Inclusiveness in the phonology and the source of the Prosodic Hierarchy

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The issue

- The Prosodic Hierarchy (PH) is known to be of dubious compatibility with a Strictly Modular architecture of grammar (Scheer 2008)
 - Yet two recent approaches to the PH **do attempt to address this**: Selkirk's *MSO-PI-PO model* and Sande et al.'s *Cophonologies by Ph(r)ase*
- Our claim: such approaches move in the right direction, but Modularity problems still arise notably from **Inclusiveness** (Chomsky 1995)
 - Inclusiveness, a condition on (linguistic) modules, bars the addition of new input items mid-computation
 - These novel attempts to build and/or label the PH within the phonology violates Inclusiveness (at least)
- In keeping with a recent push toward **applying Minimalist principles to the phonology** and its interface with syntax (Samuels 2011, Scheer 2012, Newell & Sailor to appear)

Outline

- The issue
- Background and assumptions
- What is Inclusiveness?
- How the PH violates Inclusiveness
- Case studies, and how a system without the PH impacts our analyses
 - Ellipsis
 - Intrusive-R
- Conclusions

Background & assumptions

- Late Insertion (Halle and Marantz 1993, et seq.)
 - phonological features are absent from the input to syntax; they are added post-syntactically during Vocabulary Insertion.
- *Strict Modularity* (inc. the feed-forward *inverted-Y* model)
 - the language faculty comprises discrete modules, including at least **distinct syntax and phonology modules** (Chomsky 1965, et seq.; Jackendoff 1997, Scheer 2011, Curtiss 2013, a.o.).

Properties of modules

- A *module* is a specialized cognitive system dedicated to carrying out a narrowly-construed computation (Fodor 1983)
- Two important properties (see Scheer 2011:§610 for an overview):
 - **A. Domain Specificity:** each module works only with its own proprietary alphabet; one module cannot understand the alphabet of another module
 - As a result, intermodular communication is impossible without *Translation*, which must be non-computational, presumably the result of Vocab Insertion (Scheer 2012:§160)
 - **B.** Encapsulation: a module's computation is input-bounded; no new input can be added during the course of the computation

Prior arguments against the PH

- Existing arguments against the PH from a Minimalist perspective:
 - Building bespoke pseudo-syntactic constituents just for use in the phonology is intolerably redundant (Pak 2008, Samuels 2009)
- Existing arguments against the PH from Modularity:
 - From PWd up, the constituents of the PH are *diacritics* (Scheer 2011:§399)
 - Their only job is to sneak non-phonological information into the phonology
 - Mainstream OT implementations only make matters worse:
 - Mapping (e.g. Match) is computed alongside purely phonological processes, requiring syntactic information to be legible within the phonology (against Domain Specificity)
- Today: the relevance of Inclusiveness (qua Encapsulation) to the PH

What is Inclusiveness?

Inclusiveness = Encapsulation

- Chomsky (1995:209) proposes Inclusiveness as a condition on syntax:
 - "no new objects are added in the course of computation apart from rearrangements of lexical properties (in particular, no indices, bar levels in the sense of X-bar theory, etc...)"
- "In syntax, Encapsulation is called Inclusiveness" (Scheer 2012:§174)
- But Encapsulation is a property of **all** cognitive modules (Fodor 1987)
 - Phonology is a module; ergo, phonology is Encapsulated (losad 2017: ch. 2)
- So Inclusiveness holds of the phonological module as well.
 - Problem: "Standard theories take [Inclusiveness] to be **radically false** for the computation to PF" (Chomsky 1995:209).
 - Why? (Partly depends what the "computation to PF" is...)

How <u>not</u> to define Inclusiveness

- "outputs consist of nothing beyond properties of items of the lexicon (lexical features)" (Chomsky 1995:206)
- **Plainly a contradiction:** nested constituency isn't a feature of lexical items—it's a product of the syntactic computation itself, i.e. Merge
 - Merge(X, Y) = {X, Y}, where {X, Y} is **not** a lexical feature of X, or a lexical feature of Y
 - Merge can add **set membership / recursive hierarchical structure** not present in its own input (indeed, see Chomsky 2001:3 on just what Merge adds to the output beyond lexical properties)
- If the nature of a computation is such that it adds new information by dint of its very application (as Merge does with hierarchy)...
 - ...then it simply won't do to have a definition of Inclusiveness that prohibits addition of any and all new information mid-computation: this actually prohibits Merge.
 - In brief: Inclusiveness must allow for the computation itself to be information-adding.

How to define Inclusiveness

- Inclusiveness should prohibit addition of *context-dependent* objects that aren't predictable, invariant outputs of the computation
 - The nature of Merge is to add new information to the derivation in the form of hierarchy (set membership), so this must be ruled in...
 - ...but this is predictable and invariant: it's the product of **each iteration** of Merge
 - By contrast, the insertion of traces, indices, bar-levels, etc. would necessarily depend on the context, and thus would not be invariant computational output
 - Their addition wouldn't automatically follow from every iteration of Merge;
 - Rather, the state of the computation would have to be examined mid-stream to see whether insertion was warranted.
- This is what Inclusiveness should prohibit.

Interim summary A: Inclusiveness, revised

- So Inclusiveness **isn't** "radically" violated by the derivation to phonology if:
 - i. Intermodular Translation is non-computational, meaning Inclusiveness doesn't hold of it
 - ii. We update our definition of Inclusiveness to allow qualified information-adding computations (necessary even on syntax-internal grounds)
- Adopting (i) allows Translation (i.e. Vocab Insertion) to be information-adding in a restrictive way, adding only what can be stored in the lexicon / List 2
- Adopting (ii) allows the phonological computation to be information-adding in a restrictive way, i.e. at each iteration (e.g. association lines, syllables, government relations etc.)
 - (So Inclusiveness might not even be violated by the derivation *in* phonology, not just *to* phonology)

How the Prosodic Hierarchy violates Inclusiveness

(Not) Inserting the Prosodic Hierarchy

- Most current implementations of the PH as an interface-inserted representational structure are anti-modular (Match, Align, etc. in a single ranking with, ex., *Coda).
 - We exclude these implementations on Modular grounds.
- Two recent proposals aim for a Modularity-friendly PH:
 - MSO-PI-PO models, a.k.a. Neo-Selkirkianism
 - (Kratzer & Selkirk 2020, Lee & Selkirk to appear, Elordieta & Selkirk to appear)
 - Cophonologies by ph(r)ase
 - (Sande et al. 2020)

Neo-Selkirkianism

- The MSO-PI stratum:
 - Here we have Match constraints, but they are proposed to not be ranked with purely phonological constraints.
 - Indeed, this is billed as an advantage of the proposal: segregation of Match from "phonology per se" is meant to be Modularity-friendly
 - They are, however, ranked with 'phono-syntactic' constraints (ex. Destress Given>>Match XP, PPh, Match_{LEX} >> Match)
 - There is therefore **computation** at the point of PH-insertion, meaning that it is part of **a Modular vocabulary**.

Neo-Selkirkianism

- The PI-PO stratum is where the real phonology happens.
 - The PH is part of this computation as well, violating Domain Specificity
 - While Mapping takes place at MSO-PI, constituents of the PH can nevertheless be referenced within PI-PO
 - By its own standard, Neo-Selkirkianism holds that the PH is part of the input vocabulary to the phonological computation;
 - Thus, adding new PH items mid-computation (not from Translation) violates Inclusiveness.
- Conclusion: Neo-Selkirkianism is not a viable Modular implementation of the PH as an interface object.

Cophonologies by ph(r)ase

- The proposal in a nutshell:
 - There are no Match constraints. The PH is inserted in the phonology proper.
 - Phonological domains are built around the output of a phase.
 - MAXIMIZE PROSODIC DOMAINS

All phonological content should be parsed into a single prosodic domain (e.g. word, prosodic phrase, intonational phrase). (Sande et al. 2020:1222)

- Removes Mapping entirely: just encase every Spell-Out domain in a prosodic domain.
- We agree that phonology operates over strings that emerge due to Vocab Insertion upon spell-out of a phase;
- We disagree that the PH may be inserted in the phonology (or referenced in lexical items)

Cophonologies by ph(r)ase

- Problems with a purely phonological projection of the PH:
 - MAX-PH encases each Spell-Out domain in a prosodic domain, but without labels : a problem for Inclusiveness.
 - If the PH is inserted in the phonology (MAX-PH), then the labels of each iteration of MAX-PH are new information that do not emerge predictably from the computation via the re-arrangement of lexical properties.
 - Echewing labeling might help CPbP get around this problem, but
 - CPbP makes cricial reference to the PH in lexical entries, and therefore cannot avoid the labeling problem.
 - As well documented in the literature (e.g. Scheer 2012:§139), it is also true that the PH at the PWd level and above is **not projected by any lower level of representation**.
 - Re-evaluating the PH as a non-interface object requires a fully fleshed out theory of how it might be projected in the phonology, which does not seem plausible.
- Conclusion: CPbP violates Inclusiveness and is not a viable Modular implementation of the PH as an interface object.

Interim summary B

- No implementation of the PH as an interface object satisfies Modularity (Domain Specificity and/or Inclusiveness)
- The PH is not a phonological object.
- Analyses that use the PH must be rejected in favour of analyses that do not, giving us a tool to adjudicate among competing analyses in the literature.
- Up next: "But don't we <u>need</u> the PH?"
 - With a couple representative case studies, we hope to show that we don't.

Case studies, and how a system without the PH impacts our analyses

Ellipsis

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Ellipsis = "deletion at PF"?
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- Since Merchant (2001), it is widely held that ellipsis is "deletion at PF" (henceforth DPF).
- Follows from Merchant's [E]-feature:
 - Ellipsis is syntactically licensed when a head bearing [E] undergoes AGREE with a higher ellipsis-licensing head (e.g. VP-ellipsis, licensed by T)
- Beyond syntactic licensing, [E] also has interface properties:
 - a. Carries instructions for LF to impose conditions on identity/recovery (left aside here);
 - b. Carries instructions for PF to impose *elliptical silence* (i.e., DPF).
- Let's unpack what's meant by (b).

Deletion at PF (DPF)

- How does DPF actually work? What mechanism(s) might be involved?
 - Surprisingly few attempts to be explicit. To the extent that it is defined at all:
 - Phonological deletion of a prosodic constituent mapped from the elided XP
- DPF: $\phi_{XP} \rightarrow \emptyset$ / [E] ____

(Merchant 2004:671)

- "...entirely controlled by the actual phonology...in ways familiar from studies of morphologically determined **syncope** phenomena, here merely applied to a larger prosodic unit."
- (See Lipták & Güneş to appear: §2.3.5-6 for similar approaches & references)

Problems for DPF: size

- Problem 1: ellipsis sites can be arbitrarily large (recursive embedding)
 - ...but Susan won't {vp tell anyone {cp that Pat said {cp that we heard {cp that...-
 - DPF = deletion of an arbitrarily-large prosodic unit?
 - "No phonological theory is suited for the manipulation of this kind of object, which phonologists look at like an ant looks at a jumbo jet." (Scheer 2011:616)
- Even if we grant the PH (which we don't),
 - Do we want to endow phonology with the power to **syncopate strings of unbounded length** just to account for ellipsis?

Problems for DPF: diacritics

- **Problem 2:** [E]'s PF instructions are *diacritic* (thus anti-modular)
 - According to DPF, [E] smuggles instructions through the syntax into phonology
 - Instructions: trigger a phonological deletion rule for purely non-phonological reasons
 - (These instructions are thus clearly not the result of Translation / lexical insertion on [E]: no LI has the ability to trigger such a rule)
- This aspect of [E] clearly violates Modularity (see Scheer 2012:§95 on the anti-modular status of diacritics in general)
 - DPF (qua [E])'s anti-modular character is symptomatic of a larger problem:
 - The PH itself is incompatible with a modular architecture.

Problems for DPF: wrong predictions

- Problem 3: DPF incorrectly predicts that elliptical silence arises 'late'
 - Observation: elliptical silence in fact arises 'early', at/before Vocab Insertion
- <u>Exhibit A:</u> ellipsis can repair cases of *morphological ineffability* (Merchant 2015, Abels 2019, Mendes & Nevins to appear):

(1) When I see him on the street I just stride away, and indeed...

a. *I always have {stridden/strided/...} away.

b. I always have $\frac{1}{\sqrt{\text{STRIDE}}}$ away].

- The problem in (1a) clearly isn't phonological, so it can't be repaired in the phonology.
 - Thus: ellipsis can't be DPF.

Problems for DPF: wrong predictions

- Problem 3: DPF incorrectly predicts that elliptical silence arises 'late'
 - Observation: elliptical silence in fact arises 'early', at/before Vocab Insertion
- <u>Exhibit B</u>: elliptical silence is relevant for allomorph selection (see Sailor to appear on ellipsistone sandhi interactions in Taiwanese)
- If ellipsis were DPF, the order of operations would have to be:
 - [Vocab Insertion » Mapping » DPF]
- But allomorphy is the product of Vocab Insertion, which means...
 - **DPF would always apply too late** to ever bear on allomorphy (counterfeeding)
 - Thus: elliptical silence must arise before Mapping, so cannot involve DPF.

Ellipsis isn't "deletion at PF"

- In sum, a PH-based account of elliptical silence (e.g. DPF):
 - Forces phonology to work with unboundedly-large objects
 - Allows diacritics to sneak through syntax into phonology to trigger rules
 - Predicts elliptical silence should have no morphophonological effects, contrary to fact
- Conclusion regarding ellipsis and the PH:
 - Ellipsis isn't "deletion at PF".
 - The right theory of elliptical silence should **eschew the PH entirely**.
 - (See Sailor *in progress* for a Modularity-friendly alternative)

Intrusive R

R, you crazy or not?

- There is a debate in the literature regarding whether R-insertion in certain dialects of English is phonologically natural or not.
 - Unnatural (epenthesized via rule) : Halle & Idsardi (1997), Hale & Reiss (2000), (Vaux 2002), Samuels & Vaux (2017), etc...
 - Natural (r is a glide derived from the underlying phonology of low, lax vowels) (Broadbent 1991, Gnanadesikan 1997, Ortmann 1998, Gick 1999, Krämer 2005)
- Ex: Broadbent (1991) r-insertion occurs after low lax vowels with an |A| head
 - 2. a. [spaɪz] 'spa is'
 b. [kɔməɹɪn] 'comma in'
 c. [sɔɹɛd] 'saw Ed'

• • •

• This is related to whether intrusive and linking R are underlying.

- Unnatural : no
- Natural : yes

Functional vs Lexical environments

The basic assumptions of whether R is too marked to be underlying interact with the pattern below:

No intrusive r after function words in non-rhotic American English

3. a. Didja eat *didja r eat
b. I wanna eat *I wanna r eat
c. He went to eat *he went to r eat
d. the apples *the r apples

(Ito & Mester 2009)

Analyses of Fnc vs Lex environment

McCarthy (1993): Function words are exempt from **the requirement that a PWd end in a C**, as they do not project a PWd.

Ito & Mester (2009):

Major PWds want Onsets. As Function words are inside the PWd to their right, the Major PWd boundary precedes them, and so R-epenthesis does not occur in a Func-Lex sequence.

4. a. The [_{MajPWd} spa] [_{MajPWd} r acts] up b. [_{MajPWd} Didja [_{MinPWd} eat]]

But, what if there is no Prosodic Hierarchy? Underlying 'R'

- Why function words (usually) don't trigger Repenthesis
 - Full forms of you, to, and the are [juw] [tuw] and [ðiy]. The schwa-realizations are due to 'reduction' and are not underlying vowels, but the pronunciation of an empty vowel position. If R-insertion is |A|-gliding, then of course it won't be triggered by an empty vowel.
 - CV unlinked position is pronounced as schwa, but has no underlying features/elements. It therefore cannot 'glide'

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Underlying 'R'

- But some reduced vowels do trigger R-epenthesis!
 - In Cockney English, one can propose that the **reduced vowel includes default-insertion of |A|**, leading to 'give [jəuə] job' (give you a job).
 - Empty schwa can have phonetic variation : see the rounding of an 'empty' vowel in Quebecois French.
 - Reduced schwa may also display phonological variation : If an epenthetic vowel contains |A|, it will behave like an underlying |A|-vowel and R-insertion will occur.

What about linking R?

- As McCarthy (1993) points out, while it is true that in non-rhotic American accents function words reject intrusive r (*gonna reat), they do not reject linking r, and in fact require it: (for eating [fə ui:rɪŋ], *fo' eating [fə i:rɪŋ]). It is therefore only the epenthetic nature of intrusive r that excludes it after function word in the onset of a non-maximal ω."
- In other words, all underlying Rs get linked, and non-underlying Rs are just **not there**.
 - Reference to the PWd overcomplicates the analysis.
 - Even if the PH were a licit phonological object, it is not a necessary tool in the analysis of this pattern.

Intrusive-R is not sensitive to the PH

- In sum, the exclusion of the PH as a licit phonological object allows for a decisive comparison of alternate theories, here of Intrusive-R.
 - The account that appeals to the PH describes the distribution of Intrusive-R, but does not offer a satisfying explanation of this distribution.
- Conclusion:
 - In the case of R, especially within Element Theory, there is a nice, 'underlying-R' account.
 - Intrusive-R is not sensitive to the PH.

Conclusions

Conclusions

- Determining the exact status of our representational tools is a crucial task for interfacelinguists.
 - Recent theoretical modifications that aim at saving the PH from criticisms with regards to modularity have not been successful.
 - They violate Inclusiveness.
 - We must reject the PH as a representational tool.
- Excluding the PH as an analytical tool aids in deciding among proposed explanations.
- It's time to re-analyze *all* of the phonological domain data, *again*, paying special attention to the theoretical implications of our representational objects.
 - #(Chomsky & Halle 1968)
 - PH(Selkirk 1986, Nespor & Vogel 1986)
 - Left-edge CV(Lowenstamm 1999, Scheer 2004, 2009)

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Appendices

Does phon. violate Inclusiveness prima facie?

- With this revision in place, we can reassess Chomsky's repeated claims that the mapping to SM "radically" violates Inclusiveness... (Chomsky 1995:216, 2007:fn. 8, 2019:275)
 - a) "[because] syllabic and intonational structure are not contained in lexical items" (1995:351, fn. 10)
 - b) "...even more so in strong versions of Distributed Morphology that take all phonological features of LIs to be inserted in this mapping" (2007:fn. 8)
- Let's take (b) first. Given that Inclusiveness holds of computations...
 - if lexical insertion is non-computational (Scheer 2012:§169), then Inclusiveness has nothing to say about it, and (b) doesn't attach.

Does phon. violate Inclusiveness prima facie?

- What about (a)? (addition of syllabic and intonational 'structure')
 - If these are also the product of Vocab Insertion (qua Translation), then (a) reduces to (b) as a set of phenomena not subject to Inclusiveness.
 - While this is surely the case for at least some such phenomena (e.g. intonational morphology: Wakefield 2020)...
 - ...others may well be the result of a computation (e.g. some syllabification).
 - However: our revised notion of Inclusiveness only rules out context-dependent additions that aren't an invariant product of the computation itself
 - Now the question arises: what is the nature of the phonological computation?
 - If (part of) its job is to build syllables (e.g.) based on its input a job it performs exceptionlessly on each iteration then Inclusiveness is respected