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Probing the nature of an island constraint with a parsed corpus*

A case study on the Coordinate Structure Constraint in Japanese

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Abstract

This paper presents a case study of the use of the NINJAL Parsed Corpus of Modern Japanese (NPCMJ) for syntactic research. NPCMJ is the first phrase structure-based treebank for Japanese that is specifically designed for application in linguistic (in addition to NLP) research. After discussing some basic methodological issues pertaining to the use of treebanks for theoretical linguistics research, we introduce our case study on the status of the Coordinate Structure Constraint (CSC) in Japanese, showing that NPCMJ enables us to easily retrieve examples that support one of the key claims of Kubota and Lee (2015): that the CSC should be viewed as a pragmatic, rather than a syntactic constraint. The corpus-based study we conducted moreover revealed a previously unnoticed tendency that was highly relevant for further clarifying the principles governing the empirical data in question. We conclude the paper by briefly discussing some further methodological issues brought up by our case study pertaining to the relationship between linguistic research and corpus development.

1 Introduction

This paper presents a case study of applying the NINJAL Parsed Corpus of Modern Japanese (NPCMJ; `http://NPCMJ.ninjal.ac.jp/`)

for syntactic research. Specifically, we explore the possibility of using NPCMJ for collecting attested data corroborating the claim made by Kubota and Lee (2015) (K&L) on the status of the Coordinate Structure Constraint (CSC) in Japanese. The results are positive. NPCMJ proved to be an effective tool for extracting sentences that crucially corroborate the claim by K&L that CSC should not be viewed as a syntactic constraint. The treebank search moreover identified a tendency that is arguably difficult to find by alternative methods (such as introspective judgments and unannotated or lightly annotated linguistic data), but which is relevant for further clarifying the principles governing the empirical data in question. With these results, we hope to convince the reader that treebanks are highly effective tools for addressing questions that have direct theoretical relevance. The present paper also discusses some possible challenges for using treebanks for linguistic research. We include this discussion since we believe that one can exploit the full power of treebanks only by having an accurate knowledge of what they are, and this is why it is important, on the part of users of treebanks, to understand at least some of the key issues involved in the construction of treebanks.[1]

The paper is structured as follows. We start with a discussion of some methodological and practical issues pertaining to the use of treebanks in linguistic research, so as to situate the present case study within a larger context. We then present our case study on the CSC patterns in Japanese. The case study reveals some further methodological issues pertaining to the relationship between treebank development and linguistic research. We conclude the paper by briefly commenting on these larger issues.

2 Some methodological issues

Treebanks are corpora with full syntactic annotation. This means that they are special type of corpora that come with unusually fine-grained linguistic/grammatical information as compared to ordinary large-scale corpora. For this reason, even if one is primarily interested in just using some existing treebank for one's research and not in actually developing such a corpus, it is still instructive to learn about the general challenges

[1] Previous studies employing treebanks for linguistic research are still surprisingly few in number despite the fact that treebanks for at least major European languages have been around for quite a long time by now. To get a feel for some representative studies, see Kübler and Zinsmeister (2015), which contains a concise summary of the studies by Bresnan et al. (2007) and Wasow et al. (2011). The proceedings of the conference 'Treebanks and Linguistic Theories' contain many papers exploiting the use of treebanks for addressing various issues in linguistic research.

that treebank development faces.[2] Treebanks almost always come with detailed annotation manuals,[3] and these manuals are very informative, as they tell us both the undergirding principles behind the development of the specific treebank in question and the specific ways in which various practical issues have been addressed.

In our own experience, the following issues stood out as potential bottlenecks in using NPCMJ as a tool for linguistic research:

- **Data size** – Treebanks are expensive to construct, and therefore tend to be small in size.
- **Annotation quality** – The distinction one is after may be encoded in the corpus, but the annotation may be unreliable/inconsistent.
- **Searchability** – If the phenomenon in question involves properties that are not purely structural, that information may not be encoded.

These issues essentially all pertain to the inherent nature of treebanks: by their very nature, treebanks embody the tension between 'bottom-up' descriptive archiving of linguistic data and 'top-down' linguistic theorizing guiding us what kinds of information to annotate. In the rest of this section, we discuss these issues briefly.

2.1 Data size

Large-scale treebanks require great amount of time and extensive human resource (both in quality and quantity) to construct. This means that treebanks tend to be small in size as compared to other types of corpora. For example, even including unreleased data (for which final checking is pending), NPCMJ contains only about 650,000 words. This is less than 1% of the Balanced Corpus of Contemporary Written Japanese (`http://pj.ninjal.ac.jp/corpus_center/bccwj/en/`), which contains 1 billion words and which is widely used in linguistic research. Comparable treebanks for other languages are only twice or three times larger than NPCMJ.[4]

Data size may become a real issue depending on the type of question one is interested in. In fact, this can pose a real difficulty in theoretical research, given that in many cases theoretical linguists are interested in rare phenomena. There is no easy solution for this dilemma, but one

[2]For readable and instructive discussions of using corpora (including treebanks) for linguistic research, see Meurers (2005), Meurers and Müller (2009) and Kübler and Zinsmeister (2015). Palmer and Xue (2013) contains a concise and useful discussion of treebank development from the viewpoint of corpus developers.

[3]In the case of NPCMJ, the annotation manual is available at `http://www.compling.jp/keyaki/manual_en/contents.html`.

[4]For example, the Penn Chinese Treebank contains 1.5 million words, and the Tübingen Treebank of Written German contains about 1.8 million words.

promising approach is to increase the data size by including machine-annotated data without manual correction. For a case study exploiting this possibility, see Hinrichs et al. (2015), which convincingly shows that this approach is particularly effective for identifying occurrences of rare phenomena. The challenge that such an approach faces is of course quality control. For some discussion about how one might go about estimating error rate with respect to a particular grammatical feature one is interested in within a large-scale machine-annotated corpus, see Bloem (2016).

2.2 Annotation quality

The second challenge, namely that of quality control, also pertains to the fact that treebanks are expensive to construct. Treebanks annotate full syntactic structure for each sentence (and some treebanks, including NPCMJ, encode even more fine-grained information such as grammatical relations). Carrying out such detailed linguistic analysis on real-world data consistently would be a great challenge even for experienced syntacticians.

Palmer and Xue (2013) contains a useful discussion on annotation evaluation for treebanks. They report that the Chinese Treebank has achieved inter-annotator agreement of over 95% accuracy (in terms of the Parseval F score, which takes into consideration the bracketing, but not the category labels) after adjudication of inter-annotator discrepancies. This sounds encouraging, but one should keep in mind that there is no guarantee that quality control of approximately the same level is enforced in all existing treebanks.

Annotation quality may turn out to pose an issue for linguistic application. If the key distinction one is looking for is annotated incorrectly/unreliably, the search result will inevitably contain false hits (negatively affecting precision) and one will inevitably miss some positive instances (negatively affecting recall). In many cases, false positives may not be a serious issue in treebank-based research, since if the corpus itself is not huge, the results for a moderately complex (thus linguistically interesting) search will typically return a small enough number of hits allowing for exhaustive manual inspection. But missing positive instances remains an annoying issue.

2.3 Searchability

Finally, even though treebanks encode rich linguistic information, in actual linguistic research, it often turns out that structural information alone is not enough to formulate a linguistically interesting search. In particular, even in syntactic research, important and interesting theo-

retical questions often involve multiple levels of linguistic information.[5] A typical example of this is when one is interested in the distribution of a particular class of words in particular syntactic environments.

Let us provide a concrete example demonstrating this point. In our initial exploration of using NPCMJ for theoretical research, we identified one possible topic which we decided not to pursue further at this point for practical reasons. The linguistic issue we were interested in was the distribution of evaluative adverbs in the scope of sentential operators—interrogatives, imperatives, modals and negation. It has been reported in the literature (Sawada, 1978) that evaluative adverbs in Japanese do not appear in the scope of such operators. Examples involving interrogative and negation are given in (1).

(1) a. *Orokanimo John-wa odot-ta no?
stupidly John-TOP dance-PAST Q
'Stupidly, did John dance?'

b. Orokanimo John-wa odotte-i-nai.
stupidly John-TOP dance-COP-NEG-PAST
'Stupidly, John hasn't danced.' (ADV > NEG, *NEG > ADV)

However, a recent study by Kubota (2015, 23) suggests that the facts are somewhat more complex. In this work, Kubota notes that at least for the interrogative sentences like (1a), the acceptability of the allegedly ill-formed examples can be improve significantly by embedding them in a certain kind of discourse context.

We believe that the need to search for this type of correlation (or lack thereof) between a particular syntactic configuration and a particular lexical class is very typical in linguistic research, since many interesting and important issues in theoretical linguistics pertain directly to such correlations (e.g., NPI licensing, the licensing and interpretation of *wh*-indefinites in Japanese by the interrogative *ka* and the 'universal' *mo* particles).

[5] In this connection, the results reported in Suzuki et al. (2018) are suggestive. Suzuki et al. report on the development of a web-based interface for the NPCMJ corpus that provides search functions for the major grammatical phenomena in Japanese listed in Masuoka and Takubo (1992), a compact descriptive grammar book widely referenced by Japanese linguists. According to the authors, out of 136 candidate search items, only 73 allowed for relatively straightforward formulations of query expressions that were actually implemented in the system. We should warn the reader that by just looking at these numbers and jumping to a pessimistic conclusion is highly misleading. However, the overall result does certainly suggest that the gap between what ordinary linguistics think is part of 'grammar' and what is encoded in a treebank can be unexpectedly large, and that one should be aware of the existence of such a gap when using treebanks in linguistic research.

In the case of the evaluative adverb distribution, the lack of an appropriate lexical resource unfortunately made it difficult to formulate an effective search query. Adverbs are not subclassified in the NPCMJ corpus, and that practically meant that all we could do was either to run a very coarse-gained search retrieving all occurrences of all adverbs in the relevant syntactic configurations or to prepare a list of evaluative adverbs manually in advance. While the first strategy has an advantage in terms of recall (in the sense that we are not going to miss any true hits), it is impractical in terms of precision (the search results will contain too many false hits). The second strategy is often the best compromise in situations like this. It will work particularly well when the lexical class in question is a closed or near-closed class (such as focus particles). Unfortunately, for the case of evaluative adverbs, this alternative strategy did not seem promising either. The class of evaluative adverbs is not a closed class. This makes it difficult to come up with a reasonably complete list of such items manually. Thus, conducting research on this topic will be realistic only when a reasonably large-scale lexical resource with a fine-grained subclassification of different parts of speech (in this case adverbs) is available.

2.4 Summary

Due to the three methodological issues mentioned above, using treebanks for linguistic research isn't always straightforward. But this does not mean that such attempts are futile. On the contrary, we believe that as long as the user of the corpus is aware of the potential limitations and pitfalls, currently existing treebanks do already give us invaluable resources for gaining insight into questions that are directly relevant for theoretical linguistic research. In the rest of the present paper, we aim to demonstrate this point through a concrete case study.

3 Case study: A corpus-based study of the status of the Coordinate Structure Constraint in Japanese

In this section, we report on a case study we have conducted on the status of the so-called 'Coordinate Structure Constraint' (CSC) in Japanese using the NPCMJ corpus. Specifically, we were interested in the question of whether corpus data can be used to either validate or invalidate the claim made by Kubota and Lee (2015) that the CSC should be viewed as a pragmatic principle rather than a syntactic constraint. To state the conclusion first, despite some limitations due to the methodological issues discussed in the previous section, the overall results were positive in the following three respects: first, we were able to find occurrences of sentences in the corpus that crucially support

K&L's key argument against syntactic accounts of the CSC; second, we were able to additionally identify a previously overlooked but important tendency in the data; third, this newly discovered tendency was one which was arguably difficult to identify without the use of a treebank. To make the present paper self-contained, we first review the relevant theoretical literature, both on the CSC (section 3.1) and on the relevant facts we focused on in Japanese (section 3.2).[6]

3.1 The CSC and its status in the grammar

The CSC is a famous constraint in the syntactic literature first identified by Ross (1967) as one of the 'island constraints'. It prohibits extraction out of a single conjunct in a coordinate structure:

(2) **Coordinate Structure Constraint**
In a coordinate structure, no conjunct may be moved nor may any element contained in a conjunct be moved out of that conjunct. (Ross, 1967, 89)

The first part of the constraint prohibiting extraction of the whole conjunct is called the 'conjunct constraint' and the second part prohibiting extraction of an element out of a conjunct (i.e., the underlined part) is called the 'element constraint'. In the rest of this paper, we focus on the element constraint, and for this reason, when we say 'the CSC' in what follows, we mean just the element constraint, not the entirety of the CSC including the conjunct constraint.

The CSC is supposed to account for contrasts like the following, and has standardly been taken to be a syntactic constraint:

(3) a. *This is the book that he [[bought __] and [read the newspaper]].
b. This is the book that he [[bought __] and [didn't read __]].

However, Ross himself was the first to note counterexamples to the CSC. There are well-known examples of extraction out of a single conjunct, such as those in (4), which are perfectly acceptable and which remain problematic for any formulation of the CSC as a syntactic constraint along the lines of (2).

(4) a. Here's the whiskey which I [[went to the store] and [bought __]]. (Ross, 1967)

[6]Due to space-limitations, the background discussion below is kept to the minimum. Readers interested in the details are referred to Kubota and Lee (2015) and references cited therein.

b. That's the stuff that the guys in the Caucasus [[drink __] and [live to be a hundred]]. (Schmerling, 1972)

These and similar data have led some researchers to propose an alternative analysis of the patterns of acceptability displayed in the data in (3) and (4) based on pragmatic, rather than syntactic factors. This line of analysis starts with Lakoff (1986). Kehler (2002) elaborates this approach further and embeds it in a general theory of discourse coherence that has robust empirical applications outside of the facts pertaining to the CSC (such as the licensing conditions of VP ellipsis and Gapping). We summarize Kehler account in what follows since it forms the basis of K&L's work on Japanese and Korean.

Kehler's account builds on a general theory of discourse relations in terms of the following three-way classification:

(5) **Resemblance**

a. Mary is a linguist and Sue is a psychologist.

b. Mary voted for Clinton, but Bill voted for Trump.

(6) **Cause-Effect**

a. George is a politician, and therefore he's dishonest.

b. George is a politician, but he's honest.

(7) **Contiguity**

a. Larry went into a restaurant. The baked salmon sounded good and he ordered it.

b. George picked up the speech. He began to read.

Among the three, the Resemblance relation is unique in that this discourse relation largely depends on the form of the sentence, most typically the predicate argument structure. For example, in (5b), the two clauses share the same predicate and the two arguments of the predicate in one clause have counterparts in the other clause occupying the same argument position (subject and object). The two other discourse relations, on the other hand, are supported by the semantic, rather than the structural relations between their components. The Cause-Effect relation holds between two clauses if the events or situations described by them are related via some kind of causal relation in the broader sense. The Contiguity relation holds between event descriptions that are most typically sequentially ordered, and which, taken as a whole, form a coherent narrative. The factors that support the Contiguity relation seem to be varied, including world knowledge, common

sense, social/cultural conventions and patterns of human cognition.[7]

Building on his theory of discourse relations, Kehler reformulates the CSC as a pragmatic condition along the following lines:

(8) **Pragmatic Reformulation of CSC (Element Constraint)**
When the discourse relation between the two conjuncts is Resemblance, extraction needs to take place from all conjuncts.

The key idea behind this proposal should be intuitively clear. Extraction involves positing a link between the head noun and a gap position inside the clause that hosts extraction. If such a link is established only in one of the two conjuncts, it will break the structural symmetry requirement imposed by the Resemblance relation on the two conjuncts. Thus, if the Resemblance relation holds between the two conjuncts, only 'across-the-board' extraction is allowed. By contrast, Cause-Effect and Contiguity relations do not impose any symmetry requirement on the two conjuncts to begin with. Thus, in these cases, extraction from a single conjunct does not give rise to unacceptability.

3.2 CSC patterns in Japanese

We now turn to the CSC patterns in Japanese. To state the conclusion first, the overall patterns are essentially the same as in English. However, in Japanese both the constructions corresponding to English coordination and the constructions corresponding to English extraction display properties that are quite different from the respective constructions in English. We first review the basic properties of the relevant constructions, and then discuss the CSC patterns that they exhibit.

Before moving on, a terminological clarification is in order so as to avoid confusion in the ensuing discussion. Following K&L, we use the terms 'CSC patterns' and 'CSC facts' to refer to the *descriptive* generalization of the sort exemplified by the English data in (3) and (4), where the acceptability of a syntactic operation (extraction from a coordinate structure in the case of English) is sensitive to semantic/pragmatic factors. Note that this definition does not preclude 'CSC patterns' being observed in *non*-coordination constructions. The term 'CSC', on the other hand, is a purely theoretical one, and exclusively refers to a *syntactic* constraint that is by definition applicable to coordination constructions only (and which is meant to capture patterns of

[7] Identifying discourse relations is not always straightforward. In particular, drawing a boundary between the Cause-Effect and Contiguity relations in real text is often difficult. Following K&L, we suggest the use of adverbial expressions explicitly signalling specific discourse relations, such as *on the other hand*, *by contrast* (Resemblance), *therefore*, *and so*, *because* (Cause-Effect), and *then*, *after that* (Contiguity), as a primary disgnostic for discourse relations.

acceptability of the sort exemplified by (3)). The descriptive generalization and the theoretical notion are two distinct things and should not be confused with each other. For example, the claim that the CSC patterns are observed in the Japanese *-te* clauses and the *ren'yoo* clauses (which forms the basis for K&L's pragmatic account) is distinct from the claim (which K&L argue *against*) that the syntactic constraint of CSC is applicable to these constructions.

In Japanese, *-te* clauses and *ren'yoo* 'continuative' clauses (at the clausal level) have meanings and functions broadly comparable to those of English coordination.[8] But as we will see shortly, these are syntactically subordination constructions rather than coordination constructions.[9]

As shown in (9), in these constructions, the first clause is marked by a non-finite *-te* or *ren'yoo* form, and the second clause carries the tense morphology.

(9) a. [Taroo-ga **utai/utat-te**], [Hanako-ga odot-ta].
Taro-NOM sing/sing-TE Hanako-NOM dance-PAST
'Taro sang, and Hanako danced.'

b. Taroo-wa [mise-ni **iki/it-te**] [hon-o kat-ta].
Taro-TOP store-DAT go/go-TE book-ACC buy-PAST
'Taro went to the store and bought a book.'

The clearest morphosyntactic evidence for coordinationhood is whether the conjuncts can independently serve as an expression of the given category. *-Te* and *ren'yoo* clauses do not carry their own tense and thus cannot stand alone as an independent sentence with ordinary declarative meanings, as shown in (10):[10]

[8]We exclude other types of connectives in the ensuing discussion such as *-tari* and *-si*. These forms express more specific types of semantic relations between the clauses they combine than the *-te* form or the *ren'yoo* form, and for this reason, don't display the full patterns of interactions with discourse relations exhibited by *-te* clauses and *ren'yoo* clauses. We believe that the overall distributional patterns of these other connectives are consistent with K&L's proposal.

[9]Coordination is a somewhat tricky notion to define/characterize (see, e.g., Haspelmath (2007) for an overview of the relevant typological issues). For the purpose of the present paper, we follow Kubota and Lee (2015) in taking syntactic and morphological properties as the primary criteria, since the hypothesis under consideration is the validity of the CSC as a *syntactic* constraint. Typologically, Japanese *-te* clauses and *ren'yoo* clauses seem to fit most comfortably in the category of 'cosubordination', which shares certain properties with both coordination and subordination (cf. Hasegawa (1996), Velupillai (2012)).

[10]The *-te* form here is acceptable as an imperative form (i.e. the abbreviatory form of *-te kudasai*), but this is irrelevant for the point in question.

(10) *Taroo-ga uta-o utai/utat-te.
Taro-NOM song-ACC sing/sing-TE
intended: 'Taro sang a song.'

Given this, it seems reasonable to assume that *-te*-marked and *ren'yoo* clauses are morpho-syntactically subordinate clauses, at least without any clear evidence to the contrary.

Turning now to the counterpart of English extraction, we again see that the syntactic properties of the relevant constructions are quite different. 'Relative clauses' are formed in Japanese by placing a finite clause in front of the modified noun as in (11):

(11) [Taroo-ga __ yon-da] hon
Taro-NOM read-PAST book
'the book that Taro read'

Two properties sharply distinguish the Japanese noun-modifying clauses from English relative clauses, as noted by a number of previous authors (cf., e.g., Kuno (1973), Teramura (1975–1978), and Matsumoto (1997)). First, as exemplified by (12a) and (12b), the Japanese noun-modifying clause does not obey typical island constraints (except possibly for the CSC). Specifically, (12a) and (12b) are 'violations' of the Complex NP Constraint and the Adjunct Constraint, respectively. Second, it has the so-called 'gapless' variants, such as (12c), in which the relationship between the modifying clause and the head noun is mediated by a pragmatic inference partly supported by world knowledge.

(12) a. [[__ ki-te i-ru] yoohuku-ga kitanai] hito
wear-TE PROG-NPST clothes-NOM dirty.NPST person
'the person such that the clothes that s/he is wearing are dirty'

b. [[__ sin-da ato] mina-ga kanasin-da] zyosei
die-PAST after all-NOM miss-PAST woman
'the woman that all missed after she died'

c. [atama-ga yoku-nar-u] hon
mind-NOM good-become-NPST book
'a book such that one becomes smart by reading it'

Given these properties, and given the fact that Japanese is a pro-drop language, Matsumoto (1997) concludes that the null hypothesis about noun-modifying constructions in Japanese is that the semantic relation between the head noun and the modifying clause is underspecified

in the syntax and is mediated pragmatically. In this paper, we follow Matsumoto in taking this view on noun-modifying clauses in Japanese.

Thus, we have independent reasons to believe that both the coordination-like constructions (i.e., *-te* and *ren'yoo* clauses) and the noun-modifying construction in Japanese have properties that distinguish them from their counterparts in English, at least in respects that are crucial for the applicability of the CSC as a *syntactic* constraint. Given this, it may perhaps be somewhat surprising that Japanese nevertheless exhibits basically the same CSC patterns (including the 'apparent exceptions') as in English in these syntactic constructions. The relevant data are as follows:

(13) a. *Taroo-ga [zassi-o kat-te/kai] [__ yon-da] hon
Taro-NOM magazine-ACC buy-TE/buy read-PAST book
intended: 'the book such that Taro bought the magazine and read it'

b. Taroo-ga [__ kat-te/kai] [__ yon-da] hon
Taro-NOM buy-TE/buy read-PAST book
'the book that Taro bought and read' (Resemblance)

(14) a. [__ syutuensi-te/syutuensi] [kookaisi-ta] sakuhin
appear-TE/appear regret-PAST piece
'the piece (movie) that he appeared in and regretted'
(Cause-Effect)

b. [Kinokuniya-ni it-te/iki] [__ kat-ta] hon
Kinokuniya-LOC go-TE/go buy-PAST book
'the book that I bought when I went to Kinokuniya' (Contiguity)

These data are highly problematic for any version of the syntactic approach to the CSC, as discussed in detail by K&L. But they all fall out straightforwardly by taking the CSC patterns to follow from a pragmatic principle. Regardless of the syntactic properties of the constructions involved, linking the head noun to a missing argument position breaks the structural symmetry imposed on the two clauses by the Resemblance relation. But if the discourse relation between the two clauses is either Cause-Effect or Contiguity, no such symmetry requirement exists for the two clauses. Thus, on the pragmatic approach, the patterns exhibited by (13) and (14) are predicted without any extra stipulation.[11]

[11]One might wonder whether an independently motivated syntactic (or syntactico-semantic) distinction among different subtypes of *-te* clauses or *ren'yoo* clauses could be linked to the acceptability patterns observed here. We believe that

3.3 Results of the corpus search

At the time of writing K&L, no treebank for Japanese or Korean was available as a convenient tool for searching for grammatical structures in a form easy to use for working linguists.[12] K&L do nevertheless offer attested data structurally identical to the examples in (14). The strategy they took was to formulate an approximate query in Google string search which in one instance took the following form:

(15) `* si|site * sita * wa`
Gloss: do/do.TE do.PAST TOP

The intention here is that the arbitrary strings before the two occurrences of light verb *suru* (`si|site` (*ren'yoo*/*-te* clause) and `sita` (past tense)) would correspond to the first and second clauses and the third arbitrary string (followed by the topic marker *wa*) would correspond to the modified head noun. Since no further constraints are imposed, this query returns many false hits. But it was sufficient (but only barely sufficient) for the purpose of finding examples to cite in the paper.

K&L's compromise shows that Google string search is actually useful (which is perhaps already an obvious point for working syntacticians). The size of the corpus is certainly a big advantage. But it also shows the disadvantages of this approach. First of all, having to wade through many irrelevant search results is inconvenient. Second, in order to identify sequences of two clauses, K&L had to restrict the search to target only the light verb *suru*. For the case at hand, this compromise was good enough, but in the general case, there is no guarantee that restricting the search arbitrarily for the sake of searchability would not have a negative effect on either the quality or quantity of the search results.

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such an approach would be difficult to maintain. For example, Uchimaru (2006) distinguishes between different subtypes of *-te* clauses based on tests such as NPI licensing and focus particle interpretation, but on her classification, *-te* clauses expressing all the three discourse relations exemplified in (13) and (14) fall under the same 'TP coordination' class. Similarly, in relation to the influential three-level classification of clausal hierarchies in Japanese, Minami (1974) posits that *-te* clauses and *ren'yoo* clauses can belong to all of the three classes A–C. However, since noun-modifying constructions by definition belong to Class A/B and since Class A (which according to Minami is basically limited to clauses functioning as manner adverbs) is too small to host most of the examples of the form in (13) and (14), we are forced to conclude that all of our examples belong to Minami's Class B. But then, this classification cannot be used to distinguish between cases like (13) and cases like (14).

[12] The dependency-based Kyoto Corpus (`http://nlp.ist.i.kyoto-u.ac.jp/EN/index.php?KyotoUniversityTextCorpus`) was available back then, but it was released and used primarily as resource for NLP research.

The development of NPCMJ at NINJAL starting from 2016 gave us an opportunity to revisit this issue. NPCMJ comes with an explicit encoding of both 'gapped' and 'gapless' noun-modifying constructions;[13] it distinguishes different grammatical relations; and it enables one to search for *-te* clauses and the *ren'yoo* clauses separately. In short, it has all the distinctions we need to search for examples like (14).

We used the internal version of the NPCMJ corpus as of August 4, 2017, containing 59,557 sentences.[14] The Stanford tregex search tool (`https://nlp.stanford.edu/software/tregex.shtml`) was used for formulating queries and retrieving data. We formulated eight queries by specifying different values for the following three binary parameters:

- the form of the first clause (*-te* vs. *ren'yoo*)
- grammatical relation of the gap site (subject vs. object)[15]
- position of the gap site (first clause vs. second clause)

An example query (*-te*/first clause/subject) is given in (16):

(16)
```
IP-REL < (IP-ADV < (NP-SBJ < *T*)
                   < VB
                   < (P < te|de))
       < (NP-SBJ !< *T*)
```

This expression matches an IP-REL (i.e. 'gap-containing' noun-modifying clause) which contains an IP-ADV in the *-te* form (*-de* is an allomorph of *-te*) with a subject gap but where the IP-REL itself (i.e. the second clause) does not contain a subject gap.

The search results are summarized in Figure 1. As shown in Figure 1, there were 21 unambiguous true hits instantiating the target construction, some of which are given in (17)–(19).

[13] Although empty positions in noun-modifying constructions are tagged as 'traces' in NPCMJ, this is not meant to embody any theoretical claim. More generally, annotations in treebanks are just notations that are meant to help the user to retrieve useful information as readily as possible. We return to the relationship between linguistic theory and corpus development in section 4.

[14] This is mostly identical to Keyaki Treebank version 1 (`http://www.compling.jp/keyaki/`), which contains about 40,000 sentences. The internal data we used contained constructed examples from a thesaurus and textbooks, which is why the size of the corpus is apparently 1.5 times larger (in terms of the number of sentences), but we excluded all constructed data (i.e. data that is not naturally occurring text) from our search results manually.

[15] We ignored indirect object gaps since they were few in number. Gaps in oblique positions (e.g. temporal/locative PPs) were often inconsistently tagged, and for that reason we set them aside as well.

	true hit	ambig.	false hit	error, etc.	total
ren'yoo/1st/sbj	1	1	0	0	2
-te/1st/sbj	0	0	0	0	0
ren'yoo/1st/obj	0	0	1	0	1
-te/1st/obj	0	0	3	0	3
ren'yoo/2nd/sbj	1	15	5	8	29
-te/2nd/sbj	7	7	25	6	45
ren'yoo/2nd/obj	0	7	1	2	10
-te/2nd/obj	12	8	15	1	36
total	21	38	50	17	126

FIGURE 1 Summary of search results

(17) Nihonzin-ga [Rosia-bungaku-o yon-de] [__ kanzi-ru]
Japanese-NOM Russian-lit.-ACC read-TE feel-NPST
toosa
distance
'the (cultural) distance that the Japanese feel when reading Russian literature' (Cause-Effect) `53_aozora_Kuroshima-1970;JP`

(18) [Kabunusi-sookai-ga syuuryoosi], [__ kaijoo-o
stockholder-meeting-NOM end venue-ACC
ato-ni sur-u] Sanyo-Denki-no kabunusi-tati
leave-NPST Sanyo-Electric-GEN stockholder-PL
'the stockholders of Sanyo El., leaving the venue after the stockholders' meeting' (Contiguity) `28_newswire-closed_BCCWJ_48_PN1d_00021`

(19) [damu-kensetu-de genya-ga suibotusi-te] [__
dam-construction-by field-NOM submerge-TE
sugata-o kesi-ta] syurui
disappear-PAST species
'species that has disappeared because of the submergence of a field by a dam construction' (Cause-Effect)
`1106_newswire-closed_MAI_01_950101;950101166-008;JP`

All of the 21 true hits were cases of either Contiguity or Cause-Effect, and no clear instance of the Resemblance relation was found.

Examples that were excluded

Before turning to the linguistic implications of the 21 true hits, we would like to briefly discuss what constituted the rest of the hits. The data that we excluded from the true hits consisted of the following three types: ambiguous examples, false hits, and annotation errors. Of the three, annotation errors are simple. Most of the examples have the following form string-wise:

(20) . . . **V**(-te) . . . **V**-ta N . . . **V**

This is structurally ambiguous in terms of the attachment site of the first clause, which can either be a constituent of the matrix clause or part of the noun-modifying clause. We manually excluded cases that were arguably annotation errors due to misanalysis.

Ambiguous cases are cases in which the clause that is annotated as 'gapless' could alternatively be analyzed as having a gap position, either as some oblique dependent (e.g. temporal/locative PPs) or as a genitive modifier of some overt argument. Although the decisions on this matter embodied in the annotation may reflect some linguistic insight, it did not seem prudent to have blind faith in the annotation decisions on a subtle analytic issue like this (which is directly relevant for distinguishing true from false hits) when using corpus data to support a particular theoretical claim. For this reason, we have decided to exclude all these cases from true hits.[16]

Finally, false hits mainly consisted of two types of cases. First, since the queries only specified the presence of a gap in either the subject or the object position in one clause and the absence of a gap in the same position in the other clause, they returned examples in which there were gaps in both clauses, one in the subject position and the other in the object position. The other type of false hits consisted of cases of *-te* clauses or the *ren'yoo* clauses that can be analyzed as complex postpositions. An example of this latter type is given in (21).

(21) [kagaku-teki-**ni mi-te**] [__ kooka-ga utagawasii]
scientifically see-TE effect-NOM dubious.NPST
tiryoo-kooi
treatment
'treatment whose effects are dubious from a scientific perspective'
10_newswire-closed_BCCWJ_25_PN1c_00006;JP

These cases are distinguished from the truly clausal *-te*-marked and *ren'yoo* clauses in that the verb has lost its original sense and argument structure, and the combination of the postposition and the verb functions as a unit. The defective clausal status of these examples can be tested, for example, by whether all the arguments of the verb are clear from the context (for example, in (21), the subject of *mi-te* 'see' is not clear). But here too, the boundary between full-fledged clauses and

[16] Annotation inconsistency was (unsurprisingly) frequent in such cases. This itself is an interesting phenomenon. Studying inconsistencies of this sort carefully may give us some insight into the correspondence between linguistic theory (which inevitably involves a high level of abstraction) and actual linguistic data.

complex postpositions is not always clear-cut. We followed the same principle as above of excluding all suspicious cases from true hits.

Linguistic implications of the search result

Getting back to the 21 true hits, the first thing to note is that since the size of the corpus is small, we should be careful in drawing conclusions from this limited result. In particular, we cannot say much about whether the prediction of unacceptability of examples such as (13a) ('CSC violation' with the Resemblance discourse relation) was confirmed. This is due to the inherent methodological mismatch between theoretical work and corpus-based work: corpora can never provide direct negative evidence.

However, we can at least say that the prediction was not *dis*confirmed. Then, the next natural step (which we leave for future work) would be to conduct a larger-scale quantitative study to see whether the same tendency can be robustly observed with a larger corpus (for example, of a size comparable to BCCWJ, which is about 100 times larger than NPCMJ). Here, the approach adopted by Hinrichs et al. (2015), which involves machine-annotated data without manual correction, seems promising. An obvious challenge for such a project is the fact that current parsers are not good at reliably identifying fine-grained linguistic information such as the position of the gap in a relative clause. However, research on improving the accuracy of machine annotation for fine-grained, linguistically relevant information is rapidly in progress (see, e.g., Duan et al. (2016)), so, the future prospects for this type of work do not seem totally gloom.

Turning to the more positive side of the search results, it should be emphasized that the fact that 'CSC violation' examples such as (17)–(19) were attested was by itself already a significant result, since this counterexemplifies the dominant view in the literature (before K&L) that the CSC would be a cross-linguistically universal syntactic constraint that is applicable in Japanese just in the same way as in English. Note in particular that just as a syntactic account has no principled explanation for the apparent exceptions to the CSC in English, the same problem remains if one were to extend the such approach to Japanese, as discussed in detail by K&L. In this respect, the examples in (17)–(19) are relevant for corroborating (at least part of) the key claim of K&L.

One point that is worth mentioning in this respect is that our corpus search has returned examples that were highly relevant for evaluating a specific theoretical claim made in the literature. Specifically, in our results, there were cases of 'CSC violation' both with *-te* clauses and

ren'yoo clauses. Though few in number (only two out of 126 hits), the fact that the corpus search yielded instances of the *ren'yoo* clause (such as (18) above) was significant, since this directly counterexemplifies a claim made in the literature by Tokashiki (1989) that *ren'yoo* clauses, unlike *-te* clauses, were a case of true conjunction in Japanese and that they would therefore obey the CSC. Our corpus search result shows that the incompatibility of *ren'yoo* clauses with the 'CSC violation' pattern is, if anything, only a tendency.

We hope to have shown in the above discussion that our treebank-based search has returned results that are of direct relevance for theoretical work. But one might still wonder at this point whether there was any clear advantage in using a treebank, rather than some other type of resource (such as BCCWJ, which is a larger-scale and balanced corpus of Japanese, or a simple Google search), for the purpose of the present study. We would like to respond to this question by noting that there was at least one important and interesting discovery which would have been difficult to make without the use of a treebank. Specifically, we noticed in our treebank search that there is an overwhelming tendency for the gap to appear in the second clause (20 instances) rather than the first clause (1 instance). We had not expected this skew in the distribution of data before conducting the search—no previous literature, including K&L, reports on any such tendency (suggesting that this tendency would be difficult to note by introspection alone). In fact, it is likely that K&L failed to notice this tendency because they used Google search to collect their data. Google searches can identify hits from a huge body of text, but it is impossible to estimate precisely the relative difference in frequency between multiple search results, especially when the search results themselves contain a large amount of false hits. Only by examining the number of hits for each syntactic pattern from the same fixed corpus, as we have done above, would it become fully evident that a frequency difference does exist between 'extraction' from the first clause and 'extraction' from the second clause.

The tendency for the gap to be in the second clause is highly relevant for the clarification of the nature of the CSC patterns in Japanese. As suggested to us by David Oshima (p.c.), this fact may provide yet another piece of evidence that the CSC facts in the Japanese noun-modifying construction are governed by non-syntactic factors. Because of the head-final word order of Japanese, the head noun appears after the modifying clause in the noun-modifying construction. But then, given the relative distance between the head noun and the 'gap', it would not be particularly surprising if examples with the 'gap' in the second clause would be easier to process (and hence occur more fre-

quently in the corpus) than examples with the 'gap' in the first clause.[17] If this reasoning is on the right track, we predict that, other things being equal, the opposite tendency should be found in English relative clauses (where the constituent order is the opposite). It is also expected that in other types of displacement constructions in Japanese such as scrambling and topicalization, in which the displaced element appears on the left of the host clause, again, the opposite tendency should be found. We leave it for future research to test these predictions.

To summarize, we have shown in this section that NPCMJ can profitably be used to identify attested examples of 'CSC violation' in Japanese that provide crucial evidence for the key claim by K&L that the CSC is not a syntactic constraint. The corpus search we have conducted additionally uncovered a previously overlooked asymmetry in the data that is relevant for further clarifying the nature of the principle governing the empirical patterns in question. We have moreover argued for a possible advantage of a treebank-based search, by pointing out that the particular asymmetry in the data noted above would have been difficult to identify using other types of linguistic resource.

3.4 Discussion

At this point, we would like to briefly comment on the case study on the CSC we have conducted in view of the three methodological issues we have discussed in section 2. This is a somewhat complex issue, since, as should already be clear from the discussion in the final part of section 3.3, the degree to which a particular factor affects a particular corpus search depends greatly on what exactly the goal of the search is (which is sometimes multi-faceted, or even partially vague at the outset). Nevertheless, a reflection from the methodological viewpoint would be useful.

[17] A reviewer notes the possibility of an alternative account of the tendency here. According to the reviewer, the asymmetry between 'extraction' from the first clause and from the second clause can be attributed to the fact that the first clause is a subordinate clause, thus constituting an adjunct island. While this account may appear plausible at first sight, we do not find it to be a viable alternative for the following reasons. First, the relative infrequency of 'extraction' from the first clause discussed here is only a tendency, so, accounting for it via a syntactic island constraint is not an option (unless such an account is combined with an explicit theory of how syntactic constraints can have gradient effects). Second, such an account does not seem to be in line with the well-known observation in the literature that noun-modifying constructions in Japanese generally allow for adjunct island violation quite freely, as attested by data such as (12b) from section 3.2. It is nevertheless worth noting that this counterproposal makes a different prediction about other types of displacement constructions in Japanese than the one we have tentatively entertained in the main text. It would be interesting to compare the two proposals with respect to a wider set of data.

Regarding data size, if the goal is merely to efficiently retrieve attested instances of 'CSC violation' of the sort exemplified by the examples in (17)–(19), then the small size of NPCMJ is not an issue in our case, since we were actually able to find the relevant examples in the corpus. However, as already noted in section 3.3, for a much more ambitious goal of providing quantitative justification for the pragmatic reformulation of the CSC as a whole, no clear conclusion can be drawn from the limited result we have obtained. This is because the non-occurrence of an instance of 'CSC violation' with the Resemblance relation may just have been an accident due to the small sample size.

A similar remark can be made regarding annotation quality. For finding positive data, missing a small portion of true hits would not be a serious issue. However, if the claim one wants to make is based on the non-occurrence (or extreme infrequency) of a particular pattern, missing just a couple of examples due to low annotation quality may be actually detrimental, affecting the overall conclusion in some non-trivial way.

Finally, searchability is directly affected by the annotation policy, which in most cases is out of control for the treebank user. In the case of our CSC search, the crucial factor that enabled efficient search was the fact that 'gaps' in noun-modifying clauses were explicitly annotated in the corpus, but this was essentially nothing more than a lucky coincidence. In this connection, it is useful to keep in mind that the kinds of distinctions encoded in a treebank are often complex and subtle, and for this reason, there is a trade-off between granularity and accuracy. Thus, searchability is not a completely independent factor and is at least indirectly related to the annotation quality issue.

4 Some further methodological issues

We now turn to some further methodological issues that the present case study brings up, pertaining to the relationship between linguistic theory and corpus development. The ideal relationship between the two is one in which they inform each other. This is easier said than done. In practice, the distance between the thinking behind theoretical linguistics and that behind corpus development is often a source of confusion. The majority of treebank users are not themselves developers of the resources they use, and in this situation, figuring out the exact relationship between the annotation reflected in the corpus and one's own theoretical persuasion tends to be challenging. The most important source of information is of course the annotation manual. In consulting the annotation manual, it is essential to keep in mind the

overall design policy of the corpus, which is sometimes explicitly stated, but sometimes only implicit.

In the case of the NPCMJ corpus, we found it useful to distinguish two major factors that guide the current annotation policy, in order to make better sense of the particular treatments of specific linguistic phenomena. One of these is the principle explicitly noted in the annotation manual that the annotation aims to achieve descriptive adequacy and maximum convenience in the retrieval of information. The other, less obvious factor is the fact that the NPCMJ corpus (or, more precisely, the Keyaki treebank that it is based on) was originally designed to serve as a learning model for the syntactic component of an integrated system of syntactic/semantic parser (Butler, 2015).

The policy to distinguish 'gapped' and 'gapless' noun-modifying clauses can be seen as reflecting the first annotation policy, since this distinction roughly corresponds to the well-known distinction between the 'inner' and 'outer' relations ('uchi-no kankei' and 'soto-no kankei') due to Teramura's (1975–1978) influential work in descriptive grammar. It should be pointed out here that this annotation policy served our purpose of identifying 'CSC violation' noun-modifying clauses *despite* the fact that, on the face of it, it was directly at odds with our own theoretical position (where, following Matsumoto (1997), we take all noun-modifying clauses to be gapless). One important lesson to draw from this is that when using a corpus as a tool for linguistic research, one should not confuse annotation policies with theoretical claims.

This, however, raises a related, and quite complex issue of whether a completely theory-neutral treebank development is possible. A short (and perhaps obvious) answer to this question is that, in practice, some kind of theoretical insight needs to be 'behind the scene', as it were, guiding all practical decisions in setting up the treebank annotation scheme. And here, the second, 'hidden' guiding principle of NPCMJ becomes relevant. Again, taking the distinction between 'gapped' and 'gapless' relative clauses as an example, the policy to explicitly distinguish these two types of noun-modifying constructions finds support not only from convenience for search but also (at least partly) from the need to use the syntactic annotation as a basis for building semantic representations. If we take this other consideration seriously, there is a sense in which this annotation policy (at least implicitly) reflects a particular theoretical/analytic stance regarding the architecture of the syntax/semantics/pragmatics interface. To the extent that this is a theoretical claim, it contradicts the theoretical position of K&L (and of the authors of the present paper). This is so because it is a claim that the distinction between 'gapped' and 'gapless' noun-modifying clauses

needs to be encoded at the level of syntax in order to build adequate semantic representations based on the information encoded in the syntactic representations.

Properly addressing this issue is beyond the scope of the present paper. What we want to do here is just to point out that one frequently encounters this type of tension both in corpus development and in the use of corpora in linguistic research, and that this is ultimately related to a larger issue in computational linguistics research: what exactly is the relationship between linguistic theory and computational implementation? There is no easy answer to this question, but it seems important to clearly recognize this gap for fruitful development of both theoretical linguistics and computational linguistics in the future.

5 Conclusion

In this paper, we have presented a case study of using the NPCMJ corpus for theoretical linguistics research. In the first part of the paper, we discussed some methodological issues pertaining to the use of treebanks for theoretical research in order to situate the present case study in a larger context. In the second part of the paper, we have presented a case study of using the NPCMJ corpus for evaluating theoretical claims about the status of the CSC as a syntactic constraint.

Although the value of treebanks as resource for research is well recognized in the NLP community, treebanks are still novel research tools in the theoretical linguistics community, and their potentials in this latter context don't yet seem to be fully appreciated. We hope that the preliminary discussion of the methodological points and the case study we have presented in this paper will provide a starting point for further examining these methodological issues and for innovative uses of treebanks for approaching theoretical important questions in linguistic research.

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