

Subsumption

Let A, B be feature structures over the same signature. We say that A *subsumes* B ($A \sqsubseteq B$; also, A is *more general than* B , and B is *subsumed by*, or is *more specific than*, A) if the following conditions hold:

- 1 if A is an atomic AVM then B is an atomic AVM with the same atom;
- 2 for every $F \in \text{FEATS}$, if $F \in \text{dom}(A)$ then $F \in \text{dom}(B)$, and $\text{val}(A, F)$ subsumes $\text{val}(B, F)$; and
- 3 if two paths are reentrant in A , they are also reentrant in B : if $\pi_1 \overset{A}{\rightsquigarrow} \pi_2$ then $\pi_1 \overset{B}{\rightsquigarrow} \pi_2$.

Subsumption

Example: Subsumption

$$[] \sqsubseteq [\text{NUM} : \textit{sg}]$$

$$[\text{NUM} : \textit{X}] \sqsubseteq [\text{NUM} : \textit{sg}]$$

$$[\text{NUM} : \textit{sg}] \sqsubseteq \begin{bmatrix} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{bmatrix}$$

$$\begin{bmatrix} \text{NUM1} : \textit{sg} \\ \text{NUM2} : \textit{sg} \end{bmatrix} \sqsubseteq \begin{bmatrix} \text{NUM1} : \boxed{1}\textit{sg} \\ \text{NUM2} : \boxed{1} \end{bmatrix}$$

Subsumption

Subsumption is a *partial* relation: not every pair of feature structures is comparable:

$$[\text{NUM} : \textit{sg}] \not\subseteq \not\supseteq [\text{NUM} : \textit{pl}]$$

A different case of incomparability is caused by the existence of different features in the two structures:

$$[\text{NUM} : \textit{sg}] \not\subseteq \not\supseteq [\text{PERS} : \textit{third}]$$

Subsumption

Example: Subsumption

While subsumption informally encodes an order of information content among AVMs, sometimes the informal notion can be misleading:

$$\left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right] \not\subseteq \left[\text{AGR} : \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right] \right]$$

Subsumption

Some properties of subsumption:

Least element: the empty feature structure subsumes every feature structure: for every feature structure A , $[] \sqsubseteq A$

Reflexivity: for every feature structure A , $A \sqsubseteq A$

Transitivity: If $A \sqsubseteq B$ and $B \sqsubseteq C$ then $A \sqsubseteq C$.

Antisymmetry: Subsumption is antisymmetric: if $A \sqsubseteq B$ and $B \sqsubseteq A$ then $A = B$.

To summarize, subsumption is a partial, reflexive, transitive and antisymmetric relation; it is therefore a *partial order*.

Unification

- The *unification* operation, denoted ' \sqcup ', is defined over pairs of feature structures, and yields the most general feature structure that is more specific than both operands, if one exists:
 $A = B \sqcup C$ if and only if A is the most general feature structure such that $B \sqsubseteq A$ and $C \sqsubseteq A$.
- If such a structure exists, the unification *succeeds*, and the two arguments are said to be *unifiable* (or *consistent*). If none exists, the unification *fails*, and the operands are said to be *inconsistent*.

Unification

Example: Unification

Unification combines consistent information:

$$[\text{NUM} : \textit{sg}] \sqcup [\text{PERS} : \textit{third}] = \begin{bmatrix} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{bmatrix}$$

Different atoms are inconsistent:

$$[\text{NUM} : \textit{sg}] \sqcup [\text{NUM} : \textit{pl}] = \top$$

Example: (continued)

Atoms and non-atoms are inconsistent:

$$[\text{NUM} : sg] \sqcup sg = \top$$

Example: (continued)

Unification is absorbing:

$$\left[\text{NUM} : \textit{sg} \right] \sqcup \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right] = \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right]$$

Example: (continued)

Empty feature structures are identity elements:

$$[] \sqcup [\text{AGR} : [\text{NUM} : \textit{sg}]] = [\text{AGR} : [\text{NUM} : \textit{sg}]]$$

Example: (continued)

Reentrancy causes two consistent values to coincide:

$$\left[\begin{array}{l} \text{F : } \left[\begin{array}{l} \text{NUM : } \textit{sg} \end{array} \right] \\ \text{G : } \left[\begin{array}{l} \text{PERS : } \textit{third} \end{array} \right] \end{array} \right] \sqcup \left[\begin{array}{l} \text{F : } \boxed{1} \\ \text{G : } \boxed{1} \end{array} \right] = \left[\begin{array}{l} \text{F : } \boxed{1} \\ \text{G : } \boxed{1} \end{array} \left[\begin{array}{l} \text{NUM : } \textit{sg} \\ \text{PERS : } \textit{third} \end{array} \right] \right]$$

Example: (continued)

Variables can be (partially) instantiated:

$$[F : X] \sqcup [F : [H : b]] = [F : X([H : b])]$$

Example: (continued)

Unification acts differently depending on whether the values are equal:

$$\left[\begin{array}{l} F : \left[\begin{array}{l} \text{NUM} : \textit{sg} \end{array} \right] \\ G : \left[\begin{array}{l} \text{NUM} : \textit{sg} \end{array} \right] \end{array} \right] \sqcup [F : [\text{PERS} : \textit{3rd}]] = \left[\begin{array}{l} F : \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{3rd} \end{array} \right] \\ G : \left[\begin{array}{l} \text{NUM} : \textit{sg} \end{array} \right] \end{array} \right]$$

...or identical:

$$\left[\begin{array}{l} F : \boxed{1} [\text{NUM} : \textit{sg}] \\ G : \boxed{1} \end{array} \right] \sqcup [F : [\text{PERS} : \textit{3rd}]] = \left[\begin{array}{l} F : \boxed{1} \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{3rd} \end{array} \right] \\ G : \boxed{1} \end{array} \right]$$

Variable binding

Unification *binds* variables together. Let:

$$A = [F : \boxed{1} [\text{NUM} : \textit{sg}]] \quad B = [F : \boxed{2} [\text{PERS} : \textit{third}]]$$

Then:

$$A \sqcup B = \left[F : \boxed{1} \boxed{2} \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right] \right]$$

Of course, since the variables $\boxed{1}$ and $\boxed{2}$ occur nowhere else, they can be simply omitted and the result is equal to:

$$A \sqcup B = \left[F : \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right] \right]$$

Variable binding

However, had either $\boxed{1}$ or $\boxed{2}$ occurred elsewhere (for example, as the value of some feature G in A), their values would have been modified as a result of the unification:

$$\left[\begin{array}{l} F : \boxed{1} \\ G : \boxed{1} \end{array} \left[\begin{array}{l} \text{NUM} : \textit{sg} \end{array} \right] \right] \sqcup \left[F : \boxed{2} \left[\begin{array}{l} \text{PERS} : \textit{third} \end{array} \right] \right] =$$
$$\left[\begin{array}{l} F : \boxed{3} \\ G : \boxed{3} \end{array} \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right] \right]$$

Unification

Some properties of unification:

Idempotency: $A \sqcup A = A$

Commutativity: $A \sqcup B = B \sqcup A$

Associativity: $A \sqcup (B \sqcup C) = (A \sqcup B) \sqcup C$

Absorption: If $A \sqsubseteq B$ then $A \sqcup B = B$

Monotonicity: If $A \sqsubseteq B$ then for every C , $A \sqcup C \sqsubseteq B \sqcup C$ (if both exist).

Generalization

- Generalization (denoted \sqsupset) is the operation that returns the most specific (or least general) feature structure that is still more general than both arguments.
- Unlike unification, generalization can never fail. For every pair of feature structures there exists a feature structure that is more general than both: in the most extreme case, pick the empty feature structure, which is more general than every other structure.

Generalization

Example: Generalization

Generalization reduces information:

$$[\text{NUM} : \textit{sg}] \sqcap [\text{PERS} : \textit{third}] = []$$

Different atoms are inconsistent:

$$[\text{NUM} : \textit{sg}] \sqcap [\text{NUM} : \textit{pl}] = [\text{NUM} : []]$$

Example: (continued)

Generalization is restricting:

$$[\text{NUM} : \textit{sg}] \sqcap \begin{bmatrix} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{bmatrix} = [\text{NUM} : \textit{sg}]$$

Example: (continued)

Empty feature structures are zero elements:

$$[] \sqcap [\text{AGR} : [\text{NUM} : \text{sg}]] = []$$

Reentrancies can be lost:

$$\begin{bmatrix} \text{F} : \boxed{1} [\text{NUM} : \text{sg}] \\ \text{G} : \boxed{1} \end{bmatrix} \sqcap \begin{bmatrix} \text{F} : [\text{NUM} : \text{sg}] \\ \text{G} : [\text{NUM} : \text{sg}] \end{bmatrix} = \begin{bmatrix} \text{F} : [\text{NUM} : \text{sg}] \\ \text{G} : [\text{NUM} : \text{sg}] \end{bmatrix}$$

Generalization

Some properties of generalization:

Idempotency: $A \sqcap A = A$

Commutativity: $A \sqcap B = B \sqcap A$

Absorption: If $A \sqsubseteq B$ then $A \sqcap B = A$

Using feature structures for representing lists

Feature structures can be easily used to encode (finite) lists. As an example, consider the following representation of the list $\langle 1, 2, 3 \rangle$ (assuming a signature whose atoms include the numbers 1, 2, 3):

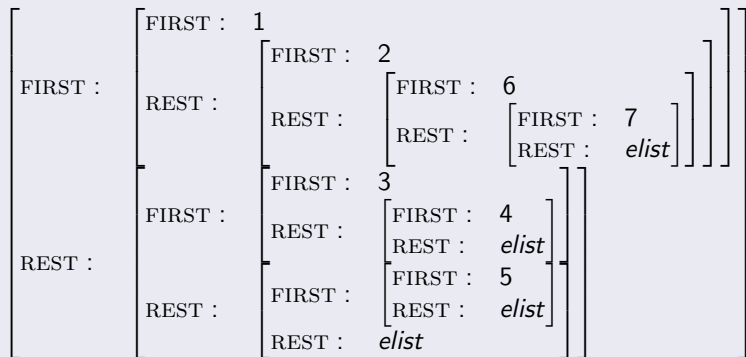
Example: Feature structure encoding of a list

$$\left[\begin{array}{l} \text{FIRST : } 1 \\ \text{REST : } \left[\begin{array}{l} \text{FIRST : } 2 \\ \text{REST : } \left[\begin{array}{l} \text{FIRST : } 3 \\ \text{REST : } \textit{elist} \end{array} \right] \end{array} \right] \end{array} \right]$$

Using feature structures for representing lists

Example: A nested list

The list $\langle\langle 1, 2, 6, 7 \rangle, \langle 3, 4 \rangle, \langle 5 \rangle\rangle$:



Adding features to rules

- Phrases, like words, have valued features and consequently, grammar non-terminals, too, are decorated with features.
- When a feature is assigned to a non-terminal symbol C , it means that this feature is appropriate for *all* the phrases of category C : it makes sense for it to appear in all the instances of C .
- Such categories interact, in the grammar, with other AVMs, through application of rules, and the specified values might thus undergo changes. In general, AVMs are changed as a result of rule application.
- We refer to such enriched categories as *generalized categories* (or *extended* ones), which have a *base category* and an associated feature structure.

Adding features to rules

Example:

A feature structure that might be associated with phrases of category *NP* (noun phrases).

$$\begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : \left[\right] \\ \text{PERS} : \left[\right] \end{array} \right] \end{array}$$

A third person singular noun phrase such as **lamb** may be associated with:

$$\begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : \textit{sg} \\ \text{PERS} : \textit{third} \end{array} \right] \end{array}$$

Extended grammar rules

Example: Rules for imposing number agreement

(1) N \rightarrow *lamb*
[NUM: X] \rightarrow [NUM: X(*sg*)]

(2) N \rightarrow *lambs*
[NUM: X] \rightarrow [NUM: X(*pl*)]

(3) S \rightarrow NP VP
[NUM: X] [NUM: X]

(4) NP \rightarrow D N
[NUM: X] [NUM: X] [NUM: X]

Scope of variables

The scope of a variable is the grammar rule in which it occurs.
Reformulating rule (2) as

$$\overset{N}{[\text{NUM} : Y]} \rightarrow [\text{NUM} : Y(\rho l)]$$

has no effect.

No sharing is implied by occurrences of the same variables in different rules, for example the occurrences of X in rules (1) and (2) above.

Declarativity

- Consider rule 4:

$$(4) \quad \begin{array}{c} NP \\ \hline [\text{NUM} : X] \end{array} \rightarrow \begin{array}{c} D \\ \hline [\text{NUM} : X] \end{array} \begin{array}{c} N \\ \hline [\text{NUM} : X] \end{array}$$

- This rule stipulates that in order to form a noun phrase (NP) from the concatenation of a determiner (D) and a noun (N), the NUM features of the determiner and the noun must agree.
- The NUM feature of the noun phrase thus constructed is equal to that of either daughter.
- What the rule does *not* determine is an *order* of this value check.
- The unidirectional view of agreement is a typical view of unification-based grammar formalisms.

Extending AVMs

- Multi-AVMs can be viewed as sequences of AVMs, with the important observation that some sub-structures can be shared among two or more AVMSs.
- In other words, the scope of variables is extended from a single AVM to a multi-AVM: the same variable can be associated with two sub-structures of different AVMs.
- The notion of well-formedness is extended to multi-AVMs.
- The function val , associating a value with features (and paths) has to be extended, too.
- If the value of the path π_1 leaving the i -th root of σ is reentrant with the value of the path π_2 leaving the j -th root, we write $(i, \pi_1) \overset{\sigma}{\rightsquigarrow} (j, \pi_2)$.

Extending AVMs

Example: Multi-AVM

Let σ be the multi-AVM:

$$\left[\begin{array}{l} \text{F} : \\ \left[\begin{array}{l} \text{G} : a \\ \text{H} : X \end{array} \right] \end{array} \right] \quad \left[\text{G} : Y \right] \quad \left[\begin{array}{l} \text{F} : \\ \left[\begin{array}{l} \text{H} : b \\ \text{G} : X \end{array} \right] \\ \text{H} : a \end{array} \right]$$

Then $\text{val}(\sigma, 1, \langle \text{F} \rangle)$ is: $\left[\begin{array}{l} \text{G} : a \\ \text{H} : [] \end{array} \right]$

whereas $\text{val}(\sigma, 3, \langle \text{F} \rangle)$ is: $\left[\begin{array}{l} \text{H} : b \\ \text{G} : [] \end{array} \right]$

In this example, $(1, \langle \text{F H} \rangle) \overset{\sigma}{\rightsquigarrow} (3, \langle \text{F G} \rangle)$.

Example: (continued)

A multi-AVM can have an empty feature structure as an element:

$$\left[\begin{array}{l} \text{F} : \\ \left[\begin{array}{l} \text{G} : a \\ \text{H} : X \end{array} \right] \end{array} \right] \quad [] \quad \left[\begin{array}{l} \text{F} : \\ \left[\begin{array}{l} \text{H} : b \\ \text{G} : X \end{array} \right] \\ \text{H} : a \end{array} \right]$$

Extending AVMs

The following is a valid multi-AVM:

$$\left[\begin{array}{l} \text{F} : a \\ \text{G} : \boxed{2} \end{array} \right] \quad \boxed{2} \left[\text{H} : b \right]$$

The only restriction is that the same variable cannot be associated with two *different* elements in the sequence. Thus, the following is *not* a multi-AVM:

$$\boxed{2} \left[\text{H} : b \right] \quad \left[\begin{array}{l} \text{F} : a \\ \text{G} : \boxed{2} \end{array} \right] \quad \boxed{2}$$

Subsumption

The notion of subsumption can be naturally extended from AVMs to multi-AVMs: if σ and ρ are two multi-AVMs *of the same length*, n , then $\sigma \sqsubseteq \rho$ if the following conditions hold:

- 1 every element of σ subsumes the corresponding element of ρ :
for every i , $1 \leq i \leq n$, $val(\sigma, i, \epsilon) \sqsubseteq val(\rho, i, \epsilon)$; and
- 2 if two paths are reentrant in σ , they are also reentrant in ρ : if $(i, \pi_1) \overset{\sigma}{\rightsquigarrow} (j, \pi_2)$ then $(i, \pi_1) \overset{\rho}{\rightsquigarrow} (j, \pi_2)$.

Subsumption

Example: Multi-AVM subsumption

Let σ be: $\left[F : \left[G : a \right] \right]$ $[G : c]$ $\left[F : \left[H : b \right] \right]$
 $\left[H : a \right]$

and ρ be: $\left[F : \left[G : a \right] \right]$ $[G : c]$ $\left[F : \left[H : b \right] \right]$
 $\left[H : a \right]$
 $\left[G : d \right]$

Then σ does not subsume ρ , but $\rho \sqsubseteq \sigma$.

Unification

In the same way, the notion of unification can be extended to multi-AVMs (of the same length): we say that ρ is the unification of σ_1 and σ_2 (and write $\rho = \sigma_1 \sqcup \sigma_2$) if σ_1, σ_2 and ρ are of the same length, and ρ is the most general multi-AVM that is more specific than both σ_1 and σ_2 .

Rules and grammars

- An extended context-free rule consists of two components: a context-free rule, and a multi-AVM of the same length.
- A unification grammar consists of a set of extended context-free rules and an extended category that serves as the *start symbol*.

Unification grammars

Example: G_1 , a unification grammar for E_0

$$(1) \quad S \quad \rightarrow \quad \begin{array}{c} NP \\ [NUM : X] \end{array} \quad \begin{array}{c} VP \\ [NUM : X] \end{array}$$

$$(2) \quad \begin{array}{c} NP \\ [NUM : X] \end{array} \quad \rightarrow \quad \begin{array}{c} D \\ [NUM : X] \end{array} \quad \begin{array}{c} N \\ [NUM : X] \end{array}$$

$$(3) \quad \begin{array}{c} VP \\ [NUM : X] \end{array} \quad \rightarrow \quad \begin{array}{c} V \\ [NUM : X] \end{array}$$

Example: (continued)

(4)	$\begin{array}{c} VP \\ [NUM : X] \end{array}$	\rightarrow	$\begin{array}{c} V \\ [NUM : X] \end{array}$		$\begin{array}{c} NP \\ [NUM : Y] \end{array}$	
(5,6)	$\begin{array}{c} N \\ [NUM : X] \end{array}$	\rightarrow	$\begin{array}{c} \textit{lamb} \\ [NUM : X(\textit{sg})] \end{array}$		$\begin{array}{c} \textit{sheep} \\ [NUM : X] \end{array}$...
(7,8)	$\begin{array}{c} V \\ [NUM : X] \end{array}$	\rightarrow	$\begin{array}{c} \textit{sleeps} \\ [NUM : X(\textit{sg})] \end{array}$		$\begin{array}{c} \textit{sleep} \\ [NUM : X(\textit{pl})] \end{array}$...
(9,10)	$\begin{array}{c} D \\ [NUM : X] \end{array}$	\rightarrow	$\begin{array}{c} \textit{a} \\ [NUM : X(\textit{sg})] \end{array}$		$\begin{array}{c} \textit{two} \\ [NUM : X(\textit{pl})] \end{array}$...

Rule application

- Forms and sentential forms
- Derivations
- Derivation trees
- Language

- *Forms* are generalized and are composed of “sequences” of generalized categories, that is, of a sequence of base categories or words, augmented by a multi-AVM of the same length.
- We use Greek letters such as α, β as meta-variables over forms. For example, following is a form of length two:

$$\begin{array}{cc} NP & VP \\ \text{[NUM : } Y] & \text{[NUM : } Y] \end{array}$$

Derivations

Derivation is a binary relation over generalized forms. Let α be a generalized form, and $B_0 \rightarrow B_1 B_2 \dots B_k$ a grammar rule, where the B_i are all generalized categories, and where reentrancies might occur among elements of the form or the rule. Application of the rule to α consists of the following steps:

- Matching the rule's head with some element of the form that has the same base category;
- Replacing the selected element in the form with the body of the rule, producing a new form.

Derivations

Example: Matching

Suppose that

$$\alpha = \begin{array}{c} NP \\ [NUM : Y] \end{array} \quad \begin{array}{c} VP \\ [NUM : Y] \end{array}$$

is a (sentential) form and that

$$\rho = \begin{array}{c} VP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} V \\ [NUM : X] \end{array} \quad \begin{array}{c} NP \\ [NUM : W] \end{array}$$

is a rule. Let the selected element of α be its second element, namely the extended category

$$\begin{array}{c} VP \\ [NUM : Y] \end{array}$$

Example: (continued)

This extended category matches the head of the rule ρ , as the base categories are identical (VP) and the AVMs associated with them are unifiable (consistent). The result of the unification is the extended category

$$\begin{array}{c} VP \\ [NUM : Z] \end{array}$$

which is equivalent to

$$\begin{array}{c} VP \\ [NUM : []] \end{array}$$

An additional effect of the unification is that the variables Y of the form and X of the rule are unified, too.

Replacement

- The two feature structures (associated with the head of the rule and with the selected element) are unified in their respective *contexts*: the body of the rule and the form.
- When some variable X in the form is unified with some variable Y in the rule, all occurrences of X in the form and of Y in the rule are modified: they are all set to the unified value.
- The replacement operation inserts the modified rule body into the modified form, replacing the selected element of the form.
- The variables of the resulting form are then systematically renamed.

Derivation

Example: Derivation step

Let

$$\alpha = \begin{array}{cc} NP & VP \\ [NUM : Y] & [NUM : Y] \end{array}$$
$$\rho = \begin{array}{cc} VP & V & NP \\ [NUM : X] & \rightarrow & [NUM : X] & [NUM : W] \end{array}$$

be a form and a rule, respectively. The unification of the rule's head with the second element of α succeeds, and identifies the values of X and Y . After replacement and variable renaming we obtain:

$$\beta = \begin{array}{ccc} NP & V & NP \\ [NUM : X_1] & [NUM : X_1] & [NUM : W_1] \end{array}$$

Example: (continued)

Now assume that the (terminal) rule

$$\overset{V}{[\text{NUM} : Y]} \xrightarrow{\text{herds}} [\text{NUM} : Y(\text{sg})]$$

is to be applied to β . The value of the variable X_1 in the form is set, through unification, to sg , and the resulting form is:

$$\gamma = \overset{NP}{[\text{NUM} : X_2]} \overset{\text{herds}}{[\text{NUM} : X_2(\text{sg})]} \overset{NP}{[\text{NUM} : W_2]}$$

Note that the first NP had its feature structure modified, even though it did not participate directly in the rule application.

Derivation

Example: Derivation step (continued)

Assume now that γ is expanded by applying to its first element the rule

$$\begin{array}{c} NP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} D \\ [NUM : X] \end{array} \begin{array}{c} N \\ [NUM : X] \end{array}$$

In this case, unification of the first element of γ with the head of the rule binds the value of X in the rule to sg :

$$\delta = \begin{array}{c} D \\ [NUM : X_3] \end{array} \begin{array}{c} N \\ [NUM : X_3] \end{array} \begin{array}{c} \textit{herds} \\ [NUM : X_3(\textit{sg})] \end{array} \begin{array}{c} NP \\ [NUM : W_3] \end{array}$$

Example: (continued)

If we now tried to apply the (terminal) rule

$$[NUM : Y] \xrightarrow{D} [NUM : Y(\mathit{two})]$$

to the first element of δ , this attempt would have caused unification failure.

Derivation

Example: Derivation with ϵ -rules

Let

$$\alpha = \overset{A}{[F : X]} \overset{B}{\left[\begin{array}{l} F : X \\ G : Y \end{array} \right]} \overset{C}{[G : Y]}, \quad \rho = \overset{B}{\left[\begin{array}{l} F : Z \\ G : Z \end{array} \right]} \rightarrow \epsilon$$

be a form and a rule, respectively. Applying the rule to the second element of the form yields:

$$\overset{A}{[F : W]} \overset{C}{[G : W]}$$

Derivation

Example: Derivation can modify information

Let

$$\alpha = \begin{array}{c} A \\ [F : a] \end{array} \quad \begin{array}{c} B \\ [G : b] \end{array}, \quad \rho = \begin{array}{c} A \\ [F : a] \end{array} \rightarrow \begin{array}{c} A \\ [F : c] \end{array}$$

be a form and a rule, respectively. Applying the rule to the first element of the form yields:

$$\begin{array}{c} A \\ [F : c] \end{array} \quad \begin{array}{c} B \\ [G : b] \end{array}$$

Notice that in the result, the value of F in A was modified from a to c .

Derivation

- The full derivation relation is, as usual, the reflexive-transitive closure of rule application.
- A form is *sentential* if it is derivable from the start symbol.

Derivation

Consider a derivation of the sentence **two sheep sleep** with the grammar G_1 . After each rule is applied, the variables in the obtained form are renamed.

Example: Derivation

The derivation starts with the start symbol, which is the extended category S . Applying rule (1), one gets:

$$\begin{array}{cc} NP & VP \\ [\text{NUM} : X_1] & [\text{NUM} : X_1] \end{array}$$

Example: (continued)

It is now possible to select the leftmost element in the above sentential form and to apply rule (2). Renaming all occurrences of X in rule (2) to X_2 , one gets the following sentential form:

$$\begin{array}{ccc} D & N & VP \\ [\text{NUM} : X_2] & [\text{NUM} : X_2] & [\text{NUM} : X_2] \end{array}$$

Now select the rightmost element in the above form and apply rule (3), renaming all occurrences of X_2 to X_3 :

$$\begin{array}{ccc} D & N & V \\ [\text{NUM} : X_3] & [\text{NUM} : X_3] & [\text{NUM} : X_3] \end{array}$$

Example: (continued)

The leftmost element is selected, and (the terminal) rule (10) is applied, binding X_3 to pl :

$$\begin{array}{ccc} \textit{two} & N & V \\ [num : X_3(pl)] & [NUM : X_3] & [NUM : X_3] \end{array}$$

In the same way, rule (6) can be applied to the middle element in this form, and rule (8) to the rightmost, resulting in:

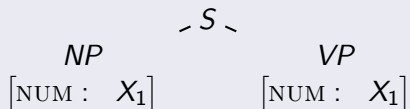
$$\begin{array}{ccc} \textit{two} & \textit{sheep} & \textit{sleep} \\ [NUM : X_3(pl)] & [NUM : X_3(pl)] & [NUM : X_3(pl)] \end{array}$$

Thus the string **two sheep sleep** is indeed a sentence.

Derivation trees

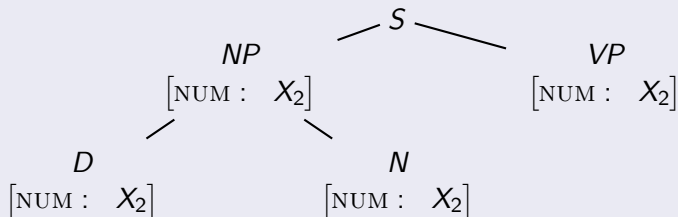
Example: Snapshots of a derivation sequence

We begin with the start symbol, the extended category S , which is expanded by applying rule (1), yielding (after renaming):



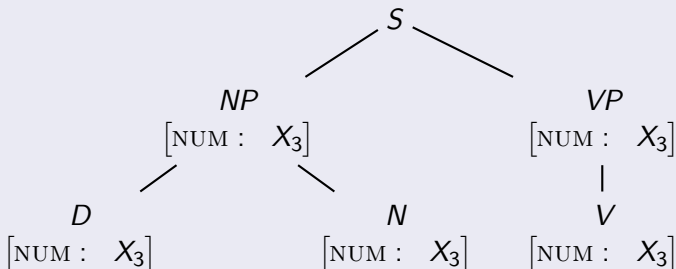
Example: (continued)

The next step is the application of rule (2) to the leftmost element in the frontier of the tree. Since this application results in binding X_1 with X_2 , we rename all occurrences of X_1 in the tree to X_2 , obtaining the following tree:



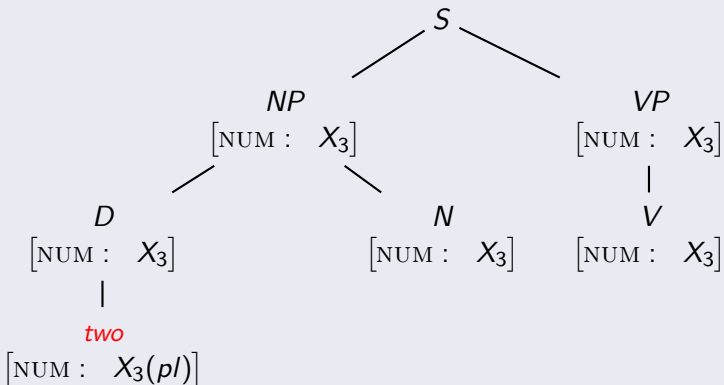
Example: (continued)

Now select the rightmost element in the frontier of the above tree and apply rule (3), renaming all occurrences of X_2 in the tree to X_3 ; the following tree is obtained:



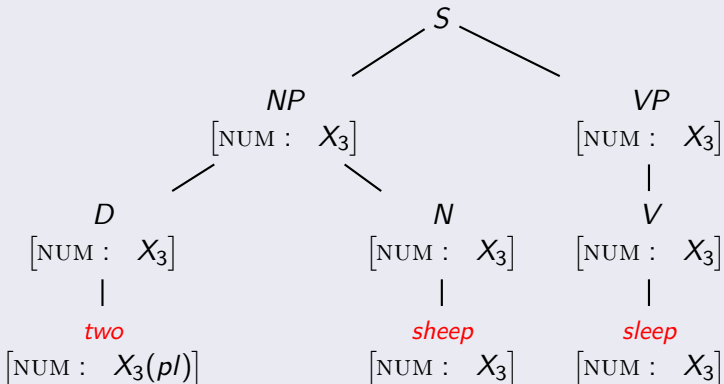
Example: (continued)

Next, the leftmost element is selected, and (the terminal) rule (10) is applied, binding X_3 to *pl*:



Example: (continued)

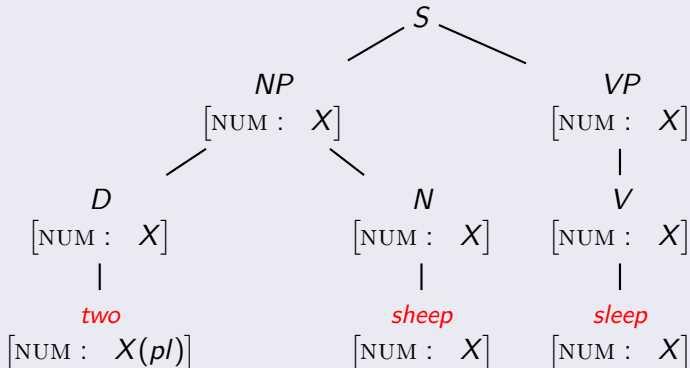
Similarly, rule (6) can be applied to the middle element in the frontier, and rule (8) to the rightmost, yielding:



Derivation trees

The final derivation tree for the same sentence:

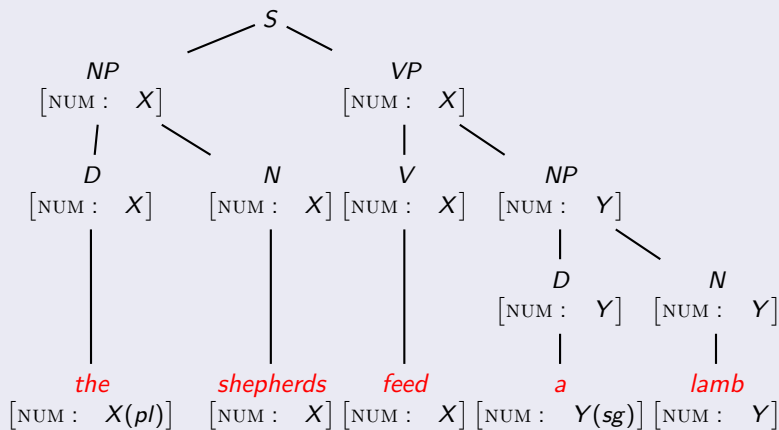
Example: Derivation tree



Derivation trees

The final derivation tree for the sentence **the shepherds feed a lamb**:

Example: Derivation tree



Languages

- To determine whether a sequence of words, $w = a_1 \cdots a_n$, is in $L(G)$, consider a derivation in G whose first form consists of the start symbol (an extended category, viewed as an extended form of length 1), and whose last form is $\langle w, \sigma' \rangle$.
- Let $\langle w, \sigma \rangle$ be an extended form obtained by concatenating A_1, \dots, A_n , where each A_i is a lexical entry of the word a_i .
- We say that $w \in L(G)$ if and only if σ' be a multi-AVM that is unifiable with σ : $\sigma \sqcup \sigma'$ does not fail.

Example: Language

Given this definition, observe, for example, that the string **two sheep sleep** is in the language generated by the example grammar G_1 ; we have seen a derivation sequence for this string. The first and the last elements of this sequence, namely the feature structures associated with the words **two** and **sleep**, are identical to lexical entries of G_1 . However, the middle element, namely the feature structure associated with **sheep**, is more specific than (subsumed by) the lexical entry of **sheep**.

Languages

The language generated by the grammar G_1 is context free:

Example: A context-free grammar G'_1

$$S \rightarrow S_{sg} \mid S_{pl}$$
$$S_{sg} \rightarrow NP_{sg} VP_{sg}$$
$$NP_{sg} \rightarrow D_{sg} N_{sg}$$
$$VP_{sg} \rightarrow V_{sg}$$
$$VP_{sg} \rightarrow V_{sg} NP_{sg} \mid V_{sg} NP_{pl}$$
$$D_{sg} \rightarrow a$$
$$N_{sg} \rightarrow \textit{lamb} \mid \textit{sheep} \mid \dots$$
$$V_{sg} \rightarrow \textit{sleeps} \mid \dots$$
$$S_{pl} \rightarrow NP_{pl} VP_{pl}$$
$$NP_{pl} \rightarrow D_{pl} N_{pl}$$
$$VP_{pl} \rightarrow V_{pl}$$
$$VP_{pl} \rightarrow V_{pl} NP_{sg} \mid V_{pl} NP_{pl}$$
$$D_{pl} \rightarrow \textit{two}$$
$$N_{pl} \rightarrow \textit{lamb} \mid \textit{sheep} \mid \dots$$
$$V_{pl} \rightarrow \textit{sleep} \mid \dots$$

Imposing case control

- The extensions of the CFG formalism can be used for imposing various constraints on generated languages. Here we suggest a solution for the problem of controlling the case of a noun phrase.
- First, add pronouns to the grammar:

$$(2.1) \quad \begin{array}{c} NP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} D \\ [NUM : X] \end{array} \quad \begin{array}{c} N \\ [NUM : X] \end{array}$$

$$(2.2) \quad \begin{array}{c} NP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} PropN \\ [NUM : X] \end{array}$$

$$(2.3) \quad \begin{array}{c} NP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} Pron \\ [NUM : X] \end{array}$$

Imposing case control

- Additionally, the following terminal rules are needed:

$$\begin{array}{l} \textit{PropN} \\ \text{[NUM : sg]} \end{array} \rightarrow \text{Jacob | Rachel | ...}$$

$$\begin{array}{l} \textit{Pron} \\ \text{[NUM : sg]} \end{array} \rightarrow \text{she | her | ...}$$

Imposing case control

- The additional rules allow sentences such as
She herds the sheep
Jacob loves her
- but also non-sentences such as
**Her herds the sheep*
**Jacob loves she*

Imposing case control

- We add a feature, `CASE`, to the feature structures associated with nominal categories: nouns, pronouns, proper names and noun phrases.
- What should the values of the `CASE` feature be?

Imposing case control

$$(11) \quad \begin{array}{c} \textit{PropN} \\ \left[\begin{array}{l} \text{NUM : } X \\ \text{CASE : } Y \end{array} \right] \end{array} \rightarrow \begin{array}{c} \textit{Rachel} \\ \left[\begin{array}{l} \text{NUM : } X(\textit{sg}) \\ \text{CASE : } Y \end{array} \right] \end{array}$$

$$(12) \quad \begin{array}{c} \textit{PropN} \\ \left[\begin{array}{l} \text{NUM : } X \\ \text{CASE : } Y \end{array} \right] \end{array} \rightarrow \begin{array}{c} \textit{Jacob} \\ \left[\begin{array}{l} \text{NUM : } X(\textit{sg}) \\ \text{CASE : } Y \end{array} \right] \end{array}$$

$$(13) \quad \begin{array}{c} \textit{Pron} \\ \left[\begin{array}{l} \text{NUM : } X \\ \text{CASE : } Y \end{array} \right] \end{array} \rightarrow \begin{array}{c} \textit{she} \\ \left[\begin{array}{l} \text{NUM : } X(\textit{sg}) \\ \text{CASE : } Y(\textit{nom}) \end{array} \right] \end{array}$$

$$(14) \quad \begin{array}{c} \textit{Pron} \\ \left[\begin{array}{l} \text{NUM : } X \\ \text{CASE : } Y \end{array} \right] \end{array} \rightarrow \begin{array}{c} \textit{her} \\ \left[\begin{array}{l} \text{NUM : } X(\textit{sg}) \\ \text{CASE : } Y(\textit{acc}) \end{array} \right] \end{array}$$

Imposing case control

Percolating the value of the *CASE* feature from the lexical entries to the category *NP*:

$$(2.1) \quad \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} \rightarrow \begin{array}{c} D \\ \left[\text{NUM} : X \right] \end{array} \quad \begin{array}{c} N \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array}$$

$$(2.2) \quad \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} \rightarrow \begin{array}{c} PropN \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array}$$

$$(2.3) \quad \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} \rightarrow \begin{array}{c} Pron \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array}$$

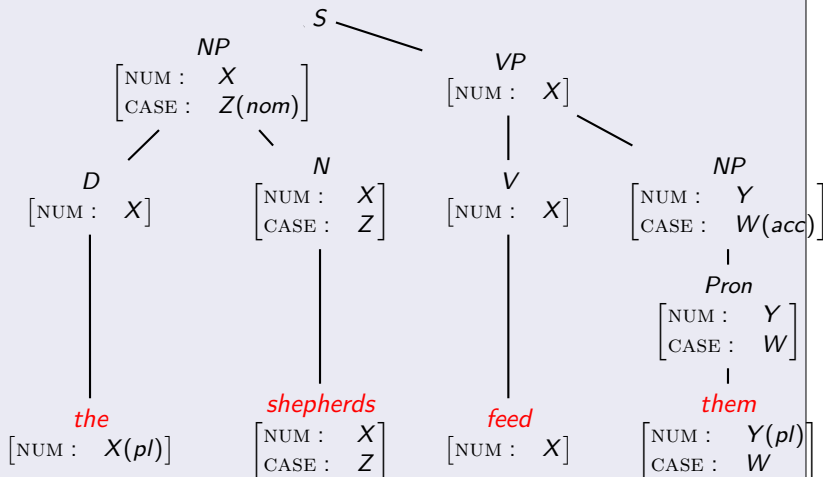
Imposing case control

Imposing the constraint:

$$\begin{array}{l} (1') \quad S \quad \rightarrow \quad \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : \textit{nom} \end{array} \right] \end{array} \quad \begin{array}{c} VP \\ \left[\text{NUM} : X \right] \end{array} \\ \\ (4') \quad \begin{array}{c} VP \\ \left[\text{NUM} : X \right] \end{array} \quad \rightarrow \quad \begin{array}{c} V \\ \left[\text{NUM} : X \right] \end{array} \quad \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : Y \\ \text{CASE} : \textit{acc} \end{array} \right] \end{array} \end{array}$$

Derivation tree with case control

Example: Derivation tree with case control



Example: (continued)

This tree represents a derivation which starts with the initial symbol, S , and ends with multi-AVM σ' , where

$$\sigma' = \begin{array}{cccc} \textit{the} & \textit{shepherds} & \textit{feed} & \textit{them} \\ \left[\text{NUM} : X(\textit{pl}) \right] & \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Z \end{array} \right] & \left[\text{NUM} : X \right] & \left[\begin{array}{l} \text{NUM} : Y(\textit{pl}) \\ \text{CASE} : W(\textit{acc}) \end{array} \right] \end{array}$$

This multi-AVM is unifiable with (but not identical to!) the sequence of lexical entries of the words in the sentence, which is:

$$\sigma = \begin{array}{cccc} \textit{the} & \textit{shepherds} & \textit{feed} & \textit{them} \\ \left[\text{NUM} : [] \right] & \left[\begin{array}{l} \text{NUM} : \textit{pl} \\ \text{CASE} : [] \end{array} \right] & \left[\text{NUM} : \textit{pl} \right] & \left[\begin{array}{l} \text{NUM} : \textit{pl} \\ \text{CASE} : \textit{acc} \end{array} \right] \end{array}$$

Imposing subcategorization constraints

We use the extended formalism for a naïve solution to the subcategorization problem; reminder:

intransitive verbs: *sleep, walk, run, laugh, . . .*

transitive verbs (with a nominal object): *feed, love, eat, . . .*

Imposing subcategorization constraints

First, the lexical entries of verbs are extended:

Example: Lexical entries for verbs

$$\begin{array}{c} V \\ \left[\begin{array}{l} \text{NUM : } X \\ \text{SUBCAT : } \textit{intrans} \end{array} \right] \end{array} \rightarrow \begin{array}{c} \textit{sleeps} \\ \left[\text{NUM : } X(\textit{sg}) \right] \end{array} \mid \begin{array}{c} \textit{sleep} \\ \left[\text{NUM : } X(\textit{pl}) \right] \end{array} \dots$$

$$\begin{array}{c} V \\ \left[\begin{array}{l} \text{NUM : } X \\ \text{SUBCAT : } \textit{trans} \end{array} \right] \end{array} \rightarrow \begin{array}{c} \textit{feeds} \\ \left[\text{NUM : } X(\textit{sg}) \right] \end{array} \mid \begin{array}{c} \textit{feed} \\ \left[\text{NUM : } X(\textit{pl}) \right] \end{array} \dots$$

Imposing subcategorization constraints

Second, the rules that involve verbs and verb phrases are extended:

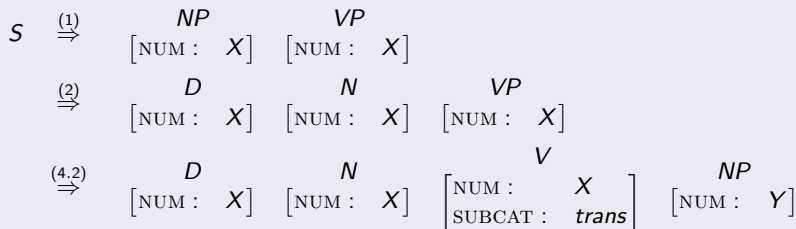
Example: Modified rules for verb phrases

$$(4.1) \quad \begin{array}{c} VP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} V \\ [NUM : X \\ SUBCAT : intrans] \end{array}$$

$$(4.2) \quad \begin{array}{c} VP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} V \\ [NUM : X \\ SUBCAT : trans] \end{array} \quad \begin{array}{c} NP \\ [NUM : Y] \end{array}$$

Imposing subcategorization constraints

Example: Derivation of *a shepherd feeds two sheep*



Example: Derivation of a shepherd feeds two sheep

(4.2)	\Rightarrow	D	N	V	NP	
		$[NUM : X]$	$[NUM : X]$	$[NUM : X$ SUBCAT : <i>trans</i>]	$[NUM : Y]$	
(1)	\Downarrow	D	N	V	D	N
		$[NUM : X]$	$[NUM : X]$	$[NUM : X$ SUBCAT : <i>trans</i>]	$[NUM : Y]$	$[NUM : Y]$
\Downarrow^*		<i>a</i>	<i>shepherd</i>	<i>feeds</i>	<i>two</i>	<i>sheep</i>
		$[NUM : sg]$	$[NUM : sg]$	$[NUM : sg$ SUBCAT : <i>trans</i>]	$[NUM : pl]$	$[NUM : pl]$

G_2 , a complete E_0 -grammar

Example: G_2 , a complete E_0 -grammar

$$\begin{array}{lcl} S & \rightarrow & \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : \textit{nom} \end{array} \right] \end{array} \quad \begin{array}{c} VP \\ \left[\text{NUM} : X \right] \end{array} \\ \\ \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} & \rightarrow & \begin{array}{c} D \\ \left[\text{NUM} : X \right] \end{array} \quad \begin{array}{c} N \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} \\ \\ \begin{array}{c} NP \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} & \rightarrow & \begin{array}{c} \textit{Pron} \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} \quad | \quad \begin{array}{c} \textit{PropN} \\ \left[\begin{array}{l} \text{NUM} : X \\ \text{CASE} : Y \end{array} \right] \end{array} \end{array}$$

Example: (continued)

$$\begin{array}{c} VP \\ [NUM : X] \end{array} \rightarrow \begin{array}{c} V \\ [NUM : X \\ SUBCAT : intrans] \end{array}$$

$$\begin{array}{c} VP \\ [num : X] \end{array} \rightarrow \begin{array}{c} V \\ [NUM : X \\ SUBCAT : trans] \end{array} \quad \begin{array}{c} NP \\ [NUM : Y \\ CASE : acc] \end{array}$$

$$\begin{array}{c} V \\ [NUM : X \\ SUBCAT : intrans] \end{array} \rightarrow \begin{array}{c} \textit{sleeps} \\ [NUM : X(sg)] \end{array} \quad | \quad \begin{array}{c} \textit{sleep} \\ [NUM : X(pl)] \end{array} \quad | \quad \dots$$

$$\begin{array}{c} V \\ [NUM : X \\ SUBCAT : trans] \end{array} \rightarrow \begin{array}{c} \textit{feeds} \\ [NUM : X(sg)] \end{array} \quad | \quad \begin{array}{c} \textit{feed} \\ [NUM : X(pl)] \end{array} \quad | \quad \dots$$

Example: (continued)

N
[NUM : X] → [NUM : X(*sg*)] | [NUM : X(*pl*)] | ...
[CASE : Y] [CASE : Y] [CASE : Y]

Pron
[NUM : X] → [NUM : X(*sg*)] | [NUM : X(*sg*)] | ...
[CASE : Y] [CASE : Y(*nom*)] [CASE : Y(*acc*)]

PropN
[NUM : X] → [NUM : X(*sg*)] | [NUM : X(*sg*)] | ...
[CASE : Y] [CASE : Y] [CASE : Y]

D
[NUM : X] → [NUM : X(*sg*)] | [NUM : X(*pl*)] | ...