Intonation and discourse processing

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Abstract

This paper describes prosodic cues to discourse structure, and the role that prosody plays in spoken discourse processing. We begin by discussing two main structures in discourse that one must consider when doing research on discourse processing: segmentation and information status. We then review a number of key studies from the phonetics literature which have investigated the intonational marking of these structures. Next, we discuss in detail the psycholinguistic research to date which has examined the role that intonation can play in facilitating or inhibiting the processing of discourse in English and other related languages. We conclude by outlining directions for future research the area of intonation-discourse processing.

1 Introduction

Intonation is an integral part of every spoken language utterance. It can provide cues to the linguistic structure of the speaker’s message, her emotional state, or her communicative intent. Despite this wealth of information available in the signal, surprisingly little is known about how listeners might go about integrating this information into their interpretation of an utterance. The goal of this special session is to discuss the contributions of intonation to spoken language processing. In their paper, Schafer et al. [1] describe how intonation can be used in the parsing of syntactic structure. Our paper will concern the processing of another type of linguistic structure, namely the discourse structure.

In order to talk about the role of intonation in discourse processing, we must first clarify what we intend by the terms discourse and processing. By discourse, we mean not only aspects of linguistic structure above the sentence level, such as paragraph or topic structure and dialog turns, but also the dynamic shifts in information status, including salience, focus of attention, and the given/new distinction. In Section 2 we will outline a model of discourse structure, proposed by Grosz & Sidner [4], which incorporates these two aspects of discourse into a unified account of discourse structuring. The term processing can mean a variety of things, from off-line comprehension of and judgments about an utterance’s structure and meaning, to the on-line moment-by-moment interpretation of that utterance, or the implicit ‘workload’ that is associated with such comprehension. We will attempt to address all of these aspects of processing in our review of the literature. In Sections 3 and 4 we will discuss key studies of our own and others which have investigated the intonation-discourse interface. We will include selected works from the vast phonetics literature on this topic, and integrate it with the small but growing literature from the psycholinguistics community on the role of intonation in discourse processing. We will conclude in Section 5 by offering a few suggestions for areas of research that we find particularly intriguing and fruitful for future research on intonation and discourse processing.

2 Discourse Structuring

Research on the intonation-syntax interface has shown that intonation can play an important role in cueing structures such as clause boundary location, PP and relative clause attachment, and NP bracketing (e.g. old men and women). In the discourse domain, what structures are important in processing, where do the potential ambiguities lie, and what intonational cues may potentially disambiguate them? In this section we will discuss two main aspects of discourse structuring: (i) segmentation and hierarchy, and (ii) information status, including salience, focus of attention, and given/new information. While there are many theoretical accounts of these phenomena, we will focus here on how these are represented in the theory of discourse structuring and coherence proposed by Grosz & Sidner [4], which has been widely used in both computational and experimental studies (e.g. [5, 6, 7, 8]).

2.1 Segmentation

Most researchers now assume that a spoken (or written) discourse is more than just a string of utterances, but that individual utterances of a discourse are grouped into higher-level units. In order to characterize these units, previous studies have used written cues...
such as ‘paragraphs’ or labelers’ intuitive notions of topic structure in the data under analysis. Often, the discourse structure description is study-specific and cannot be generalized to other data. What is generally lacking is an independently-motivated theory of discourse structuring, which can be empirically determined (by trained labelers) in a reliable manner.

One such independent theory is the intention-based proposal by Grosz & Sidner [4]. Under this proposal, utterances are grouped into cohesive units known as discourse segments (DS), which serve as the building blocks that make up the discourse. Utterances grouped in a DS share a common property: they all contribute to the overall purpose or intention that a speaker has for producing that particular segment. The purposes of the segments (discourse segment purposes or ‘DSPs’) then contribute to the overall purpose of the discourse (the discourse purpose or ‘DP’). In other words, a speaker generally has a reason for producing a discourse. Individual utterances contribute to the DSPs of the segments to which they belong, which in turn contribute to the overall DP. In addition, a DS is related to other DSs in one of two ways, in Grosz & Sidner’s theory: by dominance, a hierarchical relationship in which the purpose of the dominated segment contributes to the purpose of the dominating segment) or by satisfaction-precedence, a linear relationship in which one DSP must be satisfied before the DSP of another [4, 9].

This theory of discourse organization has been put to the test by asking human labelers to segment speech corpora using the segmentation guidelines developed by [9]. Such studies have demonstrated a high degree of labeler inter-labeler reliability [10, 11, 5]. Research using this method of segmentation have shown that DS boundaries may be marked by linguistic means such as specific lexical items known as cue phrases (e.g. so, next, finally, etc.) [12, 13], or shifts in tense, but that such cues may not always be present. In Section 3 we will summarize recent research investigating prosodic and acoustic cues to such intention-based discourse segmentation.

2.2 Information Status

As with discourse segmentation, numerous theoretical constructs have been proposed in the literature to capture the notion that discourse entities change their status over the course of a discourse, from new information to old, or given information, from focus to background. These changes in information status are closely related to the accessibility of individual entities as they are referred to by discourse participants. The given/new dichotomy (see for example [14, 15, 16, 17, 18]), whereby entities newly introduced into the discourse are considered new, while those already in the discourse context are given, while widely made reference to in both theoretical and psycholinguistic research, are notoriously difficult to define. What does it mean for a given entity to be “already in the discourse context”? A number of solutions to this problem have been proposed, including Halliday’s notion of ‘recoverability’ [14], Chafe’s definition with respect to listener’s ‘consciousness’ [15, 16], or Prince’s taxonomy [18, 19]. Here, we choose to focus on how the given/new distinction might be represented in Grosz & Sidner’s theory of intention-based discourse structuring.

As mentioned in the previous section, a discourse is comprised of a number of discourse segments (DS), each with its own purpose. This linguistic structure interfaces with another important structure, namely the attentional state of the discourse. According to Grosz & Sidner’s proposal, the onset of each DS opens up a new global focus space in the ever-evolving record of speaker and hearer’s attentional state, to which discourse entities may be added as they are referred to. For example, if a speaker utters Now I will build a house?, the cue word now signals that a new DS has begun, and a corresponding focus space is added to the representation of the attentional state, into which the discourse entity representing house will be inserted. Under this approach, when an entity such as house is first added to discourse’s focus space, we might say that it is also considered new information. Once introduced, a now given entity may remain salient and accessible in the discourse, or it may lose its salience and accessibility as the discourse proceeds [4, 5, 22]. Thus, we may view Grosz & Sidner’s notion of attentional focus as modeling two kinds of information status: both the given/new distinction and the notion of salience or accessibility. So in this way, given information is no longer defined as ‘mentioned within the last N utterances’, but rather is directly related to an entity’s status with respect to the dynamic representation of attentional state. In Section 4 we will describe how this approach to modeling information status can account for the distribution of intonational prominences in spoken discourses.

3 Intonation in Discourse Segmentation

There is considerable evidence in the literature that intonational features can signal the structuring of utterances into larger discourse segments. See discussion of house-building experiments by Terken [20] and Swerts & Geluykens [21] in Sections 3 and 4.1, respectively.

In this paper we will focus on the use of fundamental frequency (F0) in cueing discourse structure. Readers are referred to the literature for descriptions of other acoustic cues that may be used. Also, our focus will primarily be on English and languages with similar intonational systems (e.g. Dutch). Studies of the intonation-discourse interface in other languages (e.g. Japanese, see [22, 23]) have had similar findings, though the intonational means used to cue discourse structures are different.
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Other studies have defined discourse units in terms of ‘topic’ structure: stretches of speech in which the speaker is mainly discussing a single entity. Yule sug-
suggests that intonation can be used to mark the bound-
aries of topic units in English spontaneous speech: an intonational structure which he terms the ‘paratone’ [26]. Swerts & Geluykens examined topic units in Dutch, defined in their house-building task as a stretch of speech in which a specific piece of the house is being described [21]. They also found that F0 is high at the beginning of such units, and gradually declines to the unit end.

The notion of ‘topic units’ may in some cases be likened to intention-based discourse segments defined by Grosz & Sidner [4, 9]. For example, in a instruction-giving monologue such as Swerts & Geluykens’ [21] house-building task, the topic unit which describes the construction of the front door is likely to be the same as the intention-based DSP Tell the listener how to construct the front door in the Grosz & Sidner framework. In addition to such task-oriented discourses, Grosz & Sidner’s intention-based discourse segmentation scheme can describe other discourse genres as well. The relation of intonation to discourse segmentation within this framework has been studied extensively by Hirschberg and colleagues (e.g. [27, 10, 11, 5]), in various discourse genres. Hirschberg found that increased F0 values (both maximum and mean F0) are characteristics of (intermediate) prosodic phrases which labelers agree to be discourse segment-initial, relative to other phrases in the database. Likewise, lower F0 values relate to DS-medial and DS-final judgments [10, 11].

Given that a number of phonetic studies, using a variety of theoretical constructs, have found that discourse segmentation can be cued by intonational means, the question of most relevance to psycholinguists is to what extent this segmentation can occur on-line, as the listener processes the incoming spoken discourse. Finding that, for example, discourse segment-initial phrases are uttered with a higher F0 in comparison with other phrases can be a tremendous aid in speech synthesis, where such phrases can be systematically distinguished from an otherwise ‘default’ F0 topline (see e.g. [27]). However, such a finding does not necessarily shed light on whether listeners (or real-time automatic recognition systems) can use this same intonational information in on-line discourse segmentation. In order to address this concern, Hirschberg & Nakatani examined the relative change in F0 (and other parameters) over a local window of two consecutive phrases [11]. They found that the previously-reported effects of DS position are true even at this more local level. That is, there is a significant increase in F0 change from one phrase to the next when the second phrase is DS-initial, in comparison to when that phrase is medial or final. In addition, DS-medial phrases are marked by an increased F0 change in comparison with final phrases. These findings suggest that discourse segmentation can in many cases be accomplished on-line as the discourse unfolds, by examining the local F0 change between one phrase and the next.

4 Intonation and Information Status

There has also been considerable research on the role intonation can play in cueing information status. Speakers can indicate the salience or accessibility of a discourse referent by varying the intonational prominence of referring expressions. This is accomplished by pitch accents in languages such as English and Dutch, though other languages may use different means. (See Venditti [22] and Venditti & Swerts [23] for a description of the use of pitch range for similar effects in Japanese.)

4.1 Intonational Marking

The given/new distinction often cited in the discourse literature was defined by Halliday directly in terms of the speaker’s choice of intonational form [14]. For Halliday, new information is focal information which “the speaker presents ... as not being recoverable from the preceding discourse” (regardless of whether or not it had been mentioned before) [14, p. 204], and is marked in English by a ‘tonic’ or ‘nuclear’ pitch accent. While Halliday’s claim is that the given/new distinction is defined solely by the speaker’s choice of intonational grouping and prominence, subsequent studies have attempted to relate the intonational phenomena to independent text-based characterizations of given vs. new information. For example, Brown [28] used Prince’s [18] taxonomy of discourse givenness to describe variations in intonational prominence in English task-oriented speech. She found that speakers tend to place pitch accents on new information, while marking given information by deaccenting. However, Brown also points out an instance in her data in which a given entity is re-introduced into the discourse after

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4These studies documented a number of other acoustic-prosodic features which are also reliably related to DS position, such as amplitude, speaking rate, and pause durations.
some digressions, and is marked by a pitch accent. Using only Prince’s taxonomy of givenness, along with a direct mapping of these categories to intonational prominence markings, Brown cannot account for such accentuation of re-introduced entities. However, approaches using the notion of a cache/buffer of a fixed number of utterances or turns may be able to capture such phenomena. That is, the entity is no longer salient if the number of utterances defined by the cache size have intervened. But what cache size is appropriate? And is the same size appropriate for all discourse situations?

The use of topic-based discourse segmentation is one way to better define what it means for an entity to be given. Terken [20] examined accent distribution in Dutch house-building monologues, using a topic unit defined as a stretch of speech in which a specific piece of the house is being described (see also Swerts & Geluykens [21] mentioned above). He found that both topics and non-topics are newly introduced using accented full NPs (97% and 81%, respectively). This is consistent with the accentuation of new entities in English and other languages. However, Terken observed that the realization of later mentions (within the topic unit) depends on the topic status of the entity: topics are mainly realized by unaccented pronouns (51%), but accented and unaccented full NPs are also found (33% and 5%, respectively). Later mentions of non-topics, on the other hand, are primarily realized by accented full forms (74%), though unaccented full forms exist as well (18%). These results suggest that while there is a general relationship between given/new (as defined by topic unit segmentation) and pitch accenting, there are additional factors which also affect accent distribution. We will return to this issue below.

Hirschberg & Pierrehumbert [27] suggest that the notions of given and new, and their relation to pitch accent distribution, can be explained by a model of global attentional salience such as that proposed by Grosz & Sidner [4]. Working within this framework, Nakatani [5, 31] observed that entities which are first introduced into the current global focus space (which models the current intention-based DS) tend to be realized with accented referring expressions, while those entities already existing in the space (and hence globally salient) tend to be realized with unaccented expressions. Nakatani also notes that “references to entities that are either in a neighboring focus space on the focus stack, or in the most recently popped focus space, [also] do not require accentual prominence” [31, p. 149].

To the extent that intention-based discourse segmentation may in many cases correspond closely to the

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5Accentuation of re-introduced entities has also been observed by Hirschberg [29].
6Cf. [30] for recent work on memory-based salience.

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4.2 Processing

While information status has been shown in a number of studies to strongly influence pitch accent distribution in languages such as English and Dutch, to understand the role of intonation in spoken discourse processing, we must also investigate whether listeners are in fact sensitive to such markings. In this section we discuss studies which suggest that accentuation does indeed play a role in processing.

An early study by Most & Saltz [33] asked listeners to choose which of two wh-questions an intoned target answer would be an appropriate reply to. They found that listeners’ choice of matching questions was related to the accentuation in the target answer. For example,
an answer such as The MECHANIC fixed the car was taken to be the answer to Who fixed the car?, rather than to What did the mechanic fix?. Birch & Clifton [34] also examined the effect of accentuation in processing question-answer pairs. They used both ‘makes sense’ judgments (i.e. listeners provided speeded judgments of whether an answer made sense given the question) and prosodically appropriateness ratings of answers with varied accentuation patterns. They found that answers in which new information was accented and given information deaccented were not only rated as more appropriate by listeners, but were understood more quickly in speeded judgments.

In another study, Bock & Mazzella [35] used a comprehension time paradigm to determine the effect of appropriate accentuation on processing of so-called denial-counterassertion pairs such as Arnold didn’t fix the radio. Doris fixed the radio. They found that comprehension times of the target counterassertions were shorter when focal (i.e. new) information was accented, compared to non-focal information, suggesting that appropriate accentuation facilitates comprehension in these utterances. More recently, Davidson [36] used a phoneme-monitoring paradigm to demonstrate that listeners use accentuation patterns in denials to direct attention to alternatives presented in the counterassertion, consistent with Bock & Mazzella’s findings.

Terken & Nooteboom [37] have also demonstrated that listeners expect new information to be pitch accented and given information to be deaccented. Inappropriate accentuation on target words slowed verification latencies in these experiments: that is, accenting given information slowed reaction times, as did deaccenting new information. In their experiments, Terken & Nooteboom defined given information as an NP whose antecedent was in the same grammatical role either (a) in the immediate preceding utterance only, or (b) in a number of preceding utterances. The effect of accentuation on the processing of given information was the same for either definition of given. Under the model of attentional focus described in Sections 2.2 and 4.1 above, both definitions would predict that the given NP is in global focus, consistent with the findings of production studies using this framework.

Many of the processing studies examining the relationship between accentuation and information status have used experimental paradigms that probe so-called ‘off-line’ comprehension. A very recent study by Dahan et al. [40] suggests that accentuation also affects referential interpretation at very early stages of processing, even before the entire target word has been heard. Dahan et al. used eye-tracking to monitor listeners’ movements to pictured entities as they heard simple pre-recorded instructions to manipulate the entities on a computer screen, as in Put the candle/candy below the triangle. Now put the CANDLE/candle above the square. Eye-tracking has become a popular methodology for investigating real-time spoken language processing, since it allows experimenters to monitor (visual) attention to referents without interrupting the speech stream (unlike the gating paradigm, for example), and because eye movements have been found to be closely time-locked to the auditory input in such tasks (see [41] for a brief introduction to the eye-tracking paradigm). In Dahan et al.’s study, the visual scene contained various objects, two of which shared the same primary-stressed first syllable (e.g. candle and candy). The first part of the auditory instruction introduced either the candle or the candy into the discourse context (see example above), establishing it as given. The second part of the instruction then referred to the CANDLE/candle using either an intonationally prominent or non-prominent surface form. Note that the target noun in the second instruction is (crucially) temporarily ambiguous during the first syllable [kæn], and thus both candle and candy are potential referents at this stage. Dahan et al.’s results showed clear effects of accentuation on reference resolution. They found that, while listeners eventually did fixate on the target noun (i.e. candle), which was uniquely identifiable in its full form, fixations on the competitor (i.e. candy) differed significantly depending on accentuation: when candle had been mentioned in the first instruction, there were more fixations on candy when [kæn] was accented. Likewise, when candy was previously mentioned, there were more fixations on candy when [kæn] was deaccented. That is, listeners took accented [kæn] to refer to new information, and deaccented [kæn] to refer to given information, even at the earliest stages of lexical access. This confirms that accentuation can indeed be reliably used by listeners to process discourse representations, both in global (off-line) comprehension, as well as on-line, as a discourse is unfolding.

4.3 Property-sharing Constraints
A discussion of the relation between information status and accentuation would not be complete without mention of one factor which has come to the forefront in recent studies: the fact that given/new interacts with property-sharing constraints in the distribution of accents in discourse. In many previous studies, this factor has either been overlooked or implicitly controlled for (e.g. by placing target and antecedent in the same grammatical role). In a few studies, this factor has been systematically varied, with revealing results.

Terken & Hirschberg [42] examined the distribution of accents in elicited spontaneous descriptions, and

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7See also related studies by Nooteboom and colleagues [38, 39].

8In Dahan et al.’s stimuli, prominence was marked by H* or L+H*, and non-prominence was marked by H+H* (and not by total deaccentuation). However, since Dahan et al. use the terms accented/deaccented in their descriptions, we will continue to use those terms here too.
found that prior mention (even in the immediately preceding utterance within the same discourse segment) is not a sufficient predictor of deaccentuation. In addition, the target and antecedent must also share the same grammatical role to warrant deaccentuation. This importance of property-sharing (here, grammatical role) was also demonstrated by one of the experiments reported by Dahan et al. [40]. Using the same eye-tracking paradigm and experimental task as their study reported above, they examined instruction sequences in which the target and antecedent did not share the same grammatical/thematic role, as in Put the necklace below the candle. Now put the CANDLE above the square. Analysis of eye fixations revealed that there were no competitor effects in this condition, as were observed in the conditions in which the target and antecedent shared the same grammatical role. In other words, the accented [kæn] was immediately interpreted as referring NOT to new information (which would have led to fixations on the competitor candy), but to given information which was realized in a different (non-focused) grammatical position.

These and other studies show that the distribution of accentuation in discourse depends on more than just the given/new distinction. Not only are the notions of given/new notoriously tricky to define, but even in the clearest cases of given referring to information mentioned in the immediately previous utterance and new referring to unmentioned information, there are other constraints such as sharing of grammatical/thematic role or surface position that complicate matters. Another factor which Terken & Hirschberg briefly touch upon but reserve for future research is the possibility that this observed persistence of grammatical role “may arise only due to the syntactic parallelism of successive utterances in [their] context and target utterances” [42, p. 142] — perhaps a more restrictive notion of ‘property-sharing’.

In a series of recent eye-tracking studies, Venditti et al. [43, 44] demonstrated that syntactic parallelism has a significant effect on the interpretation of (ambiguous) nuclear-accented pronouns. They found that while accented pronouns serve to shift reference in parallel constructions, such as in the now infamous John hit Bill and then HE hit George, listeners had difficulty interpreting accented pronouns in non-parallel sequences (e.g. John hit Bill and then HE ran away). Moreover, even in parallel constructions, significant preference for switched reference (as indicated eye fixations) only emerged after listeners had heard the (identical) verb, which provided strong evidence for syntactic parallelism. Since the auditory stimuli in Dahan et al.’s [40] study (see examples above), and the spontaneous productions in Terken & Hirschberg’s [42] study (e.g. The ball touches the diamond. The ball touches the star.) involved not only sharing of grammatical role but also syntactic parallelism, more research is needed to clarify which of these factors (or both) are responsible for the observed patterns/effects of accentuation, as Terken & Hirschberg point out.

5 Future Directions

In this paper, we have summarized the current state of knowledge of the intonation-discourse interface, and the role of intonation in discourse processing. There is much more work to be done. In this section we outline a number of intriguing directions open for future research in this area.

Processing in dynamic models of attention and discourse salience. Much of the discourse processing literature has focused on the given/new distinction as defined by adjacent utterance pairs. We have briefly described Grosz & Sidner’s [4] model of intentional structuring and attentional focus which has been used in a number of production studies examining the intonation-discourse interface. Such a model will allow future studies to investigate the more dynamic aspects of processing across extended stretches of discourse.

Property-sharing, parallelism, and other constraints on accentuation. Although a number of studies have observed that given information often does bear intonational prominence, the extent to which factors such as property-sharing or parallelism (however defined) can explain accent distribution has yet to be fully investigated in either production or processing studies. Other factors that must also be addressed with respect to this issue include: the asymmetry between nuclear and pre-nuclear accents in marking given information, and the functional similarity of downstepped accents and deaccentuation (e.g. see Dahan et al.’s [40] operational definition of deaccentuation).

The timecourse of integration of intonational information. Most of the intonation-discourse processing studies to date have involved offline comprehension or appropriateness judgments. Notable exceptions are Dahan et al.’s [40] and Venditti et al.’s [43, 44] experiments using eye-tracking, which were able to probe on-line integration of intonational information as a discourse unfolds in real-time. More studies are needed to investigate the exact timecourse of such information integration. A number of previous studies have suggested that intonational information occurring even prior to the event of interest can be used by listeners in processing. For example, Cutler [45] showed that the intonational contour leading up to a target word which was consistent with that word being accented (although the word itself was a neutral version spliced in) resulted in a phoneme-monitoring response time advantage. In Terken & Nooteboom’s study [37] described above, they suggest that an effect of grammatical role on observed reaction times might be due to
facilitation by the preceding intonation contour. Since their predicate target NPs (as opposed to subject NPs) were all preceded by a falling pitch movement (which in Dutch typically signals that the remaining portion of the utterance contains non-focal information), they suggest that listeners were likely able to identify the predicate NP as deaccented (thus given) before the NP itself was even uttered. Such anticipatory pitch cues were not present in the subject NP case. These and other studies (see for example, Bock & Mazzella’s [35] and Davidson’s [36] discussions of accentuation facilitating comprehension of subsequent information in denials) underscore the importance of more research on the timecourse of integration of anticipatory and other intonational cues in real-time discourse processing.

The role of intonation in processing naturally-occurring spoken discourse. The many experimental studies reviewed here have demonstrated that intonation can play a major role in discourse processing, both in discourse segmentation as well as processing information status. However, almost all of these studies employed laboratory or task-oriented paradigms which may (or may not) have inadvertently inflated the influence of intonation. In a recent study on intonation in on-line syntactic processing, Snedeker & Trueswell [49] found that speakers only provided reliable intonational cues when they were aware of a potential ambiguity in their productions. While we are confident that the effect of intonation on discourse processing is real and in many cases robust, we cannot rule out the possibility that certain experimental designs are likely to show greater effects of intonation than others. Therefore, more research on processing in naturally-occurring discourses is needed and will be much welcomed.

References


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9 Much work has been done on large speech corpora, e.g. [46, 47, 5, 48, 29, 10]. However, this research has in general focused on the prediction of intonational features from text rather than on discourse processing.


