

Lecture 22: Syntax III

# SYNTAX (CONTINUED)

- Previously, we covered context-free grammars
- We described two efficient dynamic programming algorithms for parsing
  - CKY parsing
  - Earley parsing
- Is there a unified way to understand CKY and Earley parsing?
  - Or more generally, structured prediction?
- Can we utilize grammars to force LLM outputs to follow syntax?
- Beyond context-free grammars/languages
  - Is natural language context-free?

- CKY and Earley parsers are both dynamic programming solutions to the problem of parsing CFGs.
- But is there a way to view these algorithms as instances of the same framework?
- Consider the main loops of each algorithm:
  - In CKY, we loop over all spans (i,j) in order of increasing j i.
  - So each state is a span (i,j),
  - We consider all subspans (i,k), (k,j) such that k is between i and j.
  - And check whether we can construct a parse tree from the subtrees in (i,k) and (k,j).

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- Consider the main loops of each algorithm:
  - In CKY, we loop over all spans (i,j,A) in order of increasing j-i.
  - So each state contains a span (i,j) and nonterminal A,
  - We consider all subspans (i,k), (k,j) such that k is between i and j.
  - And check whether we can construct a parse tree rooted at A from the subtrees in (i,k) and (k,j).

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- Consider the main loops of each algorithm:
  - In Earley, we loop over states of the form  $A \rightarrow B_1 \dots B_m \cdot B_{m+1} \dots B_n$  with start position  $\mathbf{i}$  and current position  $\mathbf{k}$ .
  - The next step depends on the symbol following '.':
    - If  $B_{m+1}$  is a nonterminal, we do a prediction step.
    - I.e., create a new state for all rules of the form  $B_{m+1} \rightarrow ...$

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  - The next step depends on the symbol following '.':
    - If  $B_{m+1}$  is a terminal, we do a scanning step.
    - I.e., check if the input sentence matches the terminal  $B_{m+1}$  at position k.
    - If so, create a new state A  $\rightarrow$  B<sub>1</sub> ... B<sub>m+1</sub> . ... B<sub>n</sub> with incremented k.

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- Consider the main loops of each algorithm:
  - In Earley, we loop over states of the form  $A \rightarrow B_1 \dots B_m$ . with start position **i** and current position **k**.
  - The next step depends on the symbol following '.':
    - If there is no symbol after '.', do a completion step.
    - For every state "waiting" for A at position i, create a new state where the dot moves forward and k is updated appropriately.

- CKY and Earley parsers are both dynamic programming solutions to the problem of parsing CFGs.
- But is there a way to view these algorithms as instances of the same framework?
- Consider the main loops of each algorithm.
  - In both CKY and Earley, we can imagine the states being added to a priority queue.
  - At each iteration, we pop one state from the queue and process it.
- The priority of a state is computed differently in CKY and Earley.
  - In CKY, states with shorter spans are prioritized.
  - How are states prioritized in Earley?

#### ORDER OF STATES IN EARLEY PARSING

- In Earley parsing, states are removed from the queue in the same order they were added.
  - We can replicate this behavior in a priority queue by setting the priority of the state to be the iteration number.
- But it's not necessary to follow this prioritization.
  - We can process states in a different order and still have a correct parsing algorithm.

#### ORDER OF STATES IN EARLEY PARSING

- But there is a minor caveat:
  - We assumed that whenever we have a completion step A -> B<sub>1</sub> ... B<sub>m</sub> . with start position i,
  - All prediction steps of the form C -> ... . A ... have already been processed earlier in a prediction step.
- If we change the order of visited states, this may no longer be true.
  - But we can resolve this issue by adding an extra step during prediction.
  - Whenever we have a prediction step  $C \rightarrow ...$  . A ..., we check if there are any completed parses for A at the same position.
  - If there are, then create a new state  $C \rightarrow ... A ...$  with k updated accordingly.

#### ORDER OF STATES IN EARLEY PARSING

- There is also an optimization available here:
  - Whenever we do a prediction step,  $C \rightarrow ... A ...$  at position k, we create a new state for each rule of the form  $A \rightarrow ...$  with start position k.
  - But we don't need to do this more than once.
  - So we can avoid doing this multiple times by keeping track of whether we have "expanded"  $\bf A$  at position  $\bf k$  in the past.
  - If we have, then avoid "expanding" A at k again.

#### CKY VS EARLEY INITIALIZATION

- There is one more major difference between CKY and Earley parsing:
- What are the initial states in the priority queue before starting the main loop?
  - In CKY, we add an initial state for each span containing 1 token.
  - In Earley, we add an initial state for each rule of the form  $S \rightarrow ...$  where S is the root nonterminal.
- Is related to the bottom-up vs top-down approach of CKY and Earley parsing.

- So it seems like CKY and Earley parsing share a lot of structure.
  - Is there a unifying description?
- Branch-and-bound is a general class of algorithms for discrete optimization/search.
  - Say we want to find a target object x in a large set of objects S that maximizes some priority function f(x).
    - For search, this can be a simple indicator function.
    - f(x) = 1 if and only if x is the object we're searching for.
  - First, we partition (i.e., "branch") the set S into subsets:

$$S_1, \ldots, S_n$$

such that their union covers the full set:  $S_1 \cup ... \cup S_n = S$ 

- Next, for each subset  $S_i$ , create a new state and add it to the priority queue.
  - What should we set its priority to?
  - Ideally, it should be  $\max_{x \in S_i} f(x)$ .
  - But this quantity can be intractable to compute,
    - Especially if  $S_i$  is very large.
  - Instead, we can use an easy-to-compute an upper bound on this quantity:

$$g(S_i) \geq \max_{x \in S_i} f(x)$$

• Just set the priority of the new state to  $g(S_i)$ . (i.e., the "bound" step)

- Then we just repeat:
- For each iteration of the main loop,
  - Pop a state from the priority queue.
  - Partition the set into subsets (branch).
  - Push a new state for each subset with priority given by  $g(\cdot)$  (bound).
- Eventually, we will pop a state with a set containing a single element  $\{x\}$ .
- We can compute f(x) and check if it's larger than the priority of the next state in the queue.
- If so, then x is necessarily the optimal object in S.
  - Since the priority of the next state in the queue is an upper bound on f(y) for all other objects y.

- Then we just repeat:
- For each iteration of the main loop,
  - Pop a state from the priority queue.
  - Partition the set into subsets (branch).
  - Push a new state for each subset with priority given by  $g(\cdot)$  (bound).
- Eventually, we will pop a state with a state containing a single element  $\{x\}$ .
- The first such x may not be strictly more optimal than all other objects y.
  - There may be other objects y such that f(x) = f(y).
- We can continue the branch-and-bound main loop to find the top-k objects.

#### CKY PARSING AS BRANCH AND BOUND?

- How can we formulate CKY as a branch-and-bound algorithm?
- S is the set of all syntax trees (both valid and invalid) for a given sentence.
   (an invalid syntax tree would be one containing a rule not in the grammar)
- Recall each state in CKY is a span (i,j).
  - This state represents the set of all syntax trees for the given sentence that contains a valid subtree for the subsequence starting at i and ending at j.
- Eventually, we reach the span (0,n) which represents the set of all valid syntax trees for the full sentence.
- What is the "branch" step?
  - When processing the state (i,j), we add a new state to the queue for each (i,m) for m > j and for each (m,j) for m < i.

#### CKY PARSING AS BRANCH AND BOUND?

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- Recall each state in CKY is a span (i,j).
  - This state represents the set of all syntax trees for the given sentence that contains a valid subtree for the subsequence starting at i and ending at j.
- What is the "bound" g(x)?
  - We can set it to g(x) = i j so that shorter spans have higher priority.
  - But we must make sure g(x) is an upper bound of the objective function. (the objective function is 1 iff x is a valid parse of the whole sentence)
  - So we can simply set g(x) = i j + n + 1.

#### EARLEY PARSING AS BRANCH AND BOUND?

- How can we formulate Earley parsing as a branch-and-bound algorithm?
- Recall each state in Earley contains a rule  $A \rightarrow B_1 \dots B_m \cdot B_{m+1} \dots B_n$  with start position i and current position k.
  - This state represents the set of all syntax trees for the given sentence that contains a subtree for the subsequence starting at i,
  - Where the subtree has root A,
  - And this subtree has valid subtrees with roots  $B_1 \dots B_m$  up to position k,
  - And subtrees (valid or invalid) subtrees with roots  $B_{m+1}$  ...  $B_n$  after position k.

#### EARLEY PARSING AS BRANCH AND BOUND?

- How can we formulate Earley parsing as a branch-and-bound algorithm?
- What is the "branch" step?
  - Depending on the current state, we either do prediction, scanning, or completion.
- What is the "bound"?
  - As stated earlier, we can be flexible about the order we visit states.
  - We can use a heuristic and frame the problem as an A\* search.
    - E.g., Lee et al. (2016) train a neural network to predict the bound.
    - Resulting in a faster parser (with fewer iterations).
  - In general, tighter bounds leads to faster searching.
    - I.e, g(S) is closer to  $\max_{x \in S} f(x)$

#### STRUCTURED PREDICTION

- Structured prediction is the task where the output is structured.
  - E.g., syntax trees, sequences, graphs, tables, etc.
- This task usually involves discrete optimization/search,
  - For example via algorithms like branch-and-bound.
- Sequence prediction is a kind of structured prediction.
  - E.g., given a language model and some prompt P, predict the most likely sequence of the next n tokens:  $x_1, ..., x_n$ .
  - The objective function is the joint probability:

```
\begin{split} p(x_1, \dots, x_n | P) &= p(x_1 | P) \quad p(x_2 | P, x_1) \quad \dots \quad p(x_n | P, x_1, \dots, x_{n-1}) \;, \\ \log \ p(x_1, \dots, x_n | P) &= \log \ p(x_1 | P) \; + \; \log \ p(x_2 | P, x_1) \; + \; \dots \; + \; \log \ p(x_n | P, x_1, \dots, x_{n-1}) \;. \end{split}
```

## SEQUENCE PREDICTION

- We can apply branch-and-bound to autoregressive sequence prediction.
- The set S is the set of all sequences of length n.
- Each state is a partial sequence:  $x_1, ..., x_k$ 
  - Represents the set of all sequences of length n that start with  $x_1, ..., x_k$ .
- What is the "branch" step?
  - For each possible next symbol  $x_{k+1}$ , we create a new state  $x_1, ..., x_{k+1}$ .
- What is the "bound"?
  - The simplest bound is the total log probability so far:

```
\begin{split} \log \ p(\mathbf{x}_1, ..., \mathbf{x}_n | P) & \leq \ \log \ p(\mathbf{x}_1, ..., \mathbf{x}_k | P) \ , \\ & = \ \log \ p(\mathbf{x}_1 | P) \ + \ \log \ p(\mathbf{x}_2 | P, \mathbf{x}_1) \ + \ ... \ + \ \log \ p(\mathbf{x}_k | P, \mathbf{x}_1, ..., \mathbf{x}_{k-1}) \ . \end{split}
```

## SEQUENCE PREDICTION

- This algorithm is too slow.
- Each branch step requires a forward pass of the LM.
- In the worst case, we need a number of branches exponential in n.
  - Suppose the optimal output has log probability -10.
  - The average log probability of each token for GPT-2 is about -2.4.
  - Therefore, sequences of length < 10/2.4 (about 4 tokens) will, on average, have log probability > -10.
  - There are  $V^4$  possible sequences of length 4, where V is the vocab size.

## SEQUENCE PREDICTION

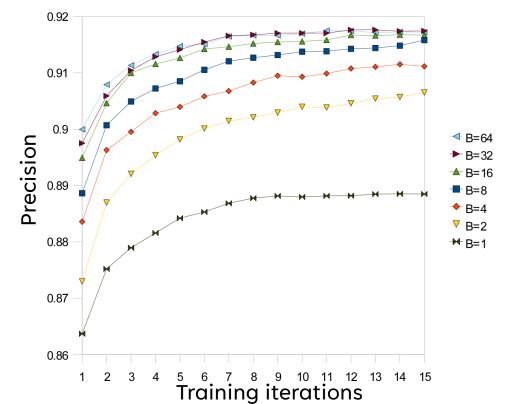
- How to make autoregressive sequence prediction faster?
- We can trade optimality for performance.
  - We can limit the capacity of the priority queue.
    - Let *B* be the capacity.
  - After adding new states to the priority queue, simply remove the lowest priority states until only *B* elements remain.
- This is called beam search,
  - And B is the beam width or beam size.
- If B = 1, we have greedy search.
- If  $B = \infty$ , we recover exact search.

#### BEAM SEARCH IN PARSING

- Beam search can also be used in parsing.
- Used when there is an objective function over syntax trees.
  - E.g., a model that assigns probabilities to syntax trees.
  - This would be very useful in choosing among ambiguous parses.
  - E.g., in 'Sally caught a butterfly with a net,' who has the net?
- Can significantly increase parsing speed if there are many ambiguous parses.

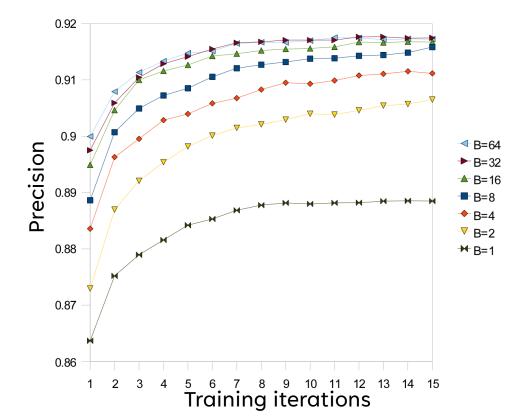
## BEAM SEARCH IN PARSING

- Zhang and Clark (2008) used beam search for parsing.
- They used a neural model to assign probabilities to parser outputs.



## BEAM SEARCH IN PARSING

• They measured precision vs number of training iterations for the neural model vs beam size.



- For many NLP tasks, we require the output to follow a specific pattern.
  - E.g., code generation,
  - Tasks requiring output in JSON/Markdown/LaTeX format,
  - Generating figures in Matplotlib or Tikz.
- Autoregressive language models are probabilistic and may make errors with small probability.
  - When generating many tokens, the probability of error increases.
- If we have a grammar (e.g., the JSON or Python grammar), we can constrain the output of the model to follow the grammar.
  - This is called constrained decoding or structured generation.

- Earley parsing can be adapted for constrained decoding.
- The main difference lies in the scanning step.
  - I.e., when the state looks like A  $\rightarrow$  ... 't' ... for some terminal t and the current position is k.
  - During constrained decoding, we don't have the full input.
  - So the terminal at position k may not yet be available.
  - In this case, we add this state into a list of "waiting" scanning states,
  - And proceed with Earley parsing until the queue is empty.

```
S -> N Op S Op -> '+'
                               Input so far: 9 + 2
S -> N Op N Op -> '-'
                               Waiting scan Op -> . '+'
                                                            Op -> . '-'
                                                                          Op -> . '*'
        Op -> '*'
\mathbb{N} \rightarrow (0,
                                     states:
                                              i=3, k=3
                                                            i=3, k=3
                                                                          i=3, k=3
                                                                                       i=3, k=3
               Op -> '/'
N -> '9'
                                                                                              29
```

- Earley parsing can be adapted for constrained decoding.
- Next, we can inspect the list of "waiting" scanning states.
- These states tell us exactly which terminals are allowed for the next position.
- Then, after performing a forward pass with the LM, we can mask the tokens that do not match with any of the allowed terminals.
  - I.e., set their probabilities to zero.
- We then select the terminal symbol to add to the sequence.

```
S -> N Op S Op -> '+'
                                 Input so far: 9 + 2
  -> N Op N Op -> '-'
                                  Waiting scan Op -> . '+'
                                                                                Op -> . '*'
\mathbb{N} \rightarrow (0,
                 Op -> '*'
                                                  i=3, k=3
                                                                                i=3, k=3
                                        states:
                                                                 i=3, k=3
                                                                                               i=3, k=3
                 Op -> '/'
N \rightarrow 9
```

- Earley parsing can be adapted for constrained decoding.
- Once we have decoded the next terminal, we then resume Earley parsing by adding the waiting scanning states to the queue.
- Repeat until we have finished decoding.
  - E.g., the parser completes a syntax tree with the root nonterminal.

```
S -> N Op S Op -> '+'
S -> N Op N Op -> '-'
N -> 'O'
Op -> '*'
Op -> '/'

N -> '9'

i=4, k=4

...

N -> '9'

i=4, k=4

...
```

- Earley parsing can be adapted for constrained decoding.
- Once we have decoded the next terminal, we then resume Earley parsing by adding the waiting scanning states to the queue.
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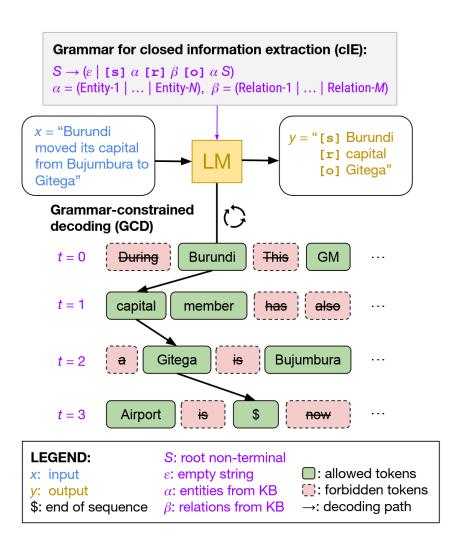
```
S -> N Op S Op -> '+'
                            Input so far: '9 + 2 / 7'
S -> N Op N Op -> '-'
                             Waiting scan Op -> . '+'
                                                                   Op -> . '*'
N -> '0' Op -> '*'
                                 states:
                                          i=5, k=5
                                                                   i=5, k=5
                                                       i=5, k=5
                                                                               i=5, k=5
              Op -> '/'
N -> '9'
```

## CONSTRAINED DECODING CHALLENGES

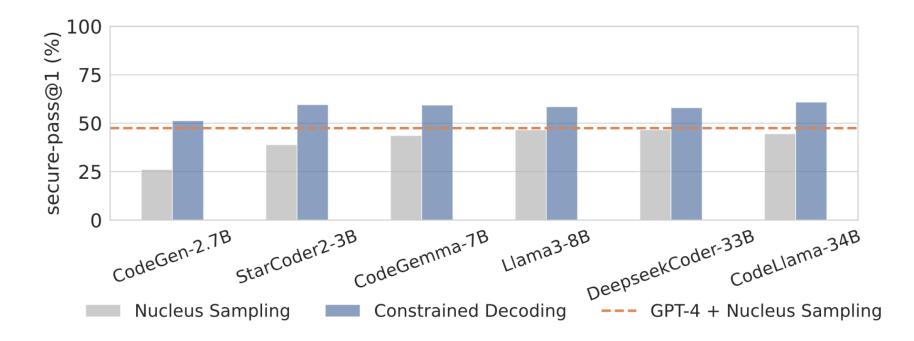
- One implementation challenge:
  - Terminals and tokens are not the same.
  - For example, the LM may have a token like '+7' or '-2', and the grammar has terminals '+', '-', '2', and '7'.
  - Or the grammar may have a terminal like '0 + 1' or 'public static'. And the LM has tokens '0' and 'pub'.
- We need to take care to allow partial matching during scanning steps.
- Constrained decoding can only be applied when we have access to the logits.
  - Many API-based LM services do not provide this information.

• Geng et al. (2023) applied constrained decoding to perform information extraction.

| Method                 | Precision      | Recall         | F1             |
|------------------------|----------------|----------------|----------------|
| Weakly supervised      |                |                |                |
| GenIE T5-base          | $49.6 \pm 0.3$ | $26.8 \pm 0.2$ | $34.8 \pm 0.2$ |
| Few-shot unconstrained |                |                |                |
| LLaMA-7B               | $10.2 \pm 0.5$ | $14.3 \pm 0.7$ | $11.9 \pm 0.5$ |
| LLaMA-13B              | $10.3 \pm 0.6$ | $17.0 \pm 0.9$ | $12.9 \pm 0.6$ |
| LLaMA-33B              | $14.1 \pm 1.0$ | $23.1 \pm 1.4$ | $17.5 \pm 1.0$ |
| Vicuna-7B              | $12.5 \pm 0.2$ | $16.7 \pm 0.1$ | $14.3 \pm 0.2$ |
| Vicuna-13B             | $13.4 \pm 0.2$ | $15.2 \pm 0.2$ | $14.4 \pm 0.2$ |
| Few-shot constrained   |                |                |                |
| LLaMA-7B               | $27.9 \pm 0.6$ | $20.2 \pm 0.5$ | $23.5 \pm 0.5$ |
| LLaMA-13B              | $36.2 \pm 0.7$ | $26.5 \pm 0.5$ | $30.6 \pm 0.5$ |
| LLaMA-33B              | $39.3 \pm 0.9$ | $33.2 \pm 0.8$ | $36.0 \pm 0.7$ |
| Vicuna-7B              | $25.4 \pm 0.5$ | $15.8 \pm 0.3$ | $19.5 \pm 0.3$ |
| Vicuna-13B             | $38.7 \pm 1.0$ | $19.8 \pm 0.8$ | $26.1 \pm 0.8$ |



- Fu et al. (2024) applied constrained decoding and beam search for *secure* code generation.
- A 2.7B parameter model with constrained decoding outperformed GPT-4.



## SEMANTICS-AWARE CONSTRAINED DECODING

- Semantic information can be incorporated into constrained decoding.
- Consider the following Java code fragment:

```
String foo = "foo";
int i = 7;
int j = i +
```

- The syntactic constraints (grammar) filters some possible outputs, such as '{', '}', ';', etc.
- Semantically, we can filter 'foo' since Java is a strongly-typed language.
  - The type of the next symbol must be compatible with the '+' operation with an int, with an int output type.

## NON-CONTEXT-FREE GRAMMARS

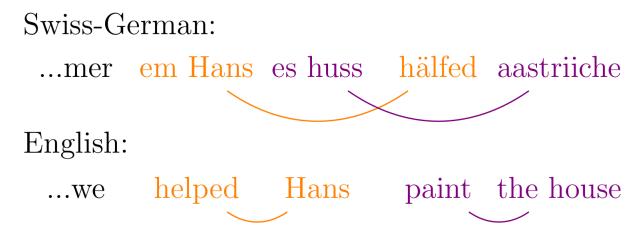
- There are grammars and languages that are not context-free.
- One simple example:
  - The "copy" language: The set of all strings that contain two identical substrings side-by-side.

```
L = {'aa', 'abcabc', 'this is a copy this is a copy ', ...}
```

Are natural languages context free?

## IS NATURAL LANGUAGE CONTEXT-FREE?

- There are some constructions in some natural languages that seem to require non-context-free modeling.
- E.g., the following examples in Swiss German:



## IS NATURAL LANGUAGE CONTEXT-FREE?

- There are some constructions in some natural languages that seem to require non-context-free modeling.
- E.g., the following examples in Swiss German:
  - Some argue the cross-dependencies are semantic and not syntactic.
- These kinds of structures seem to be very rare.

Swiss-German:
...de Karl d'Maria em Peter de Hans laat hälfe lärne schwüme
English:
...Charles lets Mary help Peter to teach John to Swim

- Combinatory categorial grammar (CCG; Steedman 1987) is a grammar formalism that can be used to describe non-context-free grammars.
- Each item in the vocabulary is assigned a syntactic type or category.
  - A simple vocabulary containing 4 items:

```
	ext{the}: NP/N \qquad 	ext{dog}: N \qquad 	ext{John}: NP \qquad 	ext{bit}: (S \backslash NP)/NP
```

- Syntactic types can be composed to create more complex syntactic types.
  - E.g., NP/N indicates that the word 'the' can be combined with an N on the right side, and the resulting combination will have type NP.
  - So 'the dog' will have syntactic type NP.

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- Syntactic types can be composed to create more complex syntactic types.
  - E.g., NP\N indicates that the word can be combined with an N on the left side, and the resulting combination will have type NP.

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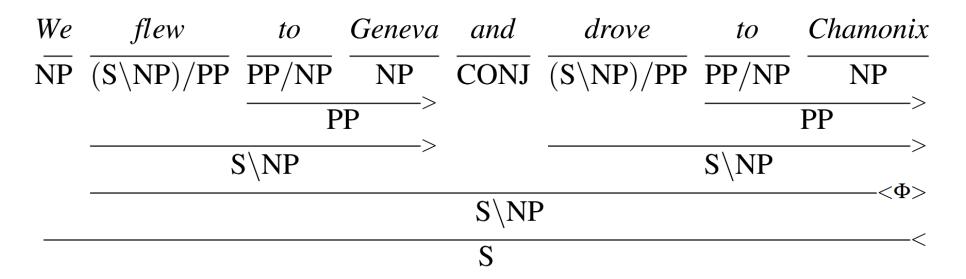
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- Thus, 'the dog bit John' is a string in the language, since we have successfully proved/derived the root S.
- Unlike CFGs, there are a small handful of rules (>, <, type-raising, etc),</li>
  - And the allowed combinations are determined by the lexicon.

the : 
$$NP/N$$
  $\deg: N$   $\operatorname{John}: NP$   $\operatorname{bit}: (S\backslash NP)/NP$   $\underbrace{\frac{\operatorname{the}}{NP/N} \quad \frac{\deg}{N}}_{NP} > \underbrace{\frac{\operatorname{bit}}{(S\backslash NP)/NP} \quad \frac{\operatorname{John}}{NP}}_{S\backslash NP} > \underbrace{\frac{S\backslash NP}{NP}}_{S\backslash NP} > \underbrace{\frac{\operatorname{bit}}{S\backslash NP}}_{S\backslash NP} > \underbrace{\frac{\operatorname{bit}}{S\backslash$ 

- Aside from forward application (>) and backward application (<), there are a few more combination rules:
- Conjunction:



- Aside from forward application (>) and backward application (<), there are a few more combination rules:
- Composition:

$$rac{lpha:X/Y \qquad eta:Y/Z}{lphaeta:X/Z}B_>$$

$$rac{eta:Yackslash Z}{etalpha:Xackslash Z}B_<$$

- Aside from forward application (>) and backward application (<), there are a few more combination rules:
- Type-raising:

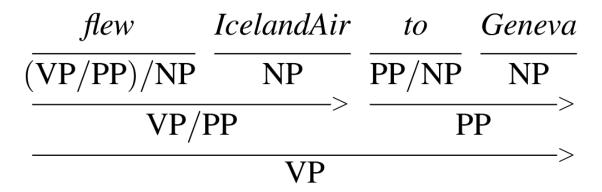
$$rac{lpha:X}{lpha:T/(Tackslash X)}T_{>}$$

$$rac{lpha:X}{lpha:Tackslash(T/X)}T_<$$

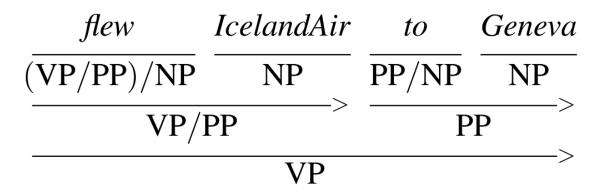
Why are the extra rules useful?

- This sentence could be parsed by first combining 'serves' and 'Miami'.
- But through the use of type-raising and composition, we obtain an alternate left-to-right derivation.
  - This more closely mimics how humans parse natural language.

- Why are the extra rules useful?
- Consider the sentence 'I flew IcelandAir to Geneva.'
- We could parse it as:



- But what about the sentence 'I flew IcelandAir to Geneva and SwissAir to London'?
- To parse this correctly, we need to apply the conjunction rule to 'IcelandAir to Geneva' and 'SwissAir to London'.



• But the above derivation combines 'IcelandAir' with 'flew'.

• But we can workaround this by using type-raising and composition rules:

• Now 'IcelandAir to Geneva' is combined before combining with 'flew'.

• And we can correctly parse 'I flew IcelandAir to Geneva and SwissAir to London'.

$$\frac{flew}{(VP/PP)/NP} = \frac{IcelandAir}{NP} \underbrace{\frac{to}{PP/NP} \frac{Geneva}{NP}}_{\begin{array}{c} PP/NP \\ \hline VP/(VP/PP)/((VP/PP)/NP) \\ \hline \\ VP/(VP/PP)}^{CT} \underbrace{\frac{do}{VP/NP} \frac{SNissAir}{NP}}_{\begin{array}{c} NP \\ \hline (VP/PP)/((VP/PP)/NP) \\ \hline \\ VP/(VP/PP)}^{CT} \\ \hline \\ VP/((VP/PP)/NP) \\ \hline \\ VP/((VP/PP)/$$

#### PARSING CCG

- How do you parse CCG?
- Since CCG operations are unary or binary, we can extend CKY parsing.
  - CCG is well-suited for bottom-up parsing.
  - Vijay-Shanker and Weir (1993) describe this algorithm and show that it has running time  $O(n^6)$ .
- This can be made practically faster using beam search and better heuristics (e.g., A\*).
  - But better heuristics do not change the worst-case running time.
  - And beam search sacrifices exactness/accuracy.

#### **NEXT TIME**

- Next time, we will wrap up our discussion of syntax.
- We move onto semantics.
  - How can we describe the meaning of sentences?
  - What are different representations of meaning?
  - Can we use some representations to do reasoning?
    - E.g., logic

