphor resolution**.

Considerations like the ones above have driven the development of many logical systems attempting the **compositional** treatment of dynamic logics. All were more or less severely flawed.

## Compositional Discourse Representation Theories

- ▷ Many logical systems
  - ▷ Compositional DRT (Zeevat, 1989 [Zee89])
  - ▷ Dynamic Montague Grammar (DMG Gronendijk/Stokhof 1990 [GS90])
  - ▷ CDRT (Muskens 1993/96 [Mus96])
  - ▷  $\lambda$ -DRT (Kohlhase/Kuschert/Pinkal 1995 [KKP96])
  - ▷ TLS (van Eijck 1996 [Eij97])
- ▷ **Problem:** Difficult to tell the differences or **make predictions!**
- ▷ **One Answer:** **Dynamic  $\lambda$ -calculus** [Kohlhase&Kuschert&Müller'96,98]
  - ▷ Augment type system by information on referents: a meta-logic that models different forms of accessibility as a parameter.

Here we will look at a system that makes the **referent capture** the central mechanism using an elaborate type system to describe referent visibility and thus accessibility. This generalization allows to understand and model the interplay of  $\lambda$ -bound variables and **discourse referents** without being distracted by linguistic modeling questions (which are relegated to giving appropriate types to the operators).

Another strong motivation for a higher-order treatment of dynamic logics is that maybe the computational semantic analysis methods based on higher-order features (mostly higher-order unification) can be analogously transferred to the dynamic setting.

### Motivation for the Future

- ▷ Higher-Order Unification Analyses of
  - ▷ Ellipsis (Dalrymple/Shieber/Pereira 1991 [DSP91])
  - ▷ Focus (Pulman 1994 [Pul94], Gardent/Kohlhase 1996 [GK96])
  - ▷ Corrections (Gardent/Kohlhase/van Leusen 1996 [GKL96])
  - ▷ Underspecification (Pinkal 1995 [Pin96])
- ▷ are based on **static** type theory [Mon74]
- ▷ **Higher-Order Dynamic Unification** needed for dynamic variants of these



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To set the stage for the development of a higher-order system for dynamic logic, let us remind ourselves of the setup of the static system

### Recap: Simple Type Theory

- ▷ **Structural layer**: simply typed  $\lambda$ -calculus
  - ▷ types, well-formed formulae,  $\lambda$ -abstraction
  - ▷ **Theory**:  $\alpha\beta\eta$ -conversion, **Operational**: Higher-Order Unification
- ▷ **Logical layer**: higher-order logic
  - ▷ special types  $\iota, o$
  - ▷ logical constants  $\wedge_{o \rightarrow o \rightarrow o}, \Rightarrow, \forall, \dots$  with fixed semantics
  - ▷ **Theory**: logical theory, **Operational**: higher-order theorem proving
- ▷ **Goal**: Develop two-layered approach to **compositional discourse** theories.
- ▷ **Application**: Dynamic Higher-Order Unification (DHOU) with structural layer only.



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This separation of concerns: structural properties of functions vs. a propositional reasoning level has been very influential in modeling static, intra-sentential properties of **natural language**, therefore we want to have a similar system for dynamic logics as well. We will use this as a guiding intuition below.

## C.2 Setting Up Higher-Order Dynamics

To understand what primitives a language for higher-order dynamics should provide, we will analyze one of the attempts –  $\lambda$ -DRT – to higher-order dynamics

**$\lambda$ -DRT** is a relatively straightforward (and naive) attempt to “sprinkle  $\lambda$ s over DRT” and give that a semantics. This is mirrored in the type system, which had a primitive types for DRSEs and “intensions” (mappings from states to objects). To make this work we had to introduce “intensional closure”, a semantic device akin to type raising that had been in the folklore for some time. We will not go into intensions and closure here, since this did not lead to a solution and refer the reader to [KKP96] and the references there.

### Recap: $\lambda$ -DRT (simplified)

- ▷ **Definition C.2.1 (Types).**  $\iota$  (individuals),  $o$  (conditions),  $t$  (DRSes),  $\alpha \rightarrow \beta$  (functions),  $s \rightarrow \alpha$  (intensions)
- ▷ **Syntax:** if  $U_\iota$  a referent and  $\mathbf{A}$  an expression of type  $o$ , then  $\delta U_\iota.\mathbf{A}$  a DRS (type  $t$ ).
- ▷ **Definition C.2.2.**  $=_{\alpha\beta\eta}$ -reduction for the  $\lambda$ -calculus part, and further:
  - ▷  $(\delta\mathcal{X}.\mathbf{A} \otimes \delta\mathcal{Y}.\mathbf{B}) \rightarrow_\tau (\delta\mathcal{X} \cup \mathcal{Y}.\mathbf{A} \wedge \mathbf{B})$
  - ▷  $\bigvee^\wedge \mathbf{A} \rightarrow_\mu \mathbf{A}$
- ▷ **Observations:**
  - ▷ complex interaction of  $\lambda$  and  $\delta$
  - ▷ alphabetical change for  $\delta$ -bound “variables” (referents)?
  - ▷ need intensional closure for  $=_{\beta\eta}$ -reduction to be correct

In hindsight, the contribution of  $\lambda$ -DRT was less the proposed semantics – this never quite worked beyond correctness of  $=_{\alpha\beta\eta}$  equality – but the logical questions about types, reductions, and the role of states it raised, and which led to further investigations.

We will now look at the general framework of “a  $\lambda$ -calculus with discourse referents and  $\delta$ -binding” from a logic-first perspective and try to answer the questions this raises. The questions of modeling dynamic phenomena of natural language take a back seat for the moment.

### Finding the right Dynamic Primitives

- ▷ Need to understand merge reduction: ( $\rightarrow_\tau$ -reduction)
  - ▷ Why do we have  $(\delta U.\mathbf{A} \otimes \mathbf{B}) \rightarrow_\tau (\delta U.\mathbf{A} \wedge \mathbf{B})$
  - ▷ but not  $((\delta U.\mathbf{A}) \Rightarrow \mathbf{B}) \rightarrow_\tau (\delta U.\mathbf{A} \Rightarrow \mathbf{B})$
- ▷ and Referent Scoping: ( $\rho$ -equivalence)
  - ▷ When are the meanings of  $\mathbf{C}[(\delta U.\mathbf{A})]_\pi$  and  $\mathbf{C}[(\delta V.[V/U](\mathbf{A}))]_\pi$  equal?
  - ▷ OK for  $\mathbf{C} = \neg$  and  $\mathbf{C} = \lambda P.(\delta W.\mathbf{A} \Rightarrow P)$
  - ▷ Not for  $\mathbf{C} = \lambda P.P$  and  $\mathbf{C} = \lambda P.P \wedge \neg P$ .
- ▷ **Observation:** There must be a difference of  $\otimes, \neg, \lambda P.(\delta W.\mathbf{A} \Rightarrow P), \lambda P.P \wedge \neg P$  wrt. the behavior on referents
- ▷ **Intuitively:**  $\otimes, \lambda P.(\delta W.\mathbf{A} \Rightarrow P)$  transport  $U$ , while  $\neg, \lambda P.P \wedge \neg P$  do not
- ▷ **Idea:** Model this in the types (rest of the talk/lecture)

A particularly interesting phenomenon is that of referent capture as the motor or anaphor resolution, which have already encountered Example 9.1.6.

## Variable/Referent Capture

▷ **Example C.2.3 (Anaphor Resolution Revisited).** Let us revisit Example 9.1.6

“A student<sup>1</sup> owns a book<sup>2</sup>.  
He<sub>1</sub> reads it<sub>2</sub>”

anaphor resolution

simplify

| $X, Y$         |
|----------------|
| student( $X$ ) |
| book( $Y$ )    |

⊗

| $R, S$      |
|-------------|
| read( $R$ ) |
| $S$         |

| $X, Y$         |
|----------------|
| student( $X$ ) |
| book( $Y$ )    |

⊗

| $R, S$      |
|-------------|
| read( $R$ ) |
| $S$         |
| $R = X$     |
| $S = Y$     |

| $X, Y$         |
|----------------|
| student( $X$ ) |
| book( $Y$ )    |
| read( $X$ )    |
| $Y$            |

▷ **Example C.2.4.**  $(\lambda P. \frac{U}{(\neg P)}) \frac{}{r(U)}$  (functor has dynamic binding power)

▷ **Definition C.2.5.** We call this **referent capture**.

▷ **Note:** Referent capture

- ▷ is the motor of dynamicity
- ▷ is a **structural property**

▷ **Idea:** Code the information for **referent capture** in the **type system**.

▷ **Definition C.2.6.** The **dynamic  $\lambda$  calculus** extends  $\Delta^{\rightarrow}$  with **discourse referent** and a **type system** that encodes information about their dynamic status.

In Example C.2.3 we see that with the act of **anaphor resolution**, the **discourse referents** induced by the **anaphoric pronouns** get placed under the influence of the dynamic binding in the first DRS – which is OK from an accessibility point of view, but from a  **$\lambda$ -calculus** perspective this constitutes a capturing event, since the binding relation changes. This becomes especially obvious, if we look at the simplified form, where the **discourse referents** introduced in the translation of the **pronouns** have been eliminated altogether.

In Example C.2.4 we see that a capturing situation can occur even more explicitly, if we allow  $\lambda$ s – and  $=_{\alpha\beta\eta}$  equality – in the logic. We have to deal with this, and again, we choose to model it in the type system.

With the intuitions sharpened by the examples above, we will now start to design a type system that can take information about referents into account. In particular we are interested in the **capturing** behavior identified above. Therefore we introduce information about the “**capturing status**” of **discourse referents** in the respective expressions into the types.

## Types in $DLC$

▷ **Requirements:** In the types we need information about

- ▷  **$\delta$ -bound referents** (they do the capturing)
- ▷ **free referents** (they are liable to be captured)

▷ **Definition C.2.7.** New type (**moded type**)  $\Gamma \# \alpha$  where

- ▷ **mode**  $\Gamma = V^-, U^+, \dots$  ( $V$  is a **free** and  $U$  a **capturing** referent)
- ▷ **term type**  $\alpha$  (type in the old sense)
- ▷ What about functional types? (Look at example)



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To see how our type system for  $\mathcal{DLC}$  fares in real life, we see whether we can capture the referent dynamics of  $\lambda\text{-DRT}$ . Maybe this also tells us what we still need to improve.

### Rational Reconstruction of $\lambda\text{-DRT}$ (First Version)

---

- ▷ Two-level approach
  - ▷ **model structural properties** (e.g. accessibility relation) in the types
  - ▷ **leave logical properties** (e.g. negation flips truth values) for later
- ▷ Types:  $\iota, o, \alpha \rightarrow \beta$  only.  $\Gamma \# o$  is a DRS.
- ▷ **Idea:** Use mode constructors  $\downarrow$  and  $\uplus$  to describe the accessibility relation.
- ▷ **Definition C.2.8.**  $\downarrow$  closes off the **dynamic binding potential** and makes the **referents classically bound**  
 $(U^+, V^+ = U^\circ, V^\circ)$
- ▷ **Definition C.2.9.** The **prioritized union** operator combines two modes by letting  $+$  overwrite  $-$ .  
 $(U^+, V^- \uplus U^-, V^+ = U^+, V^+)$
- ▷ **Example C.2.10 (DRT Operators).** Types of DRT connectives (indexed by  $\Gamma, \Delta$ ):
  - ▷  $\neg$  has type  $\Gamma \# o \rightarrow \downarrow \Gamma \# o$  (intuitively like  $t \rightarrow o$ )
  - ▷  $\otimes$  has type  $\Gamma \# o \rightarrow \Delta \# o \rightarrow \Gamma \uplus \Delta \# o$  (intuitively like  $t \rightarrow t \rightarrow t$ )
  - ▷  $\forall$  has type  $\Gamma \# o \rightarrow \Delta \# o \rightarrow \downarrow \Gamma \uplus \Delta \# o$
  - ▷  $\Rightarrow$  has type  $\Gamma \# o \rightarrow \Delta \# o \rightarrow \downarrow \Gamma \uplus \Delta \# o$



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We can already see with the experiment of modeling the DRT operators that the envisioned type system gives us a way of specifying accessibility and how the dynamic operators handle **discourse referents**. So we indeed have the beginning of a structural level for higher-order dynamics, and at the same time a meta-logic flavor, since we can specify other dynamic logics in a  $\lambda\text{-calculus}$ .

### C.3 A Type System for Referent Dynamics

We will now take the ideas above as the basis for a type system for  $\mathcal{DLC}$ . The types above have the decided disadvantage that they mix mode information with information about the order of the operators. They also need **free** mode **variables**, which turns out to be a problem for designing the semantics. Instead, we will employ two-dimensional types, where the mode part is a **function** on modes and the other a normal simple type.

### Types in $\mathcal{DLC}$ (Final Version)

---

- ▷ **Problem:** A type like  $\Gamma \# o \rightarrow \Gamma' \# o$  mixes **mode information** with **simple type information**.
- ▷ **Alternative formulation:**  $\downarrow \# o \rightarrow o$  (use a mode operator for the mode part)
- ▷ **Definition C.3.1.** *DLC* types are pairs  $A \# \alpha$ , where
  - ▷  $A$  is a **mode specifier**,  $\alpha$  is a **simple type**;  $A$  is functional, iff  $\alpha$  is.
- ▷ **Idea:** Use the **simply typed  $\lambda$ -calculus** for mode specifiers
- ▷ Other connectives (new version)
  - ▷  $\neg$  gets type  $\lambda F. \downarrow F \# o \rightarrow o$
  - ▷  $\otimes$  gets type  $\lambda F \lambda G. \downarrow (F \uplus G) \# o \rightarrow o$
  - ▷  $\forall$  gets type  $\lambda F G. (\downarrow F \uplus \downarrow G) \# o \rightarrow o \rightarrow o$
  - ▷  $\Rightarrow$  gets type  $\lambda F G. \downarrow (\downarrow F \uplus \downarrow G) \# o \rightarrow o \rightarrow o$

With this idea, we can re-interpret the DRT types from Example C.2.10.

### A $\lambda$ -Calculus for Mode Specifiers

- ▷ **Definition C.3.2.** New base type  $\mu$  for **modes**;  $\tilde{\alpha}$  is  $\alpha$  with  $\iota, o$  replaced by  $\mu$ .
- ▷ **Definition C.3.3.** **Mode specifiers**  $\mathbb{A}, \mathbb{B}, \mathbb{C}$  are simply typed  $\lambda$ -terms built up from mode variables  $F, G, F^1, \dots$  and **mode constants**
  - ▷ the **empty mode**  $\emptyset$  of type  $\mu$
  - ▷ the **elementary modes**  $U^+, U^-$  and  $U^\circ$  of type  $\mu$  for all referents  $U \in \mathcal{R}$
  - ▷ the mode functions  $\cdot^+, \cdot^-, \downarrow, +\cdot$ , and  $\neg \cdot$  of type  $\mu \rightarrow \mu$ , and
  - ▷ the mode function  $\uplus$  of type  $\mu \rightarrow \mu \rightarrow \mu$ .
- ▷ **Definition C.3.4.** Theory of **mode equality** specifies the **meaning** of mode constants
 

(e.g.  $(U^+, V^-, W^- \uplus U^-, V^+) \rightarrow_\mu U^+, V^+, W^-$ )
- ▷ **Definition C.3.5.** For each DLC type  $\alpha$ , we define the type  $\tilde{\alpha}$  which is  $\alpha$  with all base types replaced by  $\mu$ .

### Summary: DLC Grammar

- ▷ We summarize the setup in the following **context-free grammar**



|                                                                                                                                                 |                                         |
|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| $\alpha ::= \iota \mid o \mid \alpha_1 \rightarrow \alpha_2$                                                                                    | simple types                            |
| $\gamma ::= \mu \mid \gamma_1 \rightarrow \gamma_2$                                                                                             | mode types                              |
| $\mathbb{B} ::= \emptyset \mid U^+ \mid U^- \mid U^\circ \mid \mathbb{B}_1, \mathbb{B}_2 \mid \mathbb{B}_1 \uplus \mathbb{B}_2 \mid \mathbb{B}$ | basic modes                             |
| $\mathbb{M} ::= \mathbb{B} \mid \mathbb{M}_1 \mathbb{M}_2 \mid \lambda F_\gamma. \mathbb{M}$                                                    | modes (typed via mode types $\gamma$ )  |
| $\tau ::= \mathbb{M} \# \alpha$                                                                                                                 | DLC types                               |
| $\mathbb{M} ::= U \mid c \mid \mathbb{M}_1 \mathbb{M}_2 \mid \lambda X_\tau. \mathbb{M} \mid \delta U. \mathbb{M}$                              | DLC terms (typed via DLC types $\tau$ ) |

▷ But not all of these raw terms can be given a **meaning**  $\leadsto$  only use those that can be shown to be well-typed. (up next)

## Type Inference for $\mathcal{DLC}$ (two dimensions)

▷ **Definition C.3.6.** The type inference system for  $\mathcal{DLC}$  consists of the following rules:

$$\begin{array}{c}
 \frac{c \in \Sigma_\alpha}{\mathcal{A} \vdash_\Sigma c : \alpha} \quad \frac{\mathcal{A}(X) = F \# \alpha \quad \mathcal{A}(F) = \tilde{\alpha}}{\mathcal{A} \vdash_\Sigma X : F \# \alpha} \quad \frac{U \in \mathcal{R}_\alpha, \mathcal{A}(U) = \emptyset \# \alpha}{\mathcal{A} \vdash_\Sigma U : U^- \# \alpha} \\
 \\
 \frac{\mathcal{A}, [X : F \# \beta], [F : \tilde{\beta}] \vdash_\Sigma \mathbb{A} : \mathbb{A} \# \alpha}{\mathcal{A} \vdash_\Sigma \lambda X_{F \# \beta}. \mathbb{A} : \lambda F. \mathbb{A} \# \beta \rightarrow \alpha} \quad \frac{\mathcal{A} \vdash_\Sigma \mathbb{A} : \mathbb{A} \# \beta \rightarrow \gamma \quad \mathcal{A} \vdash_\Sigma \mathbb{B} : \mathbb{B} \# \beta}{\mathcal{A} \vdash_\Sigma \mathbb{A} \mathbb{B} : \mathbb{A}(\mathbb{B}) \# \gamma} \\
 \\
 \frac{\mathcal{A} \vdash_\Sigma \mathbb{A} : \mathbb{A} \# \alpha \quad \mathcal{A} \vdash_\Sigma \mathbb{A} =_{\beta\eta\mu} \mathbb{B}}{\mathcal{A} \vdash_\Sigma \mathbb{A} : \mathbb{B} \# \alpha} \quad \frac{\mathcal{A} \vdash_\Sigma \mathbb{A} : \lambda F. \mathbb{A} \# \alpha \quad \mathcal{A} \vdash_\Sigma \mathbb{A} : \mu}{\mathcal{A} \vdash_\Sigma \delta U_\beta. \mathbb{A} : \lambda F. (U^+ \uplus \mathbb{A}) \# \alpha}
 \end{array}$$

where  $\mathcal{A}$  is a variable context mapping variables and referents to types

## Example (Identity)

▷ We have the following type derivation for the identity.

$$\frac{\frac{[F : \tilde{\alpha}], [X : F \# \alpha] \vdash_\Sigma X : F \# \alpha}{\vdash_\Sigma \lambda X_{F \# \alpha}. X : \lambda F_{\tilde{\alpha}}. F \# \alpha \rightarrow \alpha}}$$

▷  $(\lambda X_{F \# \alpha \rightarrow \alpha}. X) (\lambda X_{G \# \alpha}. X)$  has type

$$\mathcal{A} \vdash_\Sigma (\lambda F_{\mu \rightarrow \mu}. F) (\lambda G_\mu. G) \# \alpha \rightarrow \alpha =_{\beta\eta\mu} \lambda G_\mu. G \# \alpha \rightarrow \alpha$$

▷ **Theorem C.3.7 (Principal Types).** For any given variable context  $\mathcal{A}$  and formula  $\mathbb{A}$ , there is at most one type  $\mathbb{A} \# \alpha$  (up to mode  $\beta\eta\mu$ -equality) such that  $\mathcal{A} \vdash_\Sigma \mathbb{A} : \mathbb{A} \# \alpha$  is derivable in  $\mathcal{DLC}$ .

### Linguistic Example

▷ **Example C.3.8.** “*No man sleeps.*”

Assume  $U \in \mathcal{R}_\iota$  and  $\text{man}, \text{sleeps} \in \mathcal{R}_{\lambda F.F\# \iota \rightarrow o}$ .

$$\begin{array}{c}
 \vdots \\
 \hline
 \mathcal{A} \vdash_{\Sigma} \text{man}(U) : U^- \# o \\
 \hline
 \mathcal{A} \vdash_{\Sigma} \delta U.\text{man}(U) : U^+ \# o \quad \quad \quad \mathcal{A} \vdash_{\Sigma} \text{sleeps}(U) : U^- \# o \\
 \hline
 \mathcal{A} \vdash_{\Sigma} \delta U.\text{man}(U) \wedge \text{sleeps}(U) : U^+ \uplus U^- \# o \\
 \hline
 \mathcal{A} \vdash_{\Sigma} \neg(\delta U.\text{man}(U) \wedge \text{sleeps}(U)) : \Downarrow U^+ \uplus U^- \# o \\
 \hline
 \mathcal{A} \vdash_{\Sigma} \neg(\delta U.\text{man}(U) \wedge \text{sleeps}(U)) : U^\circ \# o
 \end{array}$$

### A Further (Tricky) Example: $\mathbf{A}_{\neg} := \lambda X.X \wedge \neg X$

▷ a referent declaration in the argument of  $\mathbf{A}_{\neg}$  will be copied, and the two occurrences will have a different status

$$\mathbf{A}_{\neg} (\delta U.\text{man}(U)) \rightarrow_{\beta} (\delta U.\text{man}(U) \wedge \neg(\delta U.\text{man}(U)))$$

▷ assuming  $\mathcal{A}(X) = F \# o$  gives

$$\begin{array}{c}
 \mathcal{A} \vdash_{\Sigma} X : F \# o \\
 \hline
 \mathcal{A} \vdash_{\Sigma} X : F \# o \quad \mathcal{A} \vdash_{\Sigma} \neg X : \Downarrow F \# o \\
 \hline
 \mathcal{A} \vdash_{\Sigma} X \wedge \neg X : F \uplus \Downarrow F \# o \\
 \hline
 \mathcal{A} \vdash_{\Sigma} \lambda X.X \wedge \neg X : \lambda F.(F \uplus \Downarrow F) \# o \rightarrow o
 \end{array}$$

▷ thus, assuming  $\mathcal{A} \vdash_{\Sigma} \delta U.\text{man}(U) : U^+ \# o$ , we derive

$$\mathcal{A} \vdash_{\Sigma} \mathbf{A}_{\neg} (\delta U.\text{man}(U)) : U^+, U^\circ \# o$$

### A Further Example: Generalized Coordination

▷ We may define a generalised “*and*”:

$$\lambda R^1 \dots R^n. \lambda X^1 \dots X^m. (R^1 X^1 \dots X^m \otimes \dots \otimes R^n X^1 \dots X^m)$$

with type

$$\lambda F^1 \dots F^n. (F^1 \uplus \dots \uplus F^n) \# \overline{\beta_m} \rightarrow o \rightarrow \overline{\beta_m} \rightarrow o$$

▷ thus from  $\text{john} := \lambda P. (\delta U. U = j \otimes P(U))$   
and  $\text{mary} := \lambda P. (\delta V. V = m \otimes P(V))$

▷ we get  $\text{johnandmary} = \lambda P. (\delta U. U = j \otimes P(U) \otimes \delta V. V = m \otimes P(V))$

▷ combine this with “*own a donkey*”:

$$\lambda X. (\delta W. \text{donkey}(W) \otimes \text{own}(W, X) \otimes \delta U. U = j \otimes \delta W. \text{donkey}(W) \otimes \text{own}(W, U) \otimes \delta V. V = m \otimes \delta W. \text{donkey}(W) \otimes \text{own}(W, V))$$



## C.4 Modeling Higher-Order Dynamics

### Discourse Variants $=_\delta$

▷ **Definition C.4.1.** We capture “referent renaming” in an equality judgment  $=_\delta$ .

▷ The order and multiplicity of introduction of **discourse referents** is irrelevant

$$\triangleright \delta U. \delta V. \mathbf{A} =_\delta \delta V. \delta U. \mathbf{A}$$

$$\triangleright \delta U. \delta U. \mathbf{A} =_\delta \delta U. \mathbf{A}.$$

▷ This is needed to model **DRT**, where **discourse referents** appear in **sets**.

▷ functional and dynamic binding can be interchanged

$$\triangleright \lambda X. (\delta U. \mathbf{A}) =_\delta \delta U. \lambda X. \mathbf{A}$$

▷ This is useful for convenient  $=_\eta$ -long-forms (DHOU).



### Renaming of Discourse Referents?

▷ Consider  $\mathbf{A} := (\lambda XY. Y) (\delta U. U)$

▷  $\delta U$  cannot have any effect on the environment, since it can be deleted by  $=_\beta$ -reduction.

▷  $\mathbf{A}$  has type  $\lambda F. F \# \alpha \rightarrow \alpha$  ( $U$  does not occur in it).

▷ **Idea:** Allow to **rename**  $U$  in  $\mathbf{A}$ , if “ $\mathbf{A}$  is **independent** of  $U$ ”

▷ Similar effect for  $\mathbf{B} := \neg(\delta U. \text{man}(U))$ , this should equal  $\neg(\delta V. \text{man}(V))$

▷ **Definition C.4.2.**  $\rho$  **renaming** is induced by the following inference rule:

$$\frac{V \in \mathcal{R}_\beta \text{ fresh } U_\beta \notin \mathcal{DP}(\mathbf{A})}{\mathbf{A} =_\rho \mathcal{C}_U^V(\mathbf{A})}$$

Where  $\mathcal{C}_U^V(\mathbf{A})$  is the result of replacing all referents  $U$  by  $V$ .

## Dynamic Potential

- ▷ The binding effect of an expression  $\mathbf{A}$  can be read off its **mode specifier**  $\mathbf{A}$
- ▷ A **mode specifier**  $\mathbf{A}$  may be simplified by  $\beta\eta\mu$ -reduction (where  $\mu$ -equality reflects the semantics of the mode functions, e.g.  $U^+ \uplus U^- =_\mu U^+$ ).
- ▷ **Definition C.4.3.** The **dynamic binding potential** of  $\mathbf{A}$ :  
 $\mathcal{DP}(\mathbf{A}) := \{U \mid U^+ \in \text{occ}(\mathbf{A}') \text{ or } U^- \in \text{occ}(\mathbf{A}')\}$ , where  $\mathbf{A}'$  is the  $\beta\eta\mu$ -normal form of  $\mathbf{A}$ .
- ▷ **Definition C.4.4.** If  $U \notin \mathcal{DP}(\mathbf{A})$ , then  $U$  is called **independent** of  $\mathbf{A}$ .

## Some Examples for Dynamic Potential

▷ **Example C.4.5.**

| Formula                                                             | Mode specifier             | $\mathcal{DP}$ |
|---------------------------------------------------------------------|----------------------------|----------------|
| $\delta U.P$                                                        | $U^+$                      | $\{U\}$        |
| $\lambda P.(\delta U.P)$                                            | $\lambda F.(U^+ \uplus F)$ | $\{U\}$        |
| $\neg(\delta U.\text{man}(U))$                                      | $U^\circ$                  | $\emptyset$    |
| $\lambda P.\neg(\delta U.P)$                                        | $\lambda F.\neg(U^+), F$   | $\{U\}$        |
| $\lambda X.U$                                                       | $\lambda F.U^-$            | $\{U\}$        |
| $(\lambda X.X) U$                                                   | $(\lambda F.F) U^-$        | $\{U\}$        |
| $\lambda P.\text{man}(U) \wedge P$                                  | $\lambda F.(F \uplus U^-)$ | $\{U\}$        |
| $\lambda P.P$                                                       | $\lambda F.F$              | $\emptyset$    |
| $\lambda XY.Y$                                                      | $\lambda FG.G$             | $\emptyset$    |
| $(\lambda XY.Y) (\delta U.U)$                                       | $\lambda G.G$              | $\emptyset$    |
| $\lambda P.P (\lambda Q.\neg(\delta U.Q)) (\lambda R.(\delta U.R))$ |                            | $\{U\}$        |

## Reductions

- ▷  $\beta\eta$ -reduction:  $\frac{}{(\lambda X.\mathbf{A}) \mathbf{B} \rightarrow_\beta [\mathbf{B}/X](\mathbf{A})}$  and  $\frac{X \notin \text{free}(\mathbf{A})}{\lambda X.\mathbf{A} X \rightarrow_\eta \mathbf{A}}$
- ▷ **Definition C.4.6.** Dynamic Reduction:  $\frac{\mathcal{A} \vdash_\Sigma \mathbf{A} : \mathbb{A} \# \alpha \quad U^+ \in \text{Trans}(\mathbb{A})}{\mathbf{A} (\delta U.\mathbf{B}) \rightarrow_\tau (\delta U.\mathbf{A} \mathbf{B})}$
- ▷ **Example C.4.7.** Merge-Reduction  $(\delta U.\mathbf{A} \otimes \delta V.\mathbf{B}) \rightarrow_\tau (\delta U.\delta V.(\mathbf{A} \otimes \mathbf{B}))$
- ▷ **Intuition:** The **merge operator** is just **dynamic conjunction**!
- ▷ **Observation:** Sequential merge  $\ddot{;}$  of type  $\vec{\uplus} \# o \rightarrow o \rightarrow o$  does not transport  $V$  in the second argument.

## C.5 Direct Semantics for Dynamic $\lambda$ Calculus

### Higher-Order Dynamic Semantics (Static Model)

- ▷ Frame  $\mathcal{D} = \{\mathcal{D}_\alpha \mid \alpha \in \mathcal{T}\}$ 
  - ▷  $\mathcal{D}_\mu$  is the set of modes (mappings from variables to signs)
  - ▷  $\mathcal{D}_o$  is the set of truth values  $\{\mathbf{T}, \mathbf{F}\}$ .
  - ▷  $\mathcal{D}_i$  is an arbitrary universe of individuals.
  - ▷  $\mathcal{D}_{\alpha \rightarrow \beta} \subseteq \mathcal{D}_\alpha \rightarrow \mathcal{D}_\beta$
- ▷ Interpretation  $\mathcal{I}$  of constants, assignment  $\varphi$  of variables.
  - ▷  $\mathcal{I}_\varphi(c) = \mathcal{I}(c)$ , for a constant  $c$
  - ▷  $\mathcal{I}_\varphi(X) = \varphi(X)$ , for a variable  $X$
  - ▷  $\mathcal{I}_\varphi(\mathbf{A} \mathbf{B}) = \mathcal{I}_\varphi(\mathbf{A})(\mathcal{I}_\varphi(\mathbf{B}))$
  - ▷  $\mathcal{I}_\varphi(\lambda X. \mathbf{B})(a) = \mathcal{I}_{\varphi, [a/X]}(\mathbf{B})$ .

### Dynamic Semantics (Frames)

- ▷ **Two approaches:** “Dynamic” (Amsterdam ) and “Static” (Saarbrücken)
  - ▷ Will show that they are equivalent (later)
  - ▷ Use the static semantics for  $\mathcal{DLC}$  now.
- ▷ What is the denotation of a dynamic object?
  - ▷ “Static Semantics”: essentially a set of states (considers only type  $o$ )  
(**equivalently function from states to  $\mathcal{D}_o$** : characteristic function)
  - ▷ generalize this to arbitrary base type:  
 $\mathcal{D}_\alpha^\Gamma = \mathcal{B}_\Gamma \rightarrow \mathcal{D}_\alpha$ , where  $\mathcal{B}_\Gamma$  is the set of  $\Gamma$ -states
- ▷  $\Gamma$ -states: well-typed referent assignments  $s: \mathbf{Dom}^\pm(\Gamma) \rightarrow \mathcal{D}$   
 $s|\Delta$  is  $s$  coerced into a  $\Delta$ -state.
- ▷ For expressions of functional type:  $\mathcal{D}_{(\alpha \rightarrow \beta)}^\Phi = \bigcup_{\Psi \in \mathcal{D}_\alpha} \mathcal{D}_\alpha^\Psi \rightarrow \mathcal{D}_\beta^{\Phi(\Psi)}$

### Dynamic Semantics (Evaluation)

- ▷ **Standard Tool:** Intensionalization (guards variables by delaying evaluation of current state)

- ▷ **Idea:** Ideal for semantics of **variable capture**
  - ▷ guard all referents
  - ▷ make this part of the semantics (thus implicit in syntax)
- ▷ **Definition C.5.1.** Evaluation of variables and referents
  - ▷ If  $X \in \mathcal{V}$ , then  $\mathcal{I}_\varphi(X) = \varphi(X)$
  - ▷ If  $U \in \mathcal{R}$ , then  $\mathcal{I}_\varphi(U) = \Lambda s \in \mathcal{B}_{U^-}.s(U)$  (implicit intensionalization!)
  - ▷  $\mathcal{I}_\varphi(\delta U.\mathbb{B}_{\#}\beta) = \Lambda s \in \mathcal{B}_{(\mathcal{I}_\varphi(\mathbb{B}_\mu) \uplus U^+)}.\mathcal{I}_\varphi(\mathbb{B})s|\mathcal{I}_\varphi(\mathbb{B}_\mu).$
  - ▷  $\mathcal{I}_\varphi(\mathbb{B} \mathbf{C}) = \mathcal{I}_\varphi(\mathbb{B})(\mathcal{I}_\varphi(\mathbf{C})).$
  - ▷  $\mathcal{I}_\varphi(\lambda X_\gamma.\mathbb{B}) = \Lambda^\Phi a \in \mathcal{D}_\gamma^\Phi.\mathcal{I}_{\varphi, [a/X]}(\mathbb{B})$
- ▷ **Referent names crucial in dynamic objects**
- ▷ **Well actually:**  $\mathcal{I}_\varphi(\delta U.\mathcal{B}_{(\Lambda F_n^-. \mathbb{B}_\mu \# \beta)}) = \Lambda \bar{a}_n.\Lambda s \in \mathcal{B}_{(\mathcal{I}_\varphi(\mathbb{B}_\mu) \uplus U^+)}.\mathcal{I}_\varphi(\mathbb{B})s|\mathcal{I}_\varphi(\mathbb{B}_\mu).$

## Metatheoretic Results

- ▷ **Theorem C.5.2 (Normalization).**  $\beta\eta\tau$ -Reduction is terminating and confluent (modulo  $\alpha\rho\delta$ ).
- ▷ **Theorem C.5.3 (Substitution is type-preserving).** If  $X \notin \text{dom}(\mathcal{A})$ , then  $\mathcal{A}, [X:F\#\beta] \vdash_\Sigma \mathbf{A} : \mathbb{A}\#\alpha$  and  $\mathcal{A} \vdash_\Sigma \mathbf{B} : \mathbb{B}\#\beta$  imply
 
$$\mathcal{A} \vdash_\Sigma [\mathbf{B}/X](\mathbf{A}) : [\mathbb{B}/F](\mathbb{A})\#\alpha$$
- ▷ **Theorem C.5.4 (Subject Reduction).** If  $\mathcal{A} \vdash_\Sigma \mathbf{A} : \mathbb{A}\#\alpha$  and  $\mathcal{A} \vdash_\Sigma \mathbf{A} =_{\beta\eta\tau} \mathbf{B}$ , then  $\mathcal{A} \vdash_\Sigma \mathbf{B} : \mathbb{A}\#\alpha$ .
- ▷ **Theorem C.5.5 (Soundness of Reduction).** If  $\mathcal{A} \vdash_\Sigma \mathbf{A} =_{\alpha\beta\delta\eta\tau\rho} \mathbf{B}$ , then  $\mathcal{I}_\varphi(\mathbf{A}) = \mathcal{I}_\varphi(\mathbf{B})$ .
- ▷ If  $\mathcal{I}_\varphi(\mathbf{A}) = \mathcal{I}_\varphi(\mathbf{B})$ , then  $\mathcal{A} \vdash_\Sigma \mathbf{A} =_{\alpha\beta\delta\eta\tau\rho} \mathbf{B}$  (just needs formalisation of equality of logical operators.)

## C.6 Dynamic $\lambda$ Calculus outside Linguistics

### Conclusion

- ▷ Basis for **compositional discourse** theories
  - ▷ two-layered approach (only use theorem proving where necessary)
  - ▷ functional and dynamic information can be captured structurally

- ▷ comprehensive equality theory (interaction of func. and dyn. part)
- ▷ In particular
  - ▷ new dynamic primitives (explain others)
  - ▷ simple semantics (compared to other systems)
- ▷ This leads to
  - ▷ dynamification of existing linguistic analyses (DHO)
  - ▷ rigorous comparison of different dynamic systems (Meta-Logic)

## Future Directions

- ▷ Generalize  $\mathcal{DLC}$  to a true **mode calculus**:
    - ▷ turn  $\delta$  into a **logical constant**  $\delta_U$ : (use type declaration and application)
- $$\frac{\mathcal{A} \vdash_{\Sigma} \mathbf{A} : \mathbb{A} \# \alpha}{\mathcal{A} \vdash_{\Sigma} \delta_U \beta. \mathbf{A} : U^+ \uplus \mathbb{A}_{\mu} \# \alpha} \quad \frac{\vdash_{\Sigma} \delta_U : \lambda F. (U^+ \uplus F) \# \alpha \rightarrow \alpha \quad \mathcal{A} \vdash_{\Sigma} \mathbf{A} : \mathbb{A} \# \alpha}{\mathcal{A} \vdash_{\Sigma} \delta_U \mathbf{A} : U^+ \uplus \mathbb{A}_{\mu} \# \alpha}$$
- ▷ this allows for more than one  $\delta$ -like operator
  - ▷ Better still (?) go for a dependent type discipline (implement in LF?)
  - ▷  $\delta$  of type  $\lambda U F. (U^+ \uplus F) \# \alpha \rightarrow \alpha$  yields  $\delta(U) \hat{=} \delta_U$

## Use $\mathcal{DLC}$ as a model for Programming

- ▷ Remember dynamic binding in **Lisp**?  $((\text{lambda } (F) (\text{let } ((U \ 1)) (F \ 1)))(\text{lambda } (X) (+ \ X \ U))) \rightarrow 2$   
 $2 ((\text{lambda } (F) (\text{let } ((U \ 0)) (F \ 1)))(\text{lambda } (X) (+ \ X \ U))) \rightarrow 1$
- ▷ Ever wanted to determine the `\$PRINTERenvironment` variable in a **Java** applet?  
 (sorry forbidden, since the semantics of dynamic binding are unclear.)
- ▷  $\mathcal{DLC}$  is ideal for that (about time too!)
- ▷ **Example C.6.1 (LISP)**. give  $\text{let}_U$  the type  $\lambda F. F \uparrow_U^{\circ}$ , where  $(\mathbb{A}, U^-) \uparrow_U^{\circ} = \mathbb{A}, U^{\circ}$ .  
 (no need for  $U^+$  in **Lisp**)
- ▷ **Example C.6.2 (Java)**. If you want to keep your `$EDITOR` variable private  
 (pirated?) only allow applets of type  $\mathbb{A} \# \alpha$ , where  $\text{\$EDITOR} \notin \mathcal{DP}(\mathbb{A})$ .
- ▷ It is going to be a lot of fun!

## Appendix D

# Model Existence and Completeness for Modal Logic

### Abstract Consistency for $ML^0$

▷ **Definition D.0.1.** If  $\Phi$  is a set of propositions, then

$$\Box^-(\Phi) := \{\mathbf{A} \mid \Box \mathbf{A} \in \Phi\}$$

▷ **Definition D.0.2.** A collection  $\nabla$  of sets of  $ML^0$ -formulae is called **propositional modal abstract consistency class** for  $ML^0$ , if it is **closed under subsets** and for all  $\Phi \in \nabla$  we have

$$\nabla_c) P \notin \Phi \text{ or } \neg P \notin \Phi \text{ for } P \in \mathcal{V}_0$$

⋮

$$\nabla_\wedge) \neg(\mathbf{A} \vee \mathbf{B}) \in \Phi \text{ implies } \Phi \cup \{\neg \mathbf{A}, \neg \mathbf{B}\} \in \nabla$$

$$\nabla_\Box) \Diamond \mathbf{A} \in \Phi \text{ implies } \Box^-(\Phi) * \mathbf{A} \in \nabla$$



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### $\nabla$ -Hintikka Set

▷ **Definition D.0.3.** If  $\nabla$  is an **propositional modal abstract consistency class**, then we call  $\mathcal{H}$  a  **$\nabla$ -Hintikka set**, if  $\mathcal{H}$  maximal in  $\nabla$ , i.e. for all  $\mathbf{A}$  with  $\mathcal{H} * \mathbf{A} \in \nabla$  we already have  $\mathbf{A} \in \mathcal{H}$ .

▷ **Theorem D.0.4 (Extension Theorem).** If  $\nabla$  is an abstract consistency class for  $ML$  and  $\Phi \in \nabla$ , then there is a  **$\nabla$ -Hintikka set**  $\mathcal{H}$  with  $\Phi \subseteq \mathcal{H}$ .

*Proof:*

1. chose an **enumeration**  $\mathbf{A}_1, \mathbf{A}_2, \dots$  of  $wff_0(\mathcal{V}_0)$
2. construct sequence of sets  $H_i$  with  $H_0 := \Phi$  and
  - ▷  $H_{n+1} := H_n$ , if  $H_n * \mathbf{A}_n \notin \nabla$
  - ▷  $H_{n+1} := H_n * \mathbf{A}_n$ , if  $H_n * \mathbf{A}_n \in \nabla$



3. All  $H_i \in \nabla$ , so choose  $\mathcal{H} := \bigcup_{i \in \mathbb{N}} H_i$
4.  $\Psi \subseteq \mathcal{H}$  finite implies that there is a  $j \in \mathbb{N}$  with  $\Psi \subseteq H_j$ , so  $\Psi \in \nabla$  as  $\nabla$  closed under subsets.
5.  $\mathcal{H} \in \nabla$  since  $\nabla$  compact.
6. let  $\mathcal{H} * \mathbf{B} \in \nabla$ , then there is a  $j \in \mathbb{N}$  with  $\mathbf{B} = \mathbf{A}_j$
7.  $\mathbf{B} \in H_{j+1} \subseteq \mathcal{H}$ , so  $\mathcal{H}$   $\nabla$ -maximal.

□

### Canonical $\nabla$ -Model

▷ **Definition D.0.5.** If  $\nabla$  is an abstract consistency class, for  $\text{ML}^0$ , then we call  $\mathcal{M}_\nabla := \langle \mathcal{W}_\nabla, \mathcal{R}_\nabla, \varphi_\nabla \rangle$  the **canonical  $\nabla$  model**, iff

- ▷  $\mathcal{W}_\nabla = \{\mathcal{H} \mid \mathcal{H} \in \nabla_{\text{maximal}}\}$
- ▷  $\mathcal{R}_\nabla(v, w)$  iff  $\Box^-(v) \subseteq w$
- ▷  $\varphi(P, w) = \top$  iff  $P \in w$

▷ **Lemma D.0.6.** If  $w \in \mathcal{W}_\nabla$  and  $\Diamond \mathbf{A} \in w$ , then there is a  $w' \in \mathcal{W}_\nabla$  with  $\mathcal{R}_\nabla(w, w')$  and  $\mathbf{A} \in w'$ .

▷ *Proof:* Let  $\Diamond \mathbf{A} \in w$

1. thus  $\Box^-(w) * \mathbf{A} \in \nabla$
2. by the extension theorem there is a  $w' \in \mathcal{W}_\nabla$  with  $\Box^-(w) * \mathbf{A} \subseteq w'$
3. so  $\Box^-(w) \subseteq w'$  and thus  $\mathcal{R}_\nabla(w, w')$ .
4. on the other and we have  $\mathbf{A} \in w'$ .

□

### Model existence for $\text{ML}^0$

▷ **Lemma D.0.7.** If  $w \in \mathcal{W}_\nabla$ , then  $\mathcal{I}_{\varphi_\nabla}^w(\mathbf{A}) = \top$  iff  $\mathbf{A} \in w$ .

▷ *Proof:* Induction on the structure of  $\mathbf{A}$

1. If  $\mathbf{A}$  is a variable  
then we get the assertion by the definition of  $\varphi_\nabla$ .
3. If  $\mathbf{A} = \neg \mathbf{B}$  and  $\mathbf{A} \in w$   
then  $\mathbf{B} \notin w$ , thus  $\mathcal{I}_{\varphi_\nabla}^w(\mathbf{B}) = \text{F}$ , and thus  $\mathcal{I}_{\varphi_\nabla}^w(\mathbf{A}) = \top$ .
5.  $\mathbf{A} = \mathbf{B} \wedge \mathbf{C}$   
analog
7.  $\mathbf{A} = \Box \mathbf{B}$ 
  - 7.1. Let  $\mathbf{A} \in w$  and  $w \mathcal{R}_\nabla w'$

- 7.2. thus  $\Box^-(w) \subseteq w'$  and thus  $\mathbf{B} \in w'$   
 7.3. so (IH)  $\mathcal{I}_{\varphi \nabla}^{w'}(\mathbf{B}) = \mathbf{T}$  for any such  $w'$ .  
 7.4. and finally  $\mathcal{I}_{\varphi \nabla}^w(\mathbf{A}) = \mathbf{T}$

9.  $\mathbf{A} = \Diamond \mathbf{B}$

- 9.1. Let  $\mathbf{A} \notin w$   
 9.2. so  $\neg \mathbf{A} = \Diamond \neg \mathbf{B} \notin w$   
 9.3. and thus  $\neg \mathbf{B} \in w'$  for some  $w \mathcal{R}_{\nabla} w'$  by (Lemma1)  
 9.4. so  $\mathbf{B} \in w'$  and thus  $\mathcal{I}_{\varphi \nabla}^{w'}(\mathbf{B}) = \mathbf{T}$  by IH and finally  $\mathcal{I}_{\varphi \nabla}^w(\mathbf{A}) = \mathbf{T}$ .

□

▷ **Theorem D.0.8 (Model existence).** *If  $\nabla$  is an abstract consistency class for  $\mathbf{ML}^0$  and  $\Phi \in \nabla$ , then there is a world  $w \in \mathcal{W}_{\nabla}$  with  $\mathcal{M}_{\nabla} \models^w \Phi$ .*

▷ *Proof:*

1. there is a  $\nabla$ -Hintikka set  $\mathcal{H} = w$  with  $w \in \mathcal{W}_{\nabla}$  and  $\Phi \subseteq \mathcal{H}$ .  
 2. by Lemma 2 we have  $\mathcal{I}_{\varphi}^w(\mathbf{A}) = \mathbf{T}$  for all  $\mathbf{A} \in \Phi$ .

□

## Completeness

▷ **Theorem D.0.9.**  *$\mathbb{K}$ -consistency is an propositional modal abstract consistency class for  $\mathbf{ML}^0$*

▷ *Proof:* Let  $\Diamond \mathbf{A} \in \Phi$

1. To show:  $\Box^-(\Phi) * \mathbf{A}$  is  $\mathbb{K}$ -consistent if  $\Phi$  is  $\mathbb{K}$ -consistent  
 2. converse:  $\Phi$  is  $\mathbb{K}$ -inconsistent if  $\Box^-(\Phi) * \mathbf{A}$   $\mathbb{K}$ -inconsistent.  
 3. There is a finite subset  $\Psi \subseteq \Box^-(\Phi)$  with  $\Psi \vdash_{\mathbb{K}} (\neg \mathbf{A})$   
 4.  $(\Box \Psi) \vdash_{\mathbb{K}} (\Box \neg \mathbf{A})$  (distributivity of  $\Box$ )  
 5.  $\Phi \vdash_{\mathbb{K}} (\Box \neg \mathbf{A}) = \neg(\Diamond \mathbf{A})$  since  $\Box \Psi \subseteq \Phi$   
 6. thus  $\Phi$  is  $\mathbb{K}$ -inconsistent.

□

▷ **Corollary D.0.10.**  *$\mathbb{K}$  is complete wrt. Kripke models*

## Further Completeness Theorems

▷ **Theorem D.0.11.**  *$\mathbb{T}$ -consistency is an abstract consistency class for  $\mathbf{ML}^0$  and  $\mathcal{R}_{\mathbb{T}}$  is reflexive.*

▷ *Proof:* Let  $\mathbf{A} \in \Box^-(w)$

1. then  $\Box A \in w$  by definition
2. with  $\mathbb{T}$  ( $\Box A \Rightarrow A$ ) and Modus Ponens we have  $A \in w$ .
3. Thus  $\Box^-(w) \subseteq w$  and  $w \mathcal{R}_{\mathbb{T}} w$  for all  $w \in \mathcal{W}_{\mathbb{T}}$ .

□

▷ **Theorem D.0.12.**  $\mathbb{S4}$ -consistency is an abstract consistency class for  $\mathbf{ML}^0$  and  $\mathcal{R}_{\mathbb{S4}}$  is transitive.

▷ *Proof:* Let  $w_1 \mathcal{R}_{\mathbb{S4}} w_2 \mathcal{R}_{\mathbb{S4}} w_3$  and  $\Box A \in w$ .

1. by  $\mathbb{S4}$  ( $\Box A \Rightarrow \Box \Box A$ ) and Modus Ponens we have  $\Box \Box A \in w_1$ .
2. and thus  $\Box A \in w_2 = \Box^-(w_1)$  and  $A \in w_3 = \Box^-(w_2)$ .
3. Thus  $\Box^-(w_1) \subseteq w_3$  and  $w_1 \mathcal{R}_{\mathbb{S4}} w_3$ .

□

▷ **Corollary D.0.13.**  $\mathbb{T}$  ( $\mathbb{S4}$ ) is complete wrt. reflexive (reflexive transitive) Kripke-models