Searching treebanks for functional constraints: cross-lingual experiments in grammatical relation assignment

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Abstract
We report here on a detailed quantitative analysis of distributional language data of both Italian and Czech, highlighting the relative contribution of a number of distributed grammatical factors to sentence-based identification of subjects and direct objects. The work is based on a Maximum Entropy model of stochastic resolution of grammatical conflicting constraints, and is demonstrably capable of putting explanatory theoretical accounts to the challenging test of an extensive, usage-based empirical verification.

1. Introduction

Treebanks allow for multiple uses: by linguists, which may search for examples (or counter-examples) for a given theory or hypothesis; by psycholinguists, interested in computing frequencies and comparing them with human preferences; by computational linguists, for tasks such as lexicon and grammar induction or parser evaluation. New challenging questions involve the use of Treebanks to determine the typology of factors playing a role in specific natural language learning and processing tasks as well as their relative salience. Answers to these questions can shed novel light on both genuinely linguistic and psycholinguistic issues as well as usefully be exploited for parsing purposes. In the present paper we intend to illustrate extensive use of Treebanks for the discovery and comparative assessment of typologically relevant and linguistically motivated constraints on cross-linguistic parsing issues. For these purposes we shall focus on a detailed evaluation of corpus-based discovery procedures of this kind applied to interestingly different languages such as Italian and Czech.

Current research in natural language learning and processing supports the view that grammatical competence consists in mastering and integrating multiple, parallel constraints (Seidenberg and MacDonald 1999, MacWhney 2004). Moreover, growing consensus exists on two major properties of grammatical constraints, i.e. i.) that they are probabilistic “soft constraints” (Bresnan et al. 2001), and ii.) that they have an inherently functional nature, involving different types of linguistic (and non linguistic) information (syntactic, semantic, etc.). These features emerge clearly when we focus on one of the core aspects of grammatical competence: the ability to properly identify syntactic relations. Psycholinguistic evidence shows that speakers learn to identify sentence subjects and direct objects by combining various types of probabilistic, functional cues, such as word order, noun animacy, definiteness, agreement, etc. An important observation is that the relative prominence of each of these cues can considerably vary cross-linguistically. Bates et al. (1984), for example, argue that while, in English, word order is the most effective cue for subject-object identification (henceforth SOI) both in syntactic processing and during the child’s syntactic development, the same cue plays second fiddle in languages such as Italian or German.

If grammatical constraints are inherently probabilistic (Manning 2003), the path through which adult grammar competence is acquired can be viewed as the process of building a stochastic model out of the linguistic input. In computational linguistics, Maximum Entropy (henceforth MaxEnt) models have proven to be robust statistical learning algorithms that perform well in a number of processing tasks. In this paper, we illustrate an application of the MaxEnt model to the processing of subjects and direct objects in Italian and Czech.

2. Subjects and objects in Czech and Italian

Grammatical relations - such as subject (S) and direct object (O) - can be variously encoded in languages, the two most widespread strategies being: i) structural encoding through word order, and ii) morpho-syntactic marking. In turn, morpho-syntactic marking can apply either on the noun head only, in the form of case inflections, or on both the noun and the verb, in the form of agreement marking. (Crocket 2003). Besides formal coding, the distribution of subjects and object is also governed by semantic and pragmatic factors, such as noun animacy, definiteness, topicality, etc. As a result, there exists a variety of linguistic clues jointly co-operating in making a particular noun phrase as the subject or direct object of a sentence. Crucially for our present purposes, cross-linguistic variation does not only concern the particular strategy used to encode S and O, but also the relative strength that each factor plays in a given language. For instance, while English word order is by and large the dominant clue to identify S and O, in other languages the presence of a rich morphological system
allows word order to have a much looser connection with the coding of grammatical relations, thus playing a secondary role in their identification. Moreover, there are languages where semantic and pragmatic constraints such as animacy and/or definiteness play a predominant role in the assignment of grammatical relations. Still, a large spectrum of variations exists, ranging from languages where \( S \) must have a higher degree of animacy and/or definiteness relative to \( O \), to languages where this constraint only takes the form of a softer statistical preference (cf. Bresnan et al. 2001).

The goal of this paper is to explore the area of this complex space of variation through careful assessment of the distribution of \( S \) and \( O \) in Italian and Czech. For our present analysis, we have used a MaxEnt statistical model trained on data extracted from two syntactically annotated corpora: the Prague Dependency Treebank (PDT, Bohmova et al. 2003) for Czech, and the Italian Syntactic Semantic Treebank (ISST, Montemagni et al. 2003) for Italian. These corpora have been chosen not only because they are the largest syntactically annotated resources for the two languages, but also because of their high degree of comparability, since they both adopt a dependency-based annotation scheme.

Czech and Italian provide a very interesting vantage point for the cross-lingual analysis of grammatical variation. They are both Indo-European languages, but they do not belong to the same family: Czech is a West Slavonic language, while Italian is a Romance language. There are two major features they share: i) the free order of grammatical relations with respect to the verb; ii) the possible absence of an overt subject. Nevertheless, they also greatly differ because of the virtual non-existence of formal clues to decide about \( S/O \) in a sentence, as they are marked both overtly and locally. This is also confirmed by psycholinguistic data, showing that subjects prefer to rely on these clues to identify \( S/O \). However, such formal clues are not always available in context. In fact, agreement represents conclusive evidence for \( S/O \) only when a nominal constituent and a verb do not agree in number and/or person (as in leggono il libro ‘they read the book’). When \( N \) and \( V \) share the same person and number the impact of agreement for grammatical relation assignment is neutralised, as in il bambino legge il libro ‘the child reads the book’ or in ha dichiarato il presidente ‘the president declared’. It is interesting to note that in ISST more than 58% of \( O \) agree with their governing \( V \), thereby being formally undistinguishable from \( S \) on agreement features. PDT also exhibits a similar ratio, with 56% of \( O \) agreeing with their verb. Analogous considerations apply to case marking, whose perceptual reliability is undermined by morphological syncretism, when different cases are realized through the same marker. Czech data reveal the massive extent of this phenomenon and its impact on \( S/O \). As reported in Table 2, more than 56% of \( O \) extracted from PDT are formally undistinguishable from \( S \) in their case ending. Similarly, 45% of \( S \) are formally undistinguishable from \( O \) on the same ground. All in all, this means that in 50% of the cases a Czech noun can not be understood as \( S/O \) of a sentence by relying on overt case marking only.

To sum up, corpus data lend support to the idea that in both Italian and in Czech \( S/O \) is governed by a complex interplay of probabilistic constraints of a different nature: morpho-syntactic, semantic, word order etc. Moreover, distributional asymmetries in language data seem to provide a fairly reliable statistical basis upon which relevant probabilistic constraints can be bootstrapped and combined consistently, in order to model their different degrees of salience in the two languages. The following section illustrates how a MaxEnt model can be used to bootstrap constraints and their interaction from language data.

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1 In fact, the considerable difference in animacy distribution between the two languages might only be an artefact of the way we annotated Czech nouns semantically, on the basis of their context-free classification in the Czech WordNet.
assumed that the task of establishing the grammatical function of a noun is consistent with the claim in MacWhinney observed in a verb-noun pair. This simplifying assumption that the constraints that the probabilistic model linguistic cues of Tsujii 2002). The algorithm implemented in the AMIS software (Miyao and estimated with the Generative Iterative Scaling (GIS) experiments reported below feature weights have been weights (1)

\[ p(a|c) = \frac{1}{Z(c)} \prod_{j=1}^{k} a_{j}^{f_j(a,c)} \]

where \( Z(c) \) is a normalization factor, \( f_j(a,c) \) are the values of \( k \) features of the pair \( (a,c) \) and correspond to the linguistic cues of \( c \) that are relevant to predict the outcome \( a \). Features are extracted from the training data and define the constraints that the probabilistic model \( p \) must satisfy. The parameters of the distribution \( a_1, ..., a_k \) correspond to weights associated with the features, and determine the relevance of each feature in the overall model. In the experiments reported below feature weights have been estimated with the Generative Iterative Scaling (GIS) algorithm implemented in the AMIS software (Miyao and Tsujii 2002).

We model SOI as the task of predicting the correct syntactic function \( \sigma \in \{ \text{subject, object} \} \) of a noun occurring in a given syntactic context \( \sigma \). This is equivalent to build the conditional probability distribution \( p(\sigma|\sigma) \) of having a syntactic function \( \sigma \) in a syntactic context \( \sigma \). Adopting the ME approach, the distribution \( p \) can be rewritten in the parametric form of (1), with features corresponding to the linguistic contextual cues relevant to SOI. The context \( \sigma \) is a pair \( \langle v_r, n_o \rangle \), where \( v_r \) is the verbal head and \( n_o \) its nominal dependent in \( \sigma \). This notion of \( \sigma \) departs from more traditional ways of describing an SOI context as a triple of one verb and two nouns in a certain syntactic configuration (e.g., SVO or VOS, etc.). In fact, we assume that SOI can be stated in terms of the more local task of establishing the grammatical function of a noun \( n \) observed in a verb-noun pair. This simplifying assumption is consistent with the claim in MacWhinney et al. (1984) that SVO word order is actually derivable from SV and VO local patterns and downplays the role of the transitive complex construction in sentence processing. Evidence in favour of this hypothesis also comes from corpus data: for instance, in ISST complete subject-verb-object configurations represent only 26% of the cases, a small percentage if compared to the 74% of verb tokens appearing with either a subject or an object only. Due to the comparative sparseness of canonical SVO constructions in Italian, it seems more reasonable to assume that children should pay a great deal of attention to both SV and VO units as cues in sentence perception (Matthews et al. in press). Reconstruction of the whole lexical SVO pattern can accordingly be seen as the end point of an acquisition process whereby smaller units are re-analyzed as being part of more comprehensive constructions. This hypothesis is more in line with a distributed view of canonical constructions as derivative of more basic local positional patterns, working together to yield more complex and abstract constructions. Last but not least, assuming verb-noun pairs as the relevant context for SOI allows us to simultaneously model the interaction of word order variation with pro-drop.

### 3. Maximum Entropy modeling

The Maximum Entropy (ME) framework offers a mathematically sound way to build a probabilistic model for SOI, which combines different linguistic cues. Given a linguistic context \( c \) and an outcome \( a \in A \) that depends on \( c \), in the ME framework the conditional probability distribution \( p(a|c) \) is estimated on the basis of the assumption that no \( a \) priori constraints must be met other than those related to a set of features \( f_j(a,c) \) of \( c \), whose distribution is derived from the training data. It can be proven that the probability distribution \( p \) satisfying the above assumption is the one with the highest entropy, is unique and has the following exponential form (Berger et al. 1996):

\[ p(a|c) = \frac{1}{Z(c)} \prod_{j=1}^{k} a_{j}^{f_j(a,c)} \]

where \( Z(c) \) is a normalization factor, \( f_j(a,c) \) are the values of \( k \) features of the pair \( (a,c) \) and correspond to the linguistic cues of \( c \) that are relevant to predict the outcome \( a \). Features are extracted from the training data and define the constraints that the probabilistic model \( p \) must satisfy. The parameters of the distribution \( a_1, ..., a_k \) correspond to weights associated with the features, and determine the relevance of each feature in the overall model. In the experiments reported below feature weights have been estimated with the Generative Iterative Scaling (GIS) algorithm implemented in the AMIS software (Miyao and Tsujii 2002).

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| Pos | Subj | Obj |
|-----|------|-----|
| Pre | 59.82% | 30.27% |
| Post | 40.18% | 69.73% |
| All | 100.00% | 100.00% |

| Agr | Subj | Obj |
|-----|------|-----|
| Pre | 98.50% | 56.54% |
| Post | 43.46% | 22.21% |
| All | 100.00% | 100.00% |

| Anim | Subj | Obj |
|-----|------|-----|
| Pre | 34.10% | 85.48% |
| Post | 49.82% | 89.33% |
| All | 100.00% | 100.00% |

### 4. Feature selection

The most important part of any MaxEnt model is the selection of the context features whose weights are to be estimated from data distributions. Our feature selection strategy is grounded on the main assumption that features should correspond to theoretically and typologically well-motivated contextual cues. This allows us to evaluate the probabilistic model also with respect to its consistency with current linguistic generalizations. In turn, the model can be used as a probe into the correspondence between theoretically motivated generalizations and usage-based empirical evidence.

Features are binary functions \( f_j(a,c) \) of the function \( \sigma \) occurring in the context \( \sigma \). For our MaxEnt model, we have selected different features types that test morpho-syntactic, syntactic, and semantic key dimensions in determining the distribution of \( S \) and \( O \).

**Morpho-syntactic features.** These include N-V agreement, for Italian and Czech, and case, only for Czech. The combined use of such features allow us not only to test the impact of morpho-syntactic information on SOI, but also to analyze patterns of cross-lingual variation stemming from language specific morphological differences, e.g. lack of case marking in Italian.
Word order. This feature essentially test the position of the noun w.r.t the verb, for instance:

\[
(2) \quad f_{\text{post,subj}}(\text{subj}, \sigma) = \begin{cases} 
1 & \text{if noun}_{\text{subj}} \text{pos} = \text{post} \\
0 & \text{otherwise}
\end{cases}
\]

Animacy. This is the main semantic feature, which tests whether the noun in \( \sigma \) is animate or inanimate (cf. §2.1). The centrality of this cue for grammatical relation assignment is widely supported by typological evidence (cf. Aissen 2003, Croft 2003). The Animacy Markedness Hierarchy - representing the relative markedness of the associations between grammatical functions and animacy degrees – is actually assigned the role of a functional universal principle in grammar. The hierarchy is reported below, with each item in these scale been less marked than the elements to its right:

Animacy Markedness Hierarchy

Subj/Human > Subj/Animate > Subj/Inanimate

Obj/Inanimate > Obj/Animate > Obj/Human

Markedness hierarchies have also been interpreted as probabilistic constraints estimated from corpus data (Bresnan et al. 2001). In our MaxEnt model we have used a reduced version of the animacy markedness hierarchy in which human and animate nouns have been both subsumed under the general class animate.

Definiteness tests the degree of “referentiality” of the noun in a context pair \( \sigma \). Like for animacy, definiteness has been claimed to be associated with grammatical functions, giving rise to the following universal markedness hierarchy Aissen (2003):

Definiteness Markedness Hierarchy

Subj/Pro > Subj/Name > Subj/Def > Subj/Indef

Obj/Indef > Obj/Def > Obj/Name > Obj/Pro

According to this hierarchy, subjects with a low degree of definiteness are more marked than subjects with a high degree of definiteness (for objects the reverse pattern holds). Given the importance assigned to the definiteness markedness hierarchy in current linguistic research, we have included the definiteness cue in the MaxEnt model. In our experiments, for Italian we have used a “compact” version of the definiteness scale: the definiteness cue tests whether the noun in the context pair \( i \) is a name or a pronoun \( ii \) has a definite article \( iii \), has an indefinite article or \( iv \) is a “bare” noun (i.e. with no article). It is worth saying that “bare” nouns are usually placed at the bottom end of the definiteness scale. Since in Czech there is no article, we only make a distinction between proper names and not proper names.

5. Testing feature configurations for SOI

The ME model for Italian SOI has been trained on 14,643 verb-subject/object pairs extracted from ISST. For Czech SOI we used a training corpus of 37,947 verb-subject/object pairs extracted from PTD. In both cases, the training set was obtained by extracting all verb-subject and verb-object dependencies headed by an active verb and by excluding all cases where the position of the nominal constituent was grammatically constrained (e.g. clitic objects, relative clauses). It is interesting to note that in both training sets the proportion of subjects and objects relations is nearly the same: 63.06%-65.93% verb-subject pairs and 36.94%-34.07% verb-object pairs for Italian and Czech respectively.

Two different feature configurations have been used for training:

- non-lexical feature configuration (NLC), including only general features acting as global constraints: namely verb agreement, case (for Czech only), word order, noun animacy and noun definiteness;
- lexical feature configuration (LC), including verb agreement, case (for Czech only), word order, noun animacy and definiteness, and information about the verb head.

The test corpus consists of a set of verb-noun pairs randomly extracted from the reference Treebanks: 1,000 pairs for Italian and 1,373 for Czech. For Italian, 559 pairs contained a subject and 441 contained an object; for Czech, 905 pairs contained a subject and 468 an object.

The model was evaluated for both languages by calculating the percentage of correctly assigned relations over the total number of test pairs (accuracy). As our model always assigns one syntactic relation to each test pair, accuracy equals both standard precision and recall. Finally, we have assumed a baseline score of 56% for Italian and of 66% for Czech, corresponding to the result yielded by a dumb model assigning to each test pair the most frequent relation in the training corpus, i.e. subject.

5.1. Non-lexical feature configuration

Our first experiments were carried out with NLC. The accuracy achieved by the model on the test corpus is 89.80% for Italian and 89.22% for Czech. A more detailed analysis of errors for the two languages is reported in Table 3, showing that in Czech most errors affect the object relation (i.e. 93.27%), whereas the reverse holds for Italian, where subject identification appears to be more problematic (i.e. 79.41% of errors are subjects mistaken as direct objects). It is also interesting to note how and to what extent individual features contribute to errors. In Czech it appears that the prototypically mistaken objects are post-verbal (66.22%), inanimate (87.84%), ambiguously case-marked (91.22%) and agreeing with the verb (91.89%); the reported percentages refer to the whole error set. In Italian, mistaken subjects can be described as follows: they all occur in post-verbal position and are mostly (92.52%) inanimate. Interestingly, in either languages, the highest number of errors occurs in those cases in which \( N \) has the least prototypical morphosyntactic, syntactic and semantic properties for \( O \) (or \( S \)). This shows that MaxEnt has actually been able to form a precise model of the core linguistic properties that \( S \) and \( O \) have in Italian and in Czech.

A further way to evaluate the goodness of the model is by inspecting the weights associated with feature values for the two languages. They are reported in Table 4 where grey cells highlight the preference of each feature value for either subject or object identification. In both languages agreement with the verb strongly relates with the subject relation. For Czech, nominative case is strongly associated with subjects and the other cases with objects. Moreover, in both languages: preverbal subjects are strongly preferred over preverbal objects; animate
subjects are preferred over animate objects; pronouns and proper names are typically subjects.

Let us now try to relate these feature values with the Markedness Hierarchies reported in § 4. Interestingly, for Italian, if we rank the Anim and Inanim values for subjects and objects, we observe that they distribute consistently with the Animacy Markedness Hierarchy: Subj/Anim > Subj/Inanim and Obj/Inanim > Obj/Anim. This is confirmed by the Czech results. Similarly, by ranking the Italian values for the definiteness features in the Subj column by decreasing weight values we obtain the following ordering: PronName > DefArt > IndefArt > NoArt, which nicely fits in with the Definiteness Markedness Hierarchy in § 4.

The so-called “markedness reversal” is replicated with a good degree of approximation if we focus on the values for the same features in the Obj column: the PronName feature represents the most marked option, followed by IndefArt, DefArt and NoArt (the latter two showing the same feature value). The exception here is represented by the relative ordering of IndefArt and DefArt which however show very close values. The same seems to hold for Czech, where the feature ordering for Subj is PronName > DefArt/IndefArt/NoArt and the reverse is observed for Obj. Evaluating feature salience.

The relative salience of the different constraints acting on SOI can be inferred by comparing the weights associated with individual feature values. For instance, Goldwater and Johnson (2003) show that ME can be successfully applied to learn constraint rankings in Optimality Theory, by assuming the parameter weights \( \alpha_1, ..., \alpha_k \) as the ranking values of the constraints. Figure 1 shows the constraint weights ranking for the two languages; note that only positional and animacy constraints are included in the graph. The rankings in Figure 1 can be used to derive the relative salience of each constraint in Czech and Italian. Lower ranked constraints correspond to more marked syntactic configurations that are then disfavoured in SOI. For instance, in Italian the two animacy constraints AnimObj and AnimSubj are respectively placed near the bottom and the top end of the scale. Notwithstanding the low position of PostSubj, animacy is thus able to override the word order constraint and to produce a strong bias towards understanding animate nouns as subjects, even when they appear in post-verbal position. The constraint ranking thus confirms the interplay between animacy and word order in Italian, with the former playing a decisive role in assigning the syntactic function of post-verbal nouns.

5.2. Lexical feature configuration

In this experiment, the general features reported in Table 4 are integrated with verb-specific features, as illustrated below for the Italian verb dire ‘say’:

- \( \text{dire\_animSog} \)
- \( \text{dire\_noanimSog} \)
- \( \text{dire\_animOgg} \)
- \( \text{dire\_noanimOgg} \)

showing a strong preference of the verb for taking animate subjects and inanimate objects. For Italian, verb-specific features are 4,316 and for Czech 8,248. The results achieved with LC on the test corpora for the two languages show a significant improvement with respect to those obtained with NLC in both cases (+6.26% and +7.6% respectively).

6. Conclusions

Nowadays, probabilistic language models, machine learning algorithms and linguistic theorizing all appear to provide substantially converging evidence supporting a view of language understanding as a process of dynamic, on-line resolution of conflicting grammatical constraints. We begin to gain considerable insights into the complex process of bootstrapping the nature and behaviour of these constraints upon observing the actual distribution of constraint configurations in perceptually salient contexts. In our view of things, this solid scientific trend not only outlines a promising framework providing fresh support to usage-based models of language.

| Table 3 – Typology of errors in NLC for Czech and Italian |
|---------------------------------|---------------|
| **Czech** | **Italian** |
| Subj | Obj | Subj | Obj |
| Preverb | 5 | 39 | 0 | 8 |
| Postverb | 6 | 98 | 81 | 13 |
| Anim | 1 | 7 | 6 | 13 |
| Inanim | 10 | 1 | 130 | 75 | 8 |
| Nomin | 0 | 2 | Na | |
| Genitive | 1 | 0 | Na | |
| Dative | 4 | 0 | Na | |
| Accus | 0 | 0 | Na | |
| Instrum | 0 | 0 | Na | |
| Ambig | 6 | 135 | Na | |
| Agr | 4 | 136 | 67 | 18 |
| NoAgr | 6 | 1 | 9 | 2 |
| NAAgr | 1 | 0 | 5 | 1 |

| Table 4 – Feature value weights in NLC for Czech and Italian |
|---------------------------------|---------------|
| **Czech** | **Italian** |
| Subj | Obj | Subj | Obj |
| Preverb | 1.24E+00 | 5.40E-01 | 1.31E+00 | 2.11E-02 |
| Postverb | 8.77E-01 | 1.17E+00 | 5.39E-01 | 1.38E+00 |
| Anim | 1.16E+00 | 6.63E-01 | 1.28E+00 | 3.17E+00 |
| Inanim | 1.03E+00 | 9.63E-01 | 8.16E-01 | 1.23E+00 |
| PronName | 1.13E+00 | 7.72E-01 | 1.13E+00 | 8.05E+00 |
| DefArt | 1.05E+00 | 9.31E-01 | 6.82E-01 | 1.26E+00 |
| IndefArt | 3.80E-03 | 1.39E+00 | 9.17E-01 | 1.02E+00 |
| NoArticle | 2.85E-02 | 1.49E+00 | 1.17E+00 | 2.22E-02 |
| Agr | 1.18E+00 | 6.67E-01 | 1.28E+00 | 4.67E-01 |
| NoAgr | 7.71E-02 | 1.50E+00 | 1.52E-01 | 1.58E+00 |
| NAAgr | 3.75E-01 | 1.53E+00 | 2.61E-01 | 1.84E+00 |
acquisition through mathematical and computational simulations. It also allows us to shed light on patterns of cross-linguistic typological variation that crucially depend on the appropriate setting of model parameters. Moreover, it promises to solve, on a principled basis, traditional performance-oriented cruces of grammar theorizing such as degrees of human acceptability of ill-formed grammatical constructions (Hayes 2000) and the inherently graded compositionality of linguistic constructions such as morpheme-based words and word-based phrases (Bybee 2002, Hay and Baayen 2005). The work reported in the present paper is still fairly preliminary and is mainly intended to show the enormous potential of such a methodological convergence. Nonetheless, it allows us to argue that the current availability of comparable, richly annotated corpora and of mathematical tools and models for corpus exploration make time ripe for probing the space of grammatical variation, both intra- and inter-linguistically, on unprecedented levels of sophistication and granularity. All in all, we anticipate that such a convergence is likely to have a twofold impact: on the one hand, it will shed novel light on the integration of performance and competence factors in language study; on the other hand, it will make mathematical models of language increasingly able to accommodate richer and richer language evidence, thus putting explanatory theoretical accounts to the challenging test of an extensive, usage-based empirical verification.

Figure 1 – Relative ranking of animacy and positional constraints in Czech and Italian

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