Anaphora and Ambiguity in Narratives

Daniel Altshuler, Hampshire College Julian J. Schlöder, University of Amsterdam ESSLLI 2019, Day 1

A Narrative

The family of Dashwood had long been settled in Sussex. Their estate was large, and their residence was at Norland Park, in the centre of their property, where, for many generations, they had lived in so respectable a manner as to engage the general good opinion of their surrounding acquaintance. The late owner of this estate was a single man, who lived to a very advanced age, and who for many years of his life, had a constant companion and housekeeper in his sister. But her death, which happened ten years before his own, produced a great alteration in his home; for to supply her loss, he invited and received into his house the family of his nephew Mr. Henry Dashwood, the legal inheritor of the Norland estate, and the person to whom he intended to bequeath it. (Jane Austen, Sense and Sensibility)

Not A Narrative

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 - b. I made steak.
- (6) a. B: I burned my dinner.
 - b. B: I made steak.

Like words compose to sentences, sentences compose to narratives.

Compositional Semantics

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The semantics of narratives is the same.

What are the parts? And how do they combine? And to what?

Anaphora

- What about sentences like this:
- (7) He walks.
- (8) Then someone walked.
- (9) So am I.
- $\circ~$ Do you know what is required for these sentences to be true?

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such sentences are parts of bigger wholes

• An expression whose meaning depends on a prior expression is called an anaphor.

(roughly)

- (10) There is a man. <u>He</u> walks.
- (11) Nobody was moving. Later, someone walked.
- (12) Damaya is upset. <u>So</u> am I.

- Call a narrative incoherent if you cannot understand it.
 - > More precise definitions of "incoherence" in due time.
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- (13) There is nobody. **X**He walks.

- We saw pronominal anaphora ("he"), temporal anaphora ("later"), adjectival anaphora ("so").
- Event anaphora:
- (14) Tonkee hit Binof. <u>It</u> caused a fight.
 - Propositional anaphora:
- (15) Damaya believes it is raining. Essun doubts that.
 - Type anaphora:
- (16) Hoa gave a presentation. Jija gave <u>one</u> too.

• You may now think:

Say I have two sentences. I understand the truth-conditions of the first, but the second contains a "he". If the truth-conditions of the first are such that there is a male person in every situation where the sentence is true, then "he" refers to this person.

• You may now think:

Say I have two sentences. I understand the truth-conditions of the first, but the second contains a "he". If the truth-conditions of the first are such that there is a male person in every situation where the sentence is true, then "he" refers to this person.

 $\circ~$ If you think that, you are very very clever!

- But wrong.
- (17) I have three siblings, two of whom are female.My sisters are here. *X*He is somewhere else.

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 - This is her example:
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 - The Partee observation is *universal* to anaphora.
 - > Try to find your own examples for other cases!

- (19) There are some men. They walk.
 - Double negation:
- (20) There aren't no men. **X**They walk.
 - Quantifier duality:
- (21) It is not the case that everyone is not a man. **X**They walk.

There is only one conclusion to draw:

The referents that an anaphor refers back to are not (merely) part of what is true, but instead they are tied to particular linguistic expressions. • Anaphora is a central part of human language use.

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 - d. Computer: When do I want what?

- $\circ~$ Let's say that an anaphor binds to a previous expression.
- (23) A woman is in the park. She walks.
 - Let's say that such expressions that anaphora can bind to have binding potential.

- "someone" has binding potential for pronominal anaphora.
- (24) Someone walks. She looks happy.
 - But not in all sentences:
- (25) It is not the case that someone walks. **X**She looks happy.
- (26) Either someone walks or it rains. **X**She looks happy.
- (27) If someone walks, it is sunny. **X**She looks happy.

We want a systematic theory

of what binding potential is

and of when we can access this potential.

Binding
- $\circ~$ We already know some expressions that compose sentences.
- \circ and \wedge
- \circ or \lor
- \circ if ... then \rightarrow
- And some expressions that modify sentences.
- \circ not \neg
- ∘ maybe ◊

Binding

- If you have two sentences *A* and *B* which you understand, then you also understand:
- *A and B* is true if *A* is true and *B* is true.
- *A or B* is true if *A* is true or *B* is true.
- *if A then B* is true if *A* is false or *B* is true.
- *not A* is true if *A* is false.
- (let's not worry about *maybe* right now)

• A logician would say that expressions with binding potential are like existential quantifiers.

someone $\approx \exists x$

(28) Someone walks. She looks happy.

$$\exists x.walk(x) \land looks-happy(x)$$

• Universal quantification does not have binding potential for singular pronominal anaphora.

(29)Everyone walks. She is happy. $\forall x.walk(x) \land looks-happy(x)$

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(30) If a farmer owns a donkey, he beats it.

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 - It's not because "a farmer" is different from "someone":
- (32) If someone loves something, he won't beat it.
 - It's not because of the "if... then":
- (33) Every farmer who owns a donkey beats it.

• Again, this is a *general* property of anaphora.

Adjectival:

(34) If Hoa is away, then <u>so</u> is Damaya. (They are always together) Temporal:

(35) If I drink, then I'm hungover the next morning.

Propositional:

(36) If Damaya says something, Essun will question <u>it</u>.

- In literary criticism, one separates a narrative into story and discourse.
- A discourse is a text. What happens might be reported out of order.
- A story is the sequence of happenings that is described in the text.
- If we are reading a discourse and we cannot determine the story, we find the discourse incoherent.

- What's in a story? Think of it like a theatre play.
- 1. The referents. (or *dramatis personae*).
- 2. The conditions: what the referents do / what happens to the referents.
- The sentence "He beats it" does not have truth-conditions.
- It only has meaning if we know which actor "he" is.

Discourse is HOW a narrative is told.

Story is WHAT happens in the narrative.

A story contains things we talk about and what happens to these things.

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- We use a universal language to describe stories called discourse representation theory (DRT).
- Stories contain actors, and say something about these actors.



Discourse Representation Structures

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- So we construct an intermediate representation for stories.

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- Previously, we tried to assign truth conditions to discourses directly, but we didn't get far.
- So we construct an intermediate representation for stories.
- A "box" that keeps track of *what there is* separately of *what these things do* is called a Discourse Representation Structure.



 $\leftarrow \text{the things we talk about}$

 \leftarrow what we say about these things

- I think it is an extremely good idea to do it like this.
- We won't do dialogues just now, but consider this:
- (37) a. Hoa: There is a cat outside.
 - b. Jija: No, it's a dog.

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 - b. Jija: It is not the case that there is a cat outside. It's a dog.
- (39) a. Hoa: There is a cat outside.
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• "A farmer beats a donkey."



 $\circ \langle \{f, d\}, \{\texttt{farmer}(f), \texttt{donkey}(d), \texttt{beat}(f, d)\} \rangle.$

Now, the stroke of genius (Hans Kamp): Stories have Sub-stories.

Boxes can appear in boxes.

(40) I'm having a party.

If Damaya is coming to it, she will bring wine.

| j, p | | | |
|--------------|---------------|-------------|--|
| Julian(j) | | | |
| party(p) | | | |
| have(j, p) | | | |
| d | | W | |
| Damaya(d) | \Rightarrow | wine(W) | |
| coming(d, p) | | bring(d, w) | |
| | | | |

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- CONs are constructed as follows:
- if *N* is a NAME and *x* is a REF, N(x) is a CON;
- if *P* is a PRED and $x_1, ..., x_n$ are REFs, $P(x_1, ..., x_n)$ is a CON;
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- if x and y are REFs, x = y is a CON;
- if *K* is a DRS, then $\neg K$ and $\Diamond K$ are CONs;
- if K and K' are DRSs, then $K \bigvee K'$ is a CON;
- if *K* and *K'* are DRSs, then $K \Rightarrow K'$ is a CON.

- The idea:
- "If a farmer owns a donkey, he beats it" is a bit like Whenever a farmer owns a donkey, he beats it.
- Better yet, write Whenever the story is such that it contains a farmer, a donkey and the farmer owns the donkey, then the story is such that the farmer beats the donkey.



"Every man walks."



- The conditions in a box can talk about the referents on the top of the same box.
- But sometimes, referents on top of one box are available to talk about in other boxes.
- Intuitively, in a sub-story you can talk about the actors of the bigger story.
- But in the bigger story you are not (always) allowed to speak about actors of a sub-story.

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Subordination

- A DRS K' is immediately subordinate to a DRS K iff:
- 1. *K* contains the condition $\neg K'$ or $\Diamond K'$; or
- 2. *K* contains a condition of the form $K' \vee K''$ or $K'' \vee K'$.
- 3. *K* contains a condition of the form $K' \Rightarrow K''$.
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K′ is **subordinate** to *K* if *K*′ is connected to *K* via immediate subordination ("up or left in conditionals").

That is, if there is a chain $K' = K_1, K_2, ..., K_{n-1}, K_n = K$ where for all *i*, K_i is immediately subordinate to K_{i-1} .

• Now, a pronoun in *K*' can access referents in all DRSs *K* that *K*' is subordinate to.
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- $\circ\;$ This is actually fine, but for different reasons (later!):
- (42) It is not the case that Jija is running. He takes his time.

- Negation blocks binding—but only if the referent is below the negation.
- (43) A man is not running. He takes his time.



(44) Not every man is running. $^{\#}$ He takes his time.



- $\circ~$ Can't go left or right in disjunction (this is actually controversial).
- (45) Either a man is having tea or [?]he is having coffee.



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- $\circ\;$ This is actually fine, but for different reasons (later!):
- (46) Either Jija is having tea or he is having coffee.

Discourse Representation Theory

Truth

- $\circ~$ We want to have a mathematical notion of truth conditions.
- A model is a tuple $M = (W_M, D_M, N_M, P_M)$ where
- $\circ W_M$ is a set of possible worlds,
- $\circ D_M$ is a set of things (the domain of reference),
- N_M is an assignment of names to things (N_M : NAME $\rightarrow D_M$),
- and P_M is an assignment of properties to the set of all things that have that property in a world ($P_M : W \times PROP \rightarrow \mathcal{P}(D_M^{\leq \omega})$).

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- A sentence like "Julian is happy" is true in M, w iff the set $P_M(w, \text{happy})$ contains the thing $N_M(\text{Julian})$.
- We write $M, w \models \varphi$ for " φ is true in w according to M".

Interpretation of DRSs: Referent Extension

- The idea is this: a DRSs tells us a story about how some things have some properties.
- To evaluate whether it is true, we need to find people in a world model that have these properties.
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Referent Assignments

Let $M = (W_M, D_M, N_M, P_M)$ be a model. Let $f, g : \text{REF} \to D_M$ be partial functions from variables to objects in the model. Write g > f ("g extends f") if dom(g) \supseteq dom(f) and for all $x \in \text{dom}(f), f(x) = g(x)$.

- Referents extend variable assignments.
- The conditions impose tests on assignments.

DRT Semantics

Let *M* be a model. Define by simultaneous recursion for any $w \in W_M$ and any assignments f, g:

1. $f[[\langle U, Cons \rangle]]_{M,w}g$ iff g > f, $U \subseteq \text{dom}(g)$ and $M, w, g \models_{DRT} C$ for all $C \in Cons$.

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- 3. $M, w, f \models_{DRT} \neg K$ iff there is no g with $f[[K]]_{M,w}g$.

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- 4. $M, w, f \models_{DRT} \Diamond K$ iff there is a $v \in W$ and a g with $f[[K]]_{M,v}g$.

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- 5. $M, w, f \models_{DRT} K_1 \bigvee K_2$ iff there is a g with $f[[K_1]]_{M,w}g$ or $f[[K_2]]_{M,w}g$.

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- 6. $M, w, f \models_{DRT} K_1 \Rightarrow K_2$ iff for every g with $f[[K_1]]_{M,w}g$, there is a h with $g[[K_2]]_{M,w}h$.

Truth

• If you want something that looks more like a truth-condition: $M, w, f \models K$ iff there is a $g, f[[K]]_{M,w}g$ • If you want something that looks more like a truth-condition: $M, w, f \models K$ iff there is a $g, f[[K]]_{M,w}g$

DRT embeds into Modal Predicate Logic (S5) Define recursively:

$$\circ \quad (P^k(x_1,\ldots,x_k))^{\heartsuit} = P^k x_1,\ldots,x_k; (x_i = x_j)^{\heartsuit} = (x_i = x_j); (\neg K)^{\heartsuit} = \neg K^{\heartsuit}; (K_1 \lor K_2)^{\heartsuit} = (K_1^{\heartsuit} \lor K_2^{\heartsuit});$$

• If
$$K_1 = \langle \{x_1, \dots, x_n\}, \{\operatorname{Con}_1, \dots, \operatorname{Con}_m\} \rangle$$
, then
 $K_1^{\heartsuit} = \exists x_1 \dots \exists x_n (\operatorname{Con}_1^{\heartsuit} \land \dots \land \operatorname{Con}_m^{\heartsuit});$
 $(K_1 \Rightarrow K_2)^{\heartsuit} = \forall x_1 \dots \forall x_n ((\operatorname{Con}_1^{\heartsuit} \land \dots \land \operatorname{Con}_m^{\heartsuit}) \to K_2^{\heartsuit}).$

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DRT embeds into Modal Predicate Logic (S5) Define recursively:

$$\circ \quad (P^{k}(x_{1},\ldots,x_{k}))^{\heartsuit} = P^{k}x_{1},\ldots,x_{k}; (x_{i} = x_{j})^{\heartsuit} = (x_{i} = x_{j}); (\neg K)^{\heartsuit} = \neg K^{\heartsuit}; (K_{1} \lor K_{2})^{\heartsuit} = (K_{1}^{\heartsuit} \lor K_{2}^{\heartsuit});$$

$$\circ \quad \text{If } K_{1} = \langle \{x_{1},\ldots,x_{n}\}, \{\text{Con}_{1},\ldots,\text{Con}_{m}\}\rangle, \text{then} K_{1}^{\heartsuit} = \exists x_{1} \ldots \exists x_{n}(\text{Con}_{1}^{\heartsuit} \land \ldots \land \text{Con}_{m}^{\heartsuit}); (K_{1} \Rightarrow K_{2})^{\heartsuit} = \forall x_{1} \ldots \forall x_{n}((\text{Con}_{1}^{\heartsuit} \land \ldots \land \text{Con}_{m}^{\heartsuit}) \rightarrow K_{2}^{\heartsuit}).$$

 $\circ M, w, f \models K \text{ iff } M, w, f \models_{MPL} K^{\heartsuit}.$

Donkey Sentences, Informally

o "If a farmer owns a donkey, he beats it."



 $\circ \approx$ Whenever we have a farmer and we have a donkey and the farmer owns the donkey, then the farmer beats the donkey.

Donkey Sentences, Formally



is true for *M*, *w*, ∅ iff

• For every
$$g > \emptyset$$
 with $M, w, g \models$
$$f, d \\ farmer(f) \\ donkey(d) \\ owns(f, d) \\ There is a $h > g$ with $M, w, h \models$
$$beat(f, d) \\ beat(f, d) \\ farmer(f) \\ donkey(d) \\ owns(f, d) \\ farmer(f) \\ donkey(d) \\ farmer(f) \\ donkey(d) \\ owns(f, d) \\ farmer(f) \\ donkey(d) \\ owns(f, d) \\ farmer(f) \\ fa$$$$

Donkey Sentences, Formally



is true for M, w, \emptyset iff

• Because the top part of the right box is empty, h = g.

$$\operatorname{ry} g \text{ with } M, g \models \boxed{\begin{array}{c} f, d \\ \texttt{farmer}(f) \\ \texttt{donkey}(d) \\ \texttt{owns}(f, d) \end{array}}, M, g \models \boxed{\begin{array}{c} \\ \hline \\ \texttt{beat}(f, d) \end{array}}$$

For eve

Donkey Sentences, Formally



is true for M, w, \emptyset iff

• Because the top part of the right box is empty, h = g.

For every g with
$$M, g \models \begin{bmatrix} f, d \\ farmer(f) \\ donkey(d) \\ owns(f, d) \end{bmatrix}$$
, $M, g \models \begin{bmatrix} \\ \\ \end{bmatrix}$

This is true exactly if (in *M*) all farmers beat all their donkeys!

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 - > incoherent sentences.

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$$\circ \quad \text{Natural Language Sentences} \rightsquigarrow \square \text{RSs} \mapsto \square \text{Models}, \text{ where:}$$

 $\sim :=$ the discourse representation *construction algorithm*, $\mapsto :=$ a truth-conditional model-theoretic *embedding*.

| DRS-Construction Algorithm | |
|----------------------------------|--|
| Input: | a discourse $D = S_1,, S_i, S_{i+1},, S_n$ |
| 1.4.2 | the empty DRS K ₀ |
| Keep repeating for $i = 1,, n$: | |
| (i) | add the syntactic analysis $[S_i]$ of (the next) sentence S_i to the conditions of K_{i-1} ; call this DRS K_i^* . Go to (ii). |
| (ii) | Input: a set of reducible conditions of K_i^* |
| | Keep on applying construction principles to each reducible |
| | condition of K_i^* until a DRS K_i is obtained that only contains |
| | irreducible conditions. Go to (i). |

• (It's a *shift-reduce* algorithm, in case that means something to someone.)



• If this stops before all *S* have been dealt with, the discourse is incoherent.

DRS Construction Algorithm: Names



Julian smiled. He saw a cat.



Julian smiled. He saw a cat.



Julian smiled. He saw a cat.



DRS Construction Algorithm: Pronouns








DRS Construction Algorithm: Indefinites



| j,u |
|---------------------|
| Julian(j) |
| Gen(<i>j</i>) = m |
| smile(j) |
| u = j |
| Gen(<i>u</i>) = m |
| u saw a cat. |
| |





DRS Construction Algorithm: Negation



(47) A man is not seeing a cat. He smiles, $^{\#}$ it does not.



DRS Construction Algorithm: Conditionals



(48) If a farmer owns a donkey, he beats it.





(49) Maria has three siblings, two of whom are female.Her sisters are here. *X*He is somewhere else.

| <i>m</i> , : | sib, sis |
|-----------------------------|------------------|
| Ma | aria(<i>m</i>) |
| <pre>siblings(sib, m)</pre> | |
| #s | ib = 3 |
| #s | is = 2 |
| pai | rt-of(sis, sib) |
| fen | nale(sis) |
| sis | ster(sis, m) |
| hei | ce(sis) |
| [| |
| _ | here(x) |
| | Gan(x) = m |
| | Gen(x) = m |

(50) Julian smiled. He saw a cat.

 $\circ\;$ This tells you something about why Julian is smiling.

(50) Julian smiled. He saw a cat.

This tells you something about why Julian is smiling.(51) Julian smiled. He saw a horrible accident.

(52) Julian smiled because he saw a cat.

(53) Julian smiled, ??but he saw a cat.

(54) Julian smiled. ?Therefore he saw a cat.

(52) Julian smiled because he saw a cat.

(53) Julian smiled, ??but he saw a cat.

(54) Julian smiled. ?Therefore he saw a cat.

• There is much more to how sentences compose than is captured by DRT.