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LEXICAL CONCEPTUAL STRUCTURE AND GENERATION IN MACHINE TRANSLATION

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ABSTRACT

This paper introduces an implemented scheme for generating target-language sentences using a compositional representation of meaning called lexical conceptual structure. Lexical conceptual structure facilitates two crucial operations associated with generation: lexical selection and syntactic realization. The compositional nature of the representation is particularly valuable for these two operations when semantically equivalent source- and target-language words and phrases are structurally or thematically divergent. For example, the English verb to stab may be translated as the composite Spanish form dar cuchilladas a (literally, to knife or to give knife-wounds to). To determine the correct lexical items and syntactic realization associated with the surface form in such cases, the underlying lexical-semantic forms are systematically mapped to the target-language syntactic structures. The model described constitutes a lexical-semantic extension to UNITRAN, a syntactic-based translation system that is bidirectional between Spanish and English.¹

INTRODUCTION

This paper describes an implemented generation system that matches the underlying conceptual structure of a sentence to the appropriate target-language lexical items and produces the structural realization of the target-sentence by means of syntactic mappings associated with these lexical items. This work represents a shift away from complex, language-specific, syntactic generation without entirely abandoning syntax. Furthermore, this work moves toward a model that employs a well-defined lexical conceptual representation without depending on situational context, expectations, or complex knowledge representations. Two crucial operations, lexical selection of target-language terms and syntactic realization of target-language forms, will be examined, and structural and thematic divergences that encumber these two operations will be discussed.

Consider the following example of translation from English to Spanish:

(1) I stabbed John ⇒ Yo di cuchilladas a Juan (I gave knife-wounds to John)

Two properties of the system enable it to provide an appropriate translation for cases such as (1). The first is that the system relies on the notion of compositionality in order to select target-language terms. For example, because of the inherently compositional nature of the English source-language verb stab, the system is able to select the composite Spanish form dar cuchilladas a (literally, to knife or to give knife-wounds to) as the target-language equivalent. The second property of the system is that it relies on an abstraction of lexical-semantic information from syntactic information. For example, the system is able to choose the lexical item dar (literally, give) as the translation of stab without regard to its syntactic realization, and it is able to realize the phrase a Juan (literally, to John) in place of John without regard to its lexical-semantic structure. We will see in the overview section that compositionality and lexical-semantics/syntax abstraction are crucial to the model presented here.

Other generators for machine translation have been either syntactic-based (see McDonald, 1987, McKeown, 1985, and Slocum, 1984) or semantic-based (see Cullingford, 1986, Lytinen, 1987, Nirenburg ϵt . al., 1987, and Schank & Abelson, 1977). We will see that syntactic-based approaches are not adequate for translation in cases such as (1) since they do not take advantage of the lexical-semantic properties that aid the selection process; in addition, we will see that semantic-based approaches are not adequate for this example since they do not take advantage of syntactic information that aids the realization process.³

¹See Dorr, 1987.

²The reader should note that the division between syntactic and semantic approaches is not as clean-cut as implied here. For example, systems such as MUMBLE (McDonald, 1983, 1987) and TEXT (McKeown, 1985) are not entirely syntactic-based in that they use discourse and focus constraints to derive messages (i.e., underlying representational forms); and systems such as SAM (Cullingford, 1981, and Schank & Abelson, 1977) and MOPTRANS (Lytinen, 1987), which rely on the current situational context and expectations, are not entirely semantic-based since they take syntax into account for target-term positioning.

³The system described here is implemented in Common Lisp and is currently running on a Symbolics 3600 series machine. Because it translates one sentence at a time, it does not incorporate context or domain knowledge; thus, it

BACKGROUND FOR THE GENERATION SCHEME

The work of Jackendoff (1983) has been the primary influence on the design of UNITRAN's lexical-semantic generator. The representation adopted is lexical conceptual structure (henceforth LCS) as formulated by Hale and Laughren (1983) and Hale and Keyser (1986). Each lexical entry has two levels of description: the first is the syntactic description (i.e., θ -roles, category, and hierarchical and linear positioning of each argument associated with a lexical root word) and the second is a lexical-semantic description (i.e., the LCS of the lexical root word). For example, the lexical entry for the word stab is:

The LCS description provides the meaning "X causes a sharp object Y to go (temporally) to Z." Given these two components of a lexical entry, a composed LCS can be constructed from the source-language parse tree (using the lexical-semantic description), and a target-language parse tree can then be generated from the composed LCS (using the syntactic description). Notice that the syntactic level determines which of the arguments at the LCS level will be syntactically realized. For example, the verb stab may or may not syntactically realize its instrument argument since the disjunction in the :INTERNAL slot of the root word definition allows for both possibilities. Thus, it would be possible to generate either he stabbed the robber or he stabbed the robber with a knife (scissors, poker, etc.). In the next section, we will see how this representation is used in the generation scheme.

OVERVIEW OF THE GENERATION PROCESS

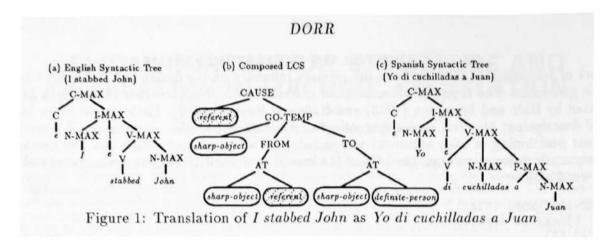
Two top-level generation procedures are activated after a source-language sentence has been parsed. The first is a lexical-semantic composition procedure that maps the source-language syntactic tree into an underlying composed LCS; the second is a syntactic generation routine that maps the underlying composed LCS into a target-language syntactic tree. The lexical-semantic composition task is implemented as a recursive procedure that converts a lexical word (henceforth referred to as the head) into its corresponding LCS, and then does the same for each of the arguments of that head. These LCS forms are then composed into a single LCS that underlies the source- and

cannot use discourse, situational expectations, or domain information in order to generate a sentence. Consequently, there are a number of capabilities found in systems such as TEXT, MUMBLE, MOPTRANS, and SAM, that cannot be reproduced here including external pronominal reference, paraphrasing, story telling, interactive question-answering, etc.

⁴It is possible to use a more general linking strategy that relates variables in the LCS with variables in the syntactic structure (e.g., see Jackendoff, 1989). Such a strategy would allow structural positioning of arguments to be determined independent of the lexical entries. This possibility is currently under investigation.

⁵Appendices A and B have the Spanish and English LCS definitions for the examples used throughout this paper. The lexical-semantic primitives of the system will not be enumerated here. To summarize, I adopt Jackendoff's notions of EVENT and STATE; these are further specialized into such primitives as CAUSE, GO, BE, STAY, and LET. The specialized primitives are placed into Temporal, Possessive, Identificational, Circumstantial, and Existential fields. For example, the primitive GO-TEMP refers to a Temporal (or Locational) GO event (e.g., the meeting went (= GO-TEMP) from 2:00 to 4:00). If the GO event were placed in a Possessive setting, it would become GO-POSS (e.g., Beth received (= GO-POSS) the doll). In addition to EVENTS and STATEs, there are also THINGS (e.g., BOOK, DEFINITE-PERSON, REFERENT etc.), PATHS (e.g., TO, FROM, etc.), LOCATIONS and TIMES (e.g., IN, AT, etc.), PROPERTYS (e.g., TIRED, HUNGRY, etc.), MANNERS (e.g., FORCEFULLY, WELL, etc.), and INTENSIFIERS (e.g., VERY, etc.). One difference between Jackendoff's representation and the one shown here is that the LOCATIONS are implemented as two-place predicates; thus, the SHARP-OBJECT represented by the variable Y appears both in the FROM PATH and in the TO PATH. Although the system uses only a small set of lexical-semantic primitives, the set is quite adequate for defining a potentially large set of words due to the compositional nature of LCS's. Furthermore, because the set is so small, the search space during the lexical-selection stage of generation is greatly reduced.

⁶Although the examples in this paper describe translation in one direction only, the composed LCS is actually a *pivot* (language-independent form) for translation in either direction.



target-language sentences. The syntactic generation task is also a recursive procedure; it maps a node in the composed LCS to an appropriate target-language head, and then does the same for each of the arguments of that node. Each target-language head is then projected to its phrasal (or maximal) level and attached according to the positioning requirements of the lexical head that selects it.⁷

We return to our translation example shown in (1). Figure 1 shows three snapshots of the translation from English to Spanish. When the LCS-composition procedure is applied to the parse tree shown in figure 1(a), the heads I, stab, and John are isolated, and the corresponding LCS's are positioned according to the syntax-to-LCS mapping defined in the lexicon. Thus, the internal argument specification ((Z N GOAL)) (see the definition of stab in (2)) maps the N-MAX projected from John to the variable Z. Similarly, the external argument specification ((X N AGENT ANIMATE)) maps the N-MAX projected from I to the variable X. The result is the composed LCS shown in figure 1(b).

Notice that the SHARP-OBJECT argument is included in the LCS even though the source-language syntactic tree does not realize this argument. Including this argument at the level of LCS allows flexibility in generating the target-language sentence, which may or may not require this argument to be realized. Once this LCS has been composed, the syntactic generation component undertakes the tasks of *lexical selection* and *syntactic realization* to produce the target-language tree. We will now examine these two tasks in more detail before describing the process for the current example.

Lexical Selection: Thematic Divergence

Lexical selection is the task of choosing the target-language words that accurately reflect the meaning of the corresponding source-language words. One of the difficulties of this task is the fact that the equivalent source- and target-language forms are potentially thematically divergent. An example of thematic divergence shows up in the translation of the Spanish word gustar to the English word like. Although these two verbs are semantically equivalent, their argument structures are not identical: the subject of like (I) is the theme of the action, whereas the subject of gustar (el libro) is the agent of the action. Thus, we have:

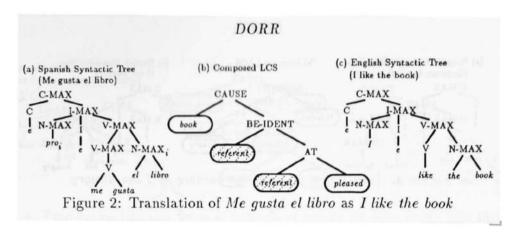
(3) Me gusta el libro (The book pleases me) ⇒ I like the book

⁷For discussion of projection to maximal level by the \overline{X} component of the system, see Dorr, 1987. In a nutshell, X-MAX refers to the XP phrase that has a lexical head of category X.

⁸In this case, there is only one possible parse; however, if the structure were ambiguous, other possibilities would be displayed. The e elements under C and I are syntactic positions for which there is no overt lexical material.

⁹The co-referring REFERENT nodes have been shaded; this co-reference relation corresponds to the multiple occurrence of X in the LCS definition of stab. The first occurrence of X corresponds to the agent of the CAUSE action, and the second occurrence corresponds to the source of the GO-TEMP action. Notice that X takes on two roles at the level of LCS, but is only associated with one θ -role (agent) at the syntactic level; this distinction allows the θ -criterion to be satisfied at the level of syntax (see Dorr, 1987) while still allowing multiple roles to be assigned at the level of LCS.

¹⁰In (3), the subject of the source-language sentence has freely inverted into post-verbal position, leaving behind a coindexed pro (empty pronominal element). Thus, the post-verbal subject is considered to be the external argument of the main verb. Free subject-inversion is a property of pro-drop languages (i.e., languages such as Spanish, Italian, Hebrew, etc. that do not require a sentence to have a subject); this property is taken into account during syntactic parsing and generation. For further discussion of the principles and parameters underlying the parser, see Dorr, 1987.



In a syntactic-based scheme, the semantics of the verb gustar would be lost since the literal translation (to please) would be selected for the target-language verb. By contrast, a semantic-based system would generally be able to make the correct lexical selection, but it might have difficulty with syntactic realization of the target-language arguments because it has no notion of syntactic argument divergence.

In the LCS approach, the underlying conceptual structure for gustar and like is identical, but the syntactic mappings associated with these two verbs are language-specific. The LCS reflects the fact that THING X is pleasing to THING Y. However, the variables X and Y map to different syntactic positions for Spanish and English:

Thus, the agent of the action becomes the subject (external argument) in Spanish, and the object (internal argument) in English.¹¹

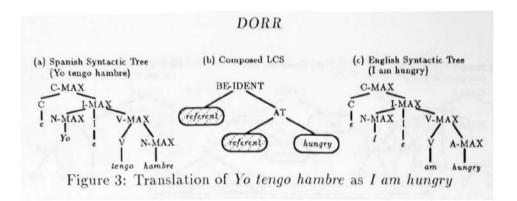
At syntactic generation time, lexical selection of a target-language head involves matching the composed LCS to the appropriate lexical head in a target-language possibility set. For example, suppose the system is trying to select the appropriate target-language token for the composed LCS that corresponds to the source-language verb gustar. Several target heads (including like, stab, and many others that use the CAUSE LCS) are selected as possible lexical possibilities. Each of these possibilities is then examined for a match: not only must the top-level LCS coincide, but all LCS's under the top-level LCS must also coincide.¹² The system immediately determines that the like LCS is a match because it contains a BE-IDENT event whose arguments coincide with the arguments of the BE-IDENT in the composed LCS.¹³ Figure 2 shows the syntactic trees and composed LCS for this example.

Notice that even though the arguments are not syntactically realized in the same way, the lexical selection procedure still succeeds. This is because of the separation between the syntactic description and the conceptual description. LCS descriptions provide the abstraction necessary for lexical selection without regard to syntax. In the next subsection, we will see how syntactic descriptions provide the necessary mechanism for argument realization without regard to conceptual considerations.

¹¹Notice also that the syntactic categories of the theme are not the same; this structural divergence shows up during syntactic realization, which will be discussed in the section on syntactic realization.

¹²In general, there are two classes of LCS nodes that are taken into consideration during the matching process of lexical-selection. The more general nodes (e.g., CAUSE, BE-IDENT, etc.) allow the matcher to determine the LCS class of the target-language term; the more specific nodes (e.g., PLEASED, FORCEFULLY, etc.) are used for final convergence on a particular target-language term such as like as opposed to love, and force as opposed to cause.

¹³There is still the question of what to do when the LCS-matching procedure does not adequately cut down the target-language possibilities. For example, there are many open-ended classes of words (in particular, noun-phrases, adjectives, and adverbs) that are not distinguishable by their LCS's. If the possibility list is still quite large (i.e., more than two or three lexical items) after LCS-matching routines have finished the lexical selection process, a direct-mapping routine is used here instead for lexicalization. That is, certain lexical-items (e.g., me, I, John, etc.) may be selected on the basis of a direct mapping to the surface form. Pustejovsky and Nirenburg (1987) provide an elegant approach to generation of open-class lexical items based on focus information. Because the system described here does not include a model of discourse, the direct-mapping technique is used for such problematic cases.



Syntactic Realization: Structural Divergence and Conflation

Syntactic realization is the task of mapping a syntactic description to a surface-syntactic representation. Two problems are associated with this task. The first is that source- and target-language forms are potentially structurally divergent. An example of structural divergence is the realization of arguments in the translation of tener to be as in (5) (the corresponding argument-structures are included):

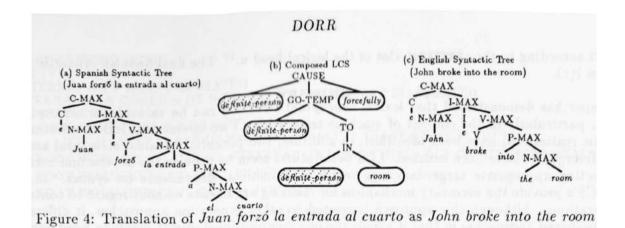
Here, not only are the predicates tener and be lexically distinct, but the arguments of these two predicates are structurally divergent: in Spanish, the argument is a noun-phrase, and, in English, the argument is an adjectival-phrase.

As for the lexical-selection of the appropriate predicate, the same LCS procedure that was used in the *stab-dar* case is used to match the LCS's of *tener* and *be*. However, for structural realization of the PROPERTY argument Y, the system must not only choose the appropriate lexical head, but it must choose the appropriate syntactic structure (*i.e.*, the category that will be projected from the head).

A syntactic-based scheme is inadequate for this example because it would choose the literal translation hunger for the source-language word hambre. This choice would be semantically awkward, but syntactically correct if the translation were I have hunger; however, if the more appropriate predicate be were chosen instead of have, the translation would be both semantically awkward and syntactically incorrect: I am hunger. A semantic-based scheme would make the correct lexical selection (that is, it would probably choose an argument that has a "desire to eat" property associated with it), but it would have no clue as to the syntactic form of the argument.

In the LCS approach, the lexical-selection procedure determines that both hunger and hungry lexically match the LCS for hambre because both are defined as the same LCS PROPERTY: HUNGRY. In order to choose between these two possibilities, the system must access the :INTERNAL slot of the predicate be that was chosen as the top-level lexical head: ((Y A)). Since an adjective is selected, the nominal possibility is eliminated, the adjective hungry is chosen, and the argument is projected up to its maximal level (A-MAX). Figure 3 shows the syntactic trees and composed LCS for this example.

The second problem for structural realization is the potential for a divergent degree of conflation between the source- and target-language predicates. According to Talmy (1985), verbs may have a semantic representation that is not entirely exhibited at the level of syntactic structure. For example, the verb enter incorporates a conflated or "understood" particle into as part of its meaning structure; this particle manifests itself in the similar composite predicate break into. As it turns out, the Spanish equivalent of break into (forzar) has an additional conflated argument entrada (literally, entry); this argument is "understood," but not syntactically realized in English:



Thus, there are three difficult tasks in the translation of forzar to break:¹⁴ selection of the predicate break, suppression (conflation) of the entry argument, and realization of the particle into.¹⁵

A syntactic-based scheme has no notion of compositionality and would fail immediately in trying to map forzar (literally force) to break (or vice-versa). Furthermore, it would have the problem of choosing the appropriate particle, even if it were able to provide the correct structure (i.e., a prepositional-phrase). On the other hand, a robust semantic-based scheme would have the ability to compose forzar and entrada, but it would not be able to determine whether the target-language argument was to be left implicit or whether it was to be syntactically realized, since there is no notion of conflation in such a scheme.

The LCS scheme uses compositionality to map forzar la entrada to break: the LCS for forzar contains a CAUSE, and the LCS for entrada contains a GO-TEMP, both of which combine to match the composite LCS for break. At this point, the structural realization procedure determines that the GO-TEMP LCS is not part of the syntactic mappings of break, so it does not get realized (and so fulfills the conflation task). However, the TO-IN PATH argument is in the syntactic mappings of break, so the system matches this argument with the TO-IN PATH LCS of into, and the phrase into the room is realized. Figure 4 shows the syntactic trees and composed LCS for this example.

STAB-DAR REVISITED

We now return to our translation example: I stabbed John. Once the LCS for this sentence has been composed (see figure 1(b)), the lexical selection procedure must choose the appropriate Spanish lexical head by matching the composed LCS not only at top level, but at all lower levels. Of the target-language root word possibilities that match the LCS GO-TEMP, only the root word dar matches. Thus, this root is selected to be the lexical head that will be projected. Next, the system must project the arguments of the selected lexical head dar. A recursive call is made to the selection procedure in order to determine the correct lexical head for each of the argument LCS's SHARP-OBJECT, FROM, and TO. Just prior to this recursive call, the system accesses the :INTERNAL and :EXTERNAL slots of the lexical head dar to establish the syntactic category that will be projected for each of these arguments. Notice that unlike the stab definition, the dar definition requires the SHARP-OBJECT and TO arguments to be realized at the syntactic level; thus, the system performs an "inverse conflation" in order to arrive at the target-language realization for this example. The lexical heads chosen for LCS's referent, sharp-object, and TO are yo, cuchilladas, and a, respectively. As dictated by the syntactic argument slots of the lexical head dar, these three heads are maximally-projected as N-MAX, N-MAX, and P-MAX, respectively. Finally, the DEFINITE-PERSON LCS is projected

¹⁴There are three analogous tasks in the reverse direction. That is, translation from English to Spanish requires selection of the predicate forzar, realization of the entry argument (this is actually an "inverse conflation"), and realization of the particle a.

¹⁵Notice that the LCS definitions of a and into (see appendix A and appendix B, respectively) both have an *EXTERNAL* argument. The *EXTERNAL* marker is a place-holder for an LCS that will fill this position by means of lexical-semantic composition. For example, when the LCS associated with a is composed with the GO-TEMP LCS, the argument that is the theme of the GO-TEMP will replace the *EXTERNAL* marker of the a LCS.

¹⁶Notice that there are two LCS's for the word break (see appendix B); the first is the matching GO-TEMP LCS for this example, and the second one is a GO-IDENT LCS that corresponds to "breaking an object." The mapping routine of the lexical selection procedure succeeds on the first one and (correctly) fails on the second one for the break into example.

as N-MAX according to the :INTERNAL slot of the lexical head a.¹⁷ The final Spanish syntactic tree is in figure 1(c).

SUMMARY

This paper has demonstrated that lexical conceptual structure can be valuable for sentence generation, particularly in the context of machine translation. Two operations, lexical selection and syntactic realization, have been identified; in addition, two potential hazards, structural and thematic divergence, have been isolated. LCS descriptions seem to provide the abstraction necessary for selecting appropriate target-language terms with minimal dependence on syntax. In addition, LCS's provide the necessary mechanism for realizing arguments without regard to conceptual considerations. Although this approach is related to other generation approaches, it differs from syntactic-based approaches in that it avoids the non-compositional, direct-mapping word selection, and it differs from semantic-based approaches in that it does not entirely abandon syntactic considerations for word selection and structural realization. In summary, this paper has shown that the combination of lexical-conceptual description and syntactic description facilitates the lexical-selection and structural realization processes, and it also aids in tackling the associated problems of thematic divergence, structural divergence, and conflation.

```
A SPANISH DEFINITIONS
(DEF-ROOT-WORD (GUSTAR)
 :CAT (V) :EXTERNAL ((X N AGENT)) :INTERNAL ((Y P THEME ANIMATE)) :LCS (CAUSE X (BE-IDENT Y (AT Y PLEASED))))
(DEF-ROOT-WORD (DAR)
 :CAT (V)
 :EXTERNAL ((X N AGENT ANIMATE))
 :INTERNAL ((W N INSTRUMENT INANIMATE) (Z P GOAL)) or ((Y N THEME INANIMATE) (Z P GOAL))
 :LCS (CAUSE X (GO-TEMP W (FROM (AT W X)) (TO (AT W Z))))
or (CAUSE X (GO-POSS Y (FROM (AT Y X)) (TO (AT Y Z))))
(DEF-ROOT-WORD (TENER)
 :CAT (V) :EXTERNAL ((X N THEME)) :INTERNAL ((Y N GOAL)) or ((Z N CONDITION))
 :LCS (BE-POSS X (AT X Y)) or (BE-IDENT X (AT X Z)))
(DEF-ROOT-WORD (FORZAR)
 :CAT (V) :EXTERNAL ((X N AGENT ANIMATE)) :INTERNAL ((Z N THEME)) or ((Z C THEME))
 :LCS (CAUSE X Z FORCEFULLY))
(DEF-ROOT-WORD (A):CAT (P):INTERNAL ((Y N)):LCS (TO (AT *EXTERNAL* Y)))
(DEF-ROOT-WORD (CUCHILLADA) :CAT (N) :LCS SHARP-OBJECT)
(DEF-ROOT-WORD (ENTRADA)
 :CAT (N) :INTERNAL ((Y P GOAL LOCATION))
 :LCS (GO-TEMP *EXTERNAL* (TO (IN *EXTERNAL* Y))))
(DEF-ROOT-WORD (HAMBRE) : CAT (N) :LCS HUNGRY)
                                B ENGLISH DEFINITIONS
(DEF-ROOT-WORD (LIKE)
 :CAT (V) :EXTERNAL ((Y N THEME ANIMATE)) :INTERNAL ((X N AGENT))
 :LCS (CAUSE X (BE-IDENT Y (AT Y PLEASED))))
(DEF-ROOT-WORD (GIVE)
 :CAT(V)
 :EXTERNAL ((X N AGENT ANIMATE))
 :INTERNAL ((Y N THEME INANIMATE) (Z P GOAL)) or ((Z N GOAL) (Y N THEME INANIMATE))
 :LCS (CAUSE X (GO-POSS Y (FROM (AT Y X) (TO (AT Y Z))))))
(DEF-ROOT-WORD (BE)
 :CAT (V) :EXTERNAL ((X N THEME)) :INTERNAL ((Y A)) or ((W P LOCATION)) or ((W P TIME))
 :LCS (BE-IDENT X (AT X Y)) or (BE-TEMP X (AT X W)))
(DEF-ROOT-WORD (BREAK)
 :CAT (V)
 :EXTERNAL ((X N AGENT ANIMATE))
 :INTERNAL ((Y P GOAL LOCATION)) or ((Z N THEME INANIMATE))
 :LCS (CAUSE X (GO-TEMP X (TO (IN X Y))) FORCEFULLY)
   or (CAUSE X (GO-IDENT Z (TO (AT Z BROKEN)))))
```

¹⁷The proper noun John is considered to be a member of one of the many open-ended word classes discussed in footnote 13. Thus, the translation Juan is selected on the basis of a direct mapping from the source-language form.

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