

Negated Polarity Questions as Speech Act Denegations

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Negated Polarity Questions (NPQs)

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Negated Polarity Questions in English (Ladd 1981, Chicago Linguistic Society):

- Polarity question based on negated proposition (PQN):
 - Isn't there a vegetarian restaurant around here (either)?
 - ▷ Is there no vegetarian restaurant around here?
 - Speaker wants confirmation that there is **no** vegetarian restaurant around here.
- Negated polarity question (NPQ):
 - Isn't there a vegetarian restaurant around here (too)?
 - Speaker wants confirmation that there **is** a vegetarian restaurant around here.

Contrast in other languages, evidence for high position of negation in NPQs:

- German (cf. Repp 2009):
 - PQN: Gibt es hier auch nicht ein / kein vegetarisches Restaurant? EXIST EXPL here also not a / no vegetarian restaurant
 - NPQ: Gibt es hier nicht auch ein vegetarisches Restaurant?
 - EXIST EXPL here not also a vegetarian restaurant
- Korean (Romero & Han 2004):
 - PQN: Suni-ka coffee-lul an masi-ess-ni? Suni-NOM coffee-ACC NEG drink-PAST-QUEST?
 - NPQ: Suni-ka coffee-lul masi-ess.ci anh-ni? Suni-NOM coffee-ACC drink-PAST NEG-Q

Outline of Talk

Ladd (1981):

In NPQ's negation is "somwhat outside the proposition under question", which "rases some major difficulties for logical representation."

Proposal:

- Negation in NPQs is interpreted on the level of speech acts, as denegation.
- Denegation is known from explicit performative speech acts:
 - S1 to S2: *I don't promise to come.* S1 refrains from promise to come.
- Denegation in NPQs:
 - S1 to S2: Isn't there a vegetarian restaurant around here (too)?
 S1 tests whether S2 refrains from asserting that there is a vegetarian restaurant around here.



Underlying Conception of Speech Acts

- Stenius (1967):
 Speech acts represented by illocutionary operator applied to a semantic object ("sentence radical"), e.g. a proposition, e.g. ASSERT_{S1,S2}(φ): S1 asserts proposition φ to S2.
- Hamblin (1971), Stalnaker (1978), Alston (2000): Speech acts change commitments of interlocutors, e.g. ASSERT_{S1,S2}(φ): S1 is liable for the truth of φ, has to provide evidence when asked.
- Szabolcsi (1982):

Speech acts as operators that change the world by creating new commitments, semantic type: $I \rightarrow I$, functions from possible worlds to possible worlds; application of a speech act A to a world of utterace i changes it to A(i).

Concrete speech acts:

If a speech act type A is executed at an index i, this creates an event, a speech act token, just like any change of the world.

 Hamblin (1971), Merin (1994), Cohen & Krifka (2011): speech act as transitions between a network of commitment states.



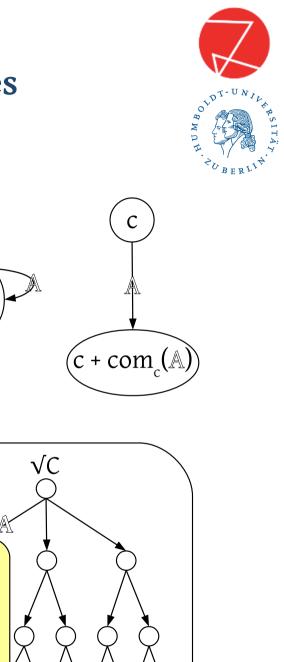
A Representation Format for Dialogue: Commitment States and Commitment Spaces

Commitment states c:

- Set of commitments accumulated so far, represented in some formal language.
- Update of c with speech act $A_{s_{1,s_{2}}}$, where S1: speaker, S2: Adressee: $c + A_{s_{1,s_{2}}} = c \cup com_{c}(A_{s_{1,s_{2}}})$, where $com_{c}(A_{s_{1,s_{2}}})$ the set of commitments expressed by $A_{s_{1,s_{2}}}$ when uttered at c.
- Conversational implicature: $c \cap com_c(A_{S1,S2}) = \emptyset$, newly expressed commitments are new.

Commitment spaces C:

- Representing possible future developments of commitment states.
- a set of commitment states,
 with a minimal state √C, = ∩C, the root.
- Update of a commitment space by (regular) speech act A:
 - $\triangleright \quad C + A = \{c \in C \mid [\sqrt{C} + A] \subseteq c\}$



 $c + com_{c}(\mathbb{A})$

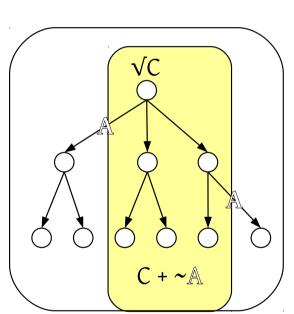
C +

A Representation Format for Dialogue: Why Commitment spaces? Denegation.

- Denegation (Searle 1969):
 - ▷ *I promise that I don't come.* (promise of negated proposition)
 - I don't promise to come. (denegation of a promise)
 - ▷ Hare 1970: Speaker refrains from performing the promise.
- Interpreting denegation (cf. Cohen & Krifka 2011):

 $C + \mathbf{\sim} A = C - \{c \mid \exists c' [[c' + A] \subseteq c]\}$

- Properties of denegation:
 - does not change the root,
 - restricts future developments –
 "meta speech act"





A Representation Format for Dialogue: Commitment Space Developments (CSDs)

- Development of commitment spaces in conversation: $\Gamma = \langle C_0, C_1, ..., C_n \rangle.$
- Update of a CSD:

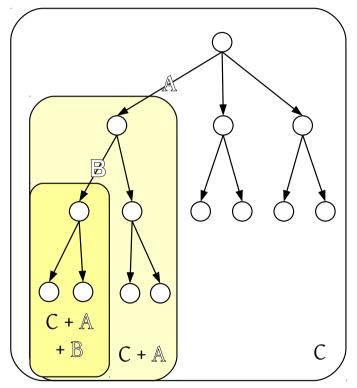
Consecutive update:

 $\langle ..., C \rangle + A + B = \langle ..., C, C + A, C + A + B \rangle$

- CSDs are needed because some discourse operations "look back".
- Here: Acceptance / Rejection of discourse moves.
- Other applications

 e.g. modelling of questions under discussion
 (Roberts 1996, Büring 2004)





Speech-Act Effects of Assertion and the Notion of Common Ground

Assertion of proposition φ by S1 to S2 expresses **two** commitments:

- S1 declares public responsibility for the truth of φ : + [S1: φ]
- S1 wants φ to be part of the common ground:

Commitment states as Common Grounds:

- All commitments in c are public common ground.
- In addition, c contains propositions introduced by assertions.

The double commitment of assertions:

- $\langle ..., C \rangle$ + ASS_{s1}(ϕ) + CG(ϕ)
 - = $\langle ..., C, C + ASS_{s1}(\varphi), C + ASS_{s1} + CG(\varphi) \rangle$
 - = $(..., C, C + [S_1; \phi], C + [S_1; \phi] + [\phi]$

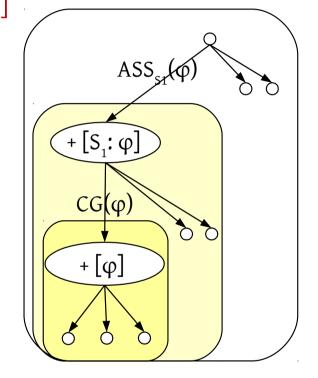
Expression of these two commitments:

• ASS: Syntactic, ForceP: $\left[_{ForceP} there \left[_{Force'} ASS-is \left[_{TP} - a vegetarian restaurant around here \right] \right]$

+ [φ]

• CG: Prosodic, accent: H* where $c + [\phi]$ implicates that $[\phi] \notin c$, i.e. $[\phi]$ is new in c; signalling of known propositions by L^* , cf. Truckenbrodt (t.a.).



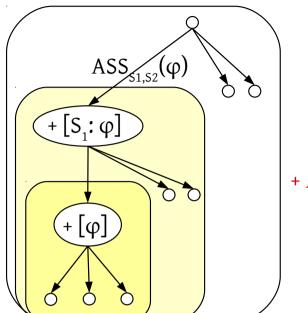




Accepting and Rejecting Assertions

+ $[\phi]$ leads to commitment by addressee, to accept ϕ as part of Common Ground, hence requires addressee to accept or reject it.

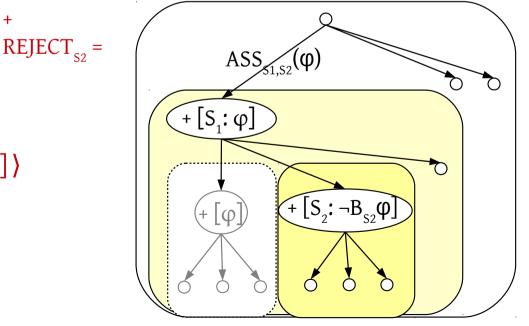
- Acceptance:
 - ▷ S2: Okay.
 - > (..., C', C) + ACCEPT_{s2} = (..., C', C), in case C differs from C' by a commitment for S2.





+ $ACCEPT_{S2,S1} = (identical)$

- Rejection:
 - ▷ S2: I don't believe that.
 - Assertion that requires prior rejection, otherwise contradiction with [φ]:
 (..., C', C) + REJECT_{S2} = (..., C', C, [C' C]) in case C differs commitment for S2.
 - Interpretation after rejection: Assertion that S₂ does not believe φ: (..., C', C, [C' - C]) + ASS_{s2}(¬ [B_{s2}φ])



Confirming and Denying Assertions: Yes and No

Assumptions:

- TP introduces a **propositional discourse referent** (DR): $\begin{bmatrix} & & \\ ForceP & there \begin{bmatrix} & & ASS-is \end{bmatrix} \end{bmatrix}_{TP} = a vegetarian restaurant around here \end{bmatrix} \\ introduces DR \phi = `there is a vegetarian restaurant here', changes (..., C) to (..., C, C + [S_1: \phi], C + [S_1: \phi] + [\phi]) \end{bmatrix}$
- yes picks up DR φ and asserts it: + [S₂: φ]: confirmation by S₂. (..., C, C + [S₁: φ], C + [S₁: φ] + [φ], C + [S₁: φ] + [φ] + [φ] + [S₂: φ])
- *no* asserts negation of DR: + $[S_2: \neg \phi]$: **denial** by S_2 , this requires previous <u>REJECT</u>: (..., C, C + $[S_1: \phi]$, C + $[S_1: \phi]$ + $[\phi]$, $\underline{C + [S_1: \phi]}$, $\underline{C + [S_1: \phi] + [S_2: \neg \phi]}$)

With negated TP:

- Introduction of **two** DRs, one for each constitutent denoting a proposition: $\begin{bmatrix} I_{ForceP} \ there \begin{bmatrix} I_{Force'} \ ASS-is \begin{bmatrix} I_{NegP} \ n't \begin{bmatrix} I_{TP} \ - \ - \ any \ vegetarian \ restaurant \ around \ here \end{bmatrix} \end{bmatrix}$ NegP-DR: $\psi = \neg$ 'there is no vegetarian restaurant around here'
- Two plus two isn't five. {Everyone knows that (NegP). / That would be a contradiction. (TP)
- yes and no can pick up either φ or ψ, the results undergo bidirectional optimization:
 S1: *There isn't any vegetarian restaurant around here.*
 - (a) No, (there isn't). $+ [S_2: \neg \phi]$
 - (b) *Yes, there is.* + $[S_2: \phi]$, needs REJECT
 - (c) # No, there is. $+ [S_2: \neg \psi]$, dispreferred w.r.t. (b) due to double negation.
 - (d) %*Yes, there isn't.* + $[S_2: \psi]$, slightly dispreferred, as (b) is optimal, due to (c).



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Ordinary Polarity Questions (PQs):

Sentence radical of questions in general: Set of propositions (cf. Hamblin 1973)

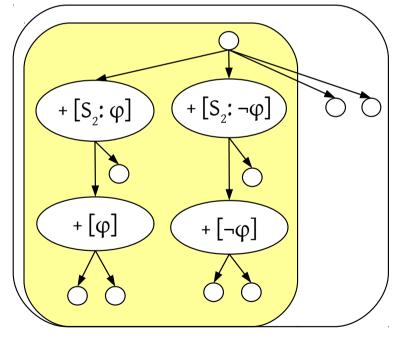
- ► Syntactic structure: [_{CP} whether [_{TP} there is a vegetarian restaurant around here]]
- Semantic interpretation: $\Phi = {\phi, \neg \phi}$

Question radical as complement of question-embedding verbs, like *know*:

► Mary knows [whether there is a vegetearian restaurant around here] $\forall p \in \Phi[p(i_0) \rightarrow know(i_0)(p)(Mary)]$

Question speech acts:

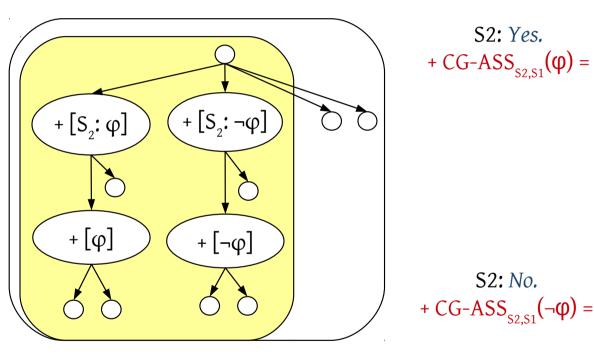
- $\left[\operatorname{ForceP} \left[\operatorname{QU-is} \left[\operatorname{CP} \left[\operatorname{TP} there _ a veg. rest. here \right] \right] \right] \right]$
- S1 asks for assertion of a congruent answer by S2:
 (..., C) + QU_{S1,S2}({φ, ¬φ})
 - = $\langle \dots, C, \{ \sqrt{C} \} \cup \{ c \in C \mid \exists p \in \{ \varphi, \neg \varphi \} [\sqrt{C} + [S2: p]] \subseteq c \} \rangle$
 - $= \langle ..., C, \{ \sqrt{C} \} \cup \{ c \in C \mid [\sqrt{C} + [S2:\phi]] \subseteq c \lor \\ [\sqrt{C} + [S2:\neg\phi]] \subseteq c \} \rangle$
- Questions as meta speech acts:
 - ▷ The root does not change,
 - Legal future developments are restricted to assertions by the other speaker.
- Questions as common ground managing operators (Krifka 2008): indicate the directions to which the common ground should develop.





Answering PQs with Yes und No

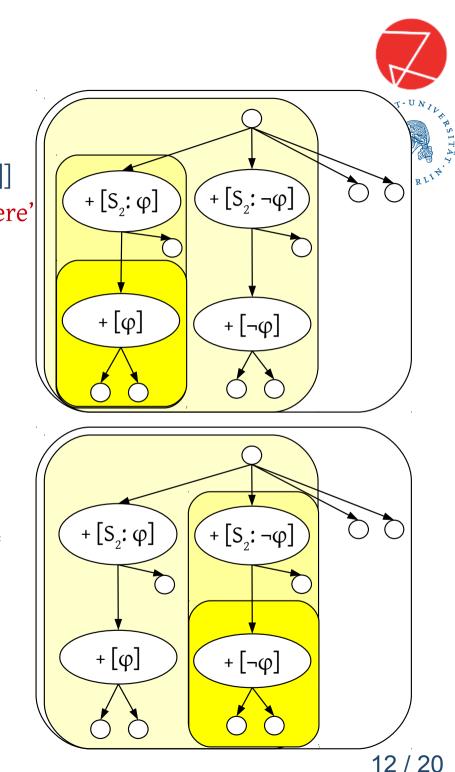
Sentence radical of polarity question introduces propositional discourse referent: $\left[_{ForceP} QU-is \left[_{TP} there _ a veg. restaurant around here\right]\right]$ TP introduces DR: φ = 'there is a veg. rest. around here'



Anwer S2: I don't know (it):

S2 asserts proposition \neg 'S2 knows whether { ϕ , $\neg \phi$ }' requires previous REJECT,

it / ellipsis refers to DR introduced by CP: $\Phi = {\phi, \neg \phi}$



Declarative Questions

Declarative Question (Gunlogson 2002):

• S1: There is a vegetarian restaurant here?

Speech act **requests**:

- S1 requests assertion by S2: (..., C) + $\text{REQU}_{S1,S2}(\text{ASS}(\phi))$
- ► Interpretation of Requests: $(..., C) + REQU_{S1,S2}(A) = (..., C, {\sqrt{C} \cup C + A_{S2,S1}})$

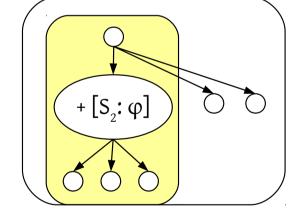
Expression of REQU by prosody:

- H-H%: Authority shift to the addressee, cf. Merin & Bartels 1997.
 L*: Lack of commitment of S1 that φ become part of common ground
- Analysis of example:
- (..., C) + REQU_{S1,S2}(ASS(ϕ))
 - = $(..., C, \{\sqrt{C}\} \cup C + ASS_{S2,S1}(\phi))$
 - = $(..., C, \{\sqrt{C}\} \cup C + [S2: \phi])$

Possible reactions:

► Yes. / REJECT + No. / REJECT + I don't know.

Bias of declarative questions:



- Offering one continuation $[S2: \phi]$ instead of two as with PQs: $[S2: \phi]$, $[S2: \neg \phi]$: Conversational implicature that $[S2: \phi]$ is more likely than $[S2: \neg \phi]$
- But: Incredulity contour (L* L-H%), Pierrehumbert & Hirschberg 1990): Conventional implicature that this is a challenge to S2, S1 has reasons to believe that S2 will not be able to perform.



Negated Polarity Questions – finally!

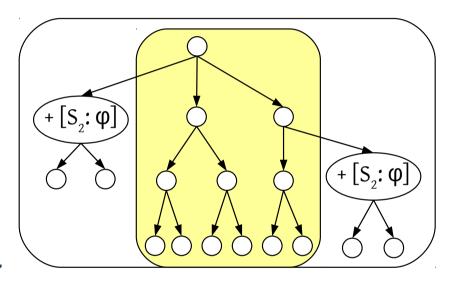
- NPQs are Requests to denegate Assertions.
- REQU can be realized as a syntactic operator, triggering question syntax.
- $\left[\operatorname{ForceP} REQU-is\left[\operatorname{NegP} n't\left[\operatorname{ForceP} there\left[ASS_{-}\right]_{TP} a vegetarian restaurant around here\right]\right]\right]\right]$
- (..., C) + REQU_{S1,S2}(~ ASS(ϕ))
 - = $(..., C, \{\sqrt{C}\} \cup [C + \sim ASS_{S2,S1}(\phi))]$
 - $= \langle ..., C, \{ \forall C \} \cup [C \{c \mid \exists c'[c' + [S_2: \phi] \subseteq c] \}] \rangle$
- Paraphrase:
 'Rule out the assertion that there is a vegetarian restaurant around here.'
- Possible reactions: No (there isn't) / REJECT + Yes there is / REJECT + I don't know. / REJECT + Perhaps there is.

Reason for assuming REQU as syntactic operator:

- Negation must have scope over Assertion, cf. high position of negation in German.
- Auxiliary movement for questions has to be triggered by some operator, here REQU.
 No denegation reading of negation in declarative questions:
- There isn't a vegetarian restaurant around here (either / *too)?



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Biased Polarity Questions

Bias in polarity questions, especially with incredulity contour:

- S1: Is there a vegetarian restaurant around here?!
- Syntactic analysis: REQUEST triggers question syntax:
 [_{ForceP} REQU-is [_{ForceP} there ASS _ [_{TP} _ _ a vegetarian restaurant around here]]]
- Interpretation like a declarative question:
 - $(..., C) + REQU_{S1,S2}(ASS(\varphi))$

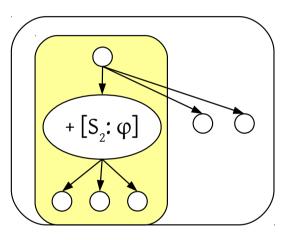
 $= (..., C) + ASS_{S2,S1}(\phi)$

- = $\langle ..., C, \{ \sqrt{C} \} \cup C + [S2: \phi] \rangle$
- ► Answers: Yes. / REJECT + No. / REJECT + I don't know.
- Blocking effects:
 - ▶ With "?" contour L* H- H%:

REQUEST reading blocked by regular polarity question, $\left[_{\text{ForceP}} QU\text{-}is\left[_{\text{CP}} - \left[_{\text{TP}} there a vegetarian restaurant around here\right]\right]\right]$

- No blocking with incredulity "?!" contour L* L- H%: Regular polarity interpretation implausible with incredulity contour (except for reading 'How dare you to ask this question!'),
- No blocking in questions with negated proposition (PQN): Is there no vegetarian restaurant around here? Isn't there a vegetarian restaurant around here either? No effect of negation in regular PQs, as {φ, ¬φ} = {¬φ, ¬¬φ}, hence dispreferred₁₅ / 20





Explanation of Bias

Following the contexts discussed in Büring & Gunlogson (2002):

- Positive bias NPQ inappropriate:
 - S2: There are all kinds of restaurants here, you can choose!
 S1: # Isn't there a vegetarian restaurant around here?
 - ▷ No reason for S1 to check whether S2 excludes the assertion of ϕ , as S2's assertion seems to entail ϕ .
- Neutral bias NPQ appropriate:
 - S1: Remember, we've been to Mooswood's, and we liked it. Isn't there a vegetarian restaurant around here (too)?
 - S1 checks whether an option of interest has to be excluded;
 NPQ may be preferable over PQ *Is there a veg. restaurant around here too?* because this suggests more specifically an interest in vegetarian restaurants
 by providing just two options, assertion of φ and assertion of ¬φ.
- Negative bias NPQ appropriate:
 - S2: We can't go out here, because John doesn't eat meat.
 S1: Isn't there a vegetarian restaurant here?
 - ▷ S1 double-checks whether φ indeed has to be excluded; preferred over simple polarity question, as this treats options φ , $\neg \varphi$ equally; especially good with incredulity contour, indicating disbelief of S1



NPQs with Propositional Negation

Answering pattern of PNQs:

- S1: Is there no vegetarian restaurant around here?

 [_{ForceP} QU-is [_{NegP} there [NEG [_{TP} _ _ no/a vegetarian restaurant around here]]]]
 cf. Brasoveanu, Farkas & Roelofsen 2012 for analysis of negation.
 introduces DR for the two propositions, for TP: φ, for NegP: ψ, = ¬φ
- Answering options same as to assertion: There is no veg. restaurant around here.
 (a) No, (there isn't). + [S₂: ¬φ]
 - (b) Yes, there is. $+ [S_2; \phi]$
 - (c) # No, there is. $+ [S_2: \neg \psi]$, dispreferred w.r.t. (b) due to double negation.
 - (d) %*Yes, there isn't.* + $[S_2: \psi]$, slightly dispreferred, as (b) is optimal, due to (c).

Answers to NPQs:

• S1: Isn't there a vegetarian restaurant around here?

 $\left[\operatorname{ForceP} is \operatorname{REQU} \left[\operatorname{NegP} n't \left[\operatorname{ForceP} there \left[ASS_{-} \left[\operatorname{TP}_{-} a vegetarian restaurant around here \right] \right] \right] \right] only one proposition: TP, introduces DR <math>\varphi$ only.

- Answering pattern:
 - ▷ No (there isn't). + $[S_2: \neg \phi]$
 - ▷ Yes, there is. $+ [S_2; \phi]$, requires **REJECT**
 - ▷ * Yes, there isn't. not available, as no DR for ψ .



Comparison with other treatments of NPQs:

van Rooy & Šafařová (2003)

- NPQs are PQNs, based on negated proposition.
- Question based on $\neg \phi$ is preferred if speaker considers ϕ likely, as the answer $\neg \phi$ is of greater pragmatic utility.
- Problems:
 - ▷ No explanation of syntactically high position of negation in NPQs
 - ▷ No explanation of distinct answer pattern of NPQs and PQNs.
- Reese (2007), Asher & Reese (2007):
- Outer negation expresses combined speech act ASSERT · QUESTION.
 Cf. question tag questions: It is raining, isn't it?
- Problems:
 - ▷ No explanation of syntactically high position of negation in NPQs.
 - ▷ No worked-out theory of speech act combinations.



Comparison with other treatments of NPQs:

Romero & Han (2004), Romero (2006):

Negation interacts with epistemic operator VERUM, denoting high degree with which proposition should be added to Common Ground.

- NPQ: Isn't there a vegetarian restaurant here? {FOR-SURE(φ), ¬FOR-SURE(φ)}
 - PQN: Is there no vegetarian restaurant here? {FOR-SURE($\neg \phi$), \neg FOR-SURE($\neg \phi$)}
 - PQ: Is there a vegetarian restaurant here? $\{\phi, \neg\phi\}$
- This can explain the bias of NPQs and PQNs, but...
- Problems:
 - ▷ The difference between (a) and (b) is unexpected.

They say that there is a vegetarian restaurant here, but I don't quite believe that.

- (a) Is it certain/for sure that there is a vegetarian restaurant?
- (b) *#Isn't there a vegetarian restaurant?*
- ▷ Hedging answers to NPQs are unexpected: *Yes, I think so. / Probably.*
- Answer yes to NPQ does not have greater strength than answer yes to PQ. Repp (2012):
- Outer negation expresses FALSUM, degree of adding to Common Ground = zero
- Problem:

Answer yes to NPQ would express a weak commitment: \neg FALSUM(ϕ)





Isn't this the right explanation?

 $\begin{bmatrix} REQU-is \begin{bmatrix} NegP & n't \end{bmatrix} \\ ForceP & this \begin{bmatrix} ASS \end{bmatrix} \begin{bmatrix} TP \end{bmatrix} \\ TP \end{bmatrix} the right explanation \end{bmatrix} \end{bmatrix} \\ (..., C) + REQU_{MK,SALT22} (~ ASS('this is the right explanation')) \\ = \\ (..., C) + ~ ASS_{SALT22}('this is the right explanation') \\ = \\ (..., C, \{\sqrt{C}\} \cup [C - \{c \mid \exists c' [c' + [SALT22: 'this is the right explanation'] \subseteq c] \}] \end{pmatrix}$

MK asks SALT22 to exclude the assertion that this is the right explanation.

Link to paper ("Negated polarity questions as denegation of assertions"): http://amor.cms.hu-berlin.de/~h2816i3x/Publications/