

**Givenness and the position of the direct object in the
Czech clause***

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We study the impact of givenness on the position of the direct object in Czech with respect to three other clause-mate constituents: subject, verb, and a VP-modifying PP. Based on two controlled acceptability judgment experiments, we establish two main observations: (i) objects in all-new clauses are significantly less acceptable in a pre-verbal position than in a post-verbal position; and (ii) given objects are free to occur anywhere (pre-verbally or post-verbally) as long as they do not appear in the linearly final position with default main sentence stress.

We argue that the latter finding provides evidence for an interaction between givenness and prosody in Czech in that given expressions avoid sentence stress. We propose to model this interaction by a DESTRESS-

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GIVEN constraint. We did not find evidence for an obligatory given-new partition in Czech clauses: except for the sentence-final position with sentence stress, any position is acceptable for a given object, completely irrespective of the givenness status of the subject.

Our general conclusion is that neither relative word order phenomena nor scrambling give us a reason to believe that the information structural category of givenness is represented in the syntax, whether it occurs in the form of movement-triggering formal features or in the form of Kučerová's (2012) LF operator, which imposes a given-new partition on propositional domains. Our proposal is that givenness "communicates" with prosody via the DESTRESS-GIVEN constraint and the fact that given direct objects tend to scramble out of their base positions follows from the tendency to realize sentence stress clause finally.

The paper is organized as follows. Section 1 gives the necessary background on the category of givenness. In Section 2, we introduce two prominent approaches to the formal realization of givenness: the prosodic approach and the partition approach of Kučerová (2007, 2012). Section 3 describes two experiments designed to test some particular predictions of these approaches. In Section 4, we discuss open issues and conclude.

1 Preliminaries

1.1 Background on Givenness

Similarly to other notions of information structure (IS), givenness has been used in many different ways (see Prince 1981 for an early overview). In this paper, we define givenness in terms of presupposed discourse salience (see e.g. Wagner 2012): an expression A is given if the discourse participants know that there is an expression B (of the same semantic type as A) in the recent discourse that counts as an antecedent of A. Whether B counts as an antecedent of A depends on the semantic type of A and B. For the semantic type of entities (referential arguments), B counts as an antecedent of A if $\|A\| = \|B\|$. For functional types (predicates, propositions, etc.), B counts as an antecedent of A if, for all x of the relevant type, it holds that $\|B\|(x) \rightarrow \|A\|(x)$.

Some examples are provided below. In (1) the expressions *him/this friend of mine* are given (marked by boldface) because there is an antecedent in the preceding discourse, namely *John*, and the meaning of

him/this friend of mine and *John* is identical (relative to some variable assignment). This represents the case of a given expression that has the semantic type of an entity, where semantic identity is required. In English, givenness influences accentuation: sentence stress usually falls on the rightmost element, but as *him/this friend of mine* is given, it would be deaccented here by shifting the sentence stress to the verb. If *him/this friend of mine* did not refer to John, it would not be given and would thus receive sentence stress.

- (1) I thought about John yesterday. I decided to call **him/this friend of mine**.

Example (2) provides cases of given expressions that are of a functional or particularly predicative type (assuming this type of semantics for nonspecific objects of intensional verbs). In (2a), *octopus* in the second sentence counts as given due to the occurrence of the same noun in the first sentence. In this case, the semantics of the given expression and its antecedent are identical (for all x , it holds that $\text{octopus}(x) \leftrightarrow \text{octopus}(x)$). In (2b), the predicate *is musical* counts as given due to the occurrence of the predicate *play the guitar* in the previous sentence. This is because everyone who plays the guitar is also musical.

- (2) a. – Did you see an octopus when you were diving?
 – No, I didn't look for an **octopus**.
 b. – Does anyone of them play the guitar?
 – I heard that Tom **is musical**.

What matters for givenness under this approach is whether an expression with the relevant meaning has been mentioned in the discourse; there is no need for there to be a specific referent that matches the description of the expression. For instance, in (2a), there does not need to be any specific octopus in the discourse participants' minds in order for the second occurrence of *octopus* to count as given. More generally, givenness is independent of referential specificity.

Recently, Kučerová (2007) argued that givenness in Czech influences word order and that it is a stronger notion than the property that causes deaccentuation in English. According to her analysis, the condition on discourse salience characterized above is a necessary but not sufficient

condition for an expression to be given in Czech. For instance, in the Czech paraphrase of (2a), the second occurrence of *chobotnici* ('octopus') does not count as given, according to Kučerová.

- (3) – Viděl jsi při potápění chobotnici?
 saw AUX.2SG at diving octopus
 – Ne, já jsem chobotnici nehledal.
 no I AUX.1SG octopus NEG.looked.for
 – Did you see an octopus when you were diving?
 – No, I didn't look for an octopus.'

According to Kučerová, an expression in Czech is given if it is discourse salient in the above sense and in addition, if the discourse participants know that there is a particular referent that satisfies the description of that expression. In other words, given expressions are assumed to satisfy the existence presupposition. In the second sentence in (3), no particular octopus is presupposed to exist and hence *chobotnici* ('octopus') does not count as given. It follows from this approach that given expressions in Czech are always referentially specific.¹ Examples of expressions that are given in this stronger sense are *ji/bankovku* ('it/banknote') in (4a) and *ho/Honzu* ('him/Honza') in (4b): they have salient discourse antecedents and satisfy the existence presupposition.²

- (4) a. Na zemi ležela bankovka. Martin **ji/bankovku** zvedl.
 On floor lay banknote Martin it/banknote picked.up
 'There was a banknote on the floor. Martin picked it/the
 banknote up.'

¹ Kučerová (2007) assumes that partitive indefinite NPs can also be given. Even though the existence of a particular referent is not necessarily presupposed in this case, what is presupposed is the existence of a particular set of referents.

² It is important to keep in mind that the satisfaction of the existence presupposition in itself is not a sufficient condition for an expression to count as given. It must also have an explicit discourse antecedent. For instance, the first occurrence of *Honza* in (4b) is not given even if the discourse participants know the person to whom the proper name refers.

- b. DESTRESS-GIVEN: A post nuclear given phrase is prosodically non-prominent.

HEAD-t-R is responsible for the observed realization of t-level stress at the right edge. DESTRESS-GIVEN is a higher ranking constraint that ensures that given elements in the sense of presupposed discourse-salience, as described in the previous section, do not receive t-level stress called for by HEAD-t-R. By virtue of ranking higher, this constraint simply overrides and shifts the accent to another nearby position. It has been observed as early as Daneš (1957) that stress shift is an option to achieve this destressing of given elements in Czech.

2 Two Approaches to Deriving Word Order Alternations in Czech

Kučerová (2007, 2012) makes the strong claim that, for a number of Slavic languages, including Czech, given elements must linearly precede new elements within a propositional domain.⁴ This is due to a G(ivenness)-operator which is present in the LF of every propositional domain (Kučerová 2012). The G-operator adds a givenness⁵ presupposition to all elements that asymmetrically c-command it and thus “partitions” the domain into a given and a new area.

This kind of partition approach predicts that any word order in which a given element is preceded by a new element within the relevant domain will be ruled out. This is because, without a partition, any insertion of the G-operator would either add a givenness presupposition to a new element (leading to a presupposition failure) or leave a given element without a presupposition (leading to a violation of Heim's (1991) Maximize Presupposition principle). If this partitioning requirement is not satisfied in the basic word order, scrambling can be used to amend it. Scrambling is, however, restricted by an economy principle: changing the basic word order is allowed only if it yields an interpretation that would not be

⁴ According to Kučerová (2012:14), the relevant domain can be the finite clause, but it can also be smaller: if a tense auxiliary is present, its complement is the relevant domain. For all materials tested in this study, we made sure that all crucial constituents were within one domain.

⁵ In the version proposed by Kučerová for Czech, as described in Section 1.1. See Šimik and Wierzba (under review) for a detailed and critical discussion of Kučerová's proposal.

available otherwise. In what follows, we will evaluate the theory both with and without this additional economy assumption where different predictions emerge.

In the prosodic account that we are proposing, word order alternations arising from givenness are due to prosodic well-formedness, in the way described in the previous section. In light of the recent literature, we pursue the idea that word order changes can also be used to satisfy prosodic well-formedness constraints (cf. Féry 2013, among others). The DESTRESS-GIVEN constraint thus interacts with some additional word order constraints to yield output linear orders where a given element is effectively moved away from the rightmost position, thus satisfying HEAD-*t*-R and DESTRESS-GIVEN simultaneously.

For our simple DESTRESS-GIVEN constraint to be satisfied, it is enough that a given element is simply not stressed, either by stress shift or by occurring in a different position than the stressed *t*-final position. Therefore, we do not expect to find any interactions regarding the given/newness of other elements solely based on this constraint. Given the availability of stress shift, we expect that givenness-based word order alternations are optional, however, the details regarding the exact nature and interaction between such prosodic and word order constraints were not sought to be investigated by the experiments reported here.

3 Experiments

We conducted acceptability judgment experiments to test the predictions of the two approaches. We report the results of two experiments here that we ran together within one experimental set-up.

Auditory stimuli were used, since the prosody of the materials had to be controlled. Precisely, stimulus sentences were all recorded by a native speaker of Czech with pitch accents on all phrases where the rightmost was the most prominent, instantiating default sentence stress (as in (5) above). In the experiment, each stimulus sentence was presented as a response to a context utterance (read by two different native speakers), forming a short dialogue. A Latin-Square design was used, so that each participant saw each item in only one of the conditions. Forty-four students from the University of Olomouc participated in the experiment. They were instructed to rate the acceptability of the target sentence in relation to the given context on a scale from 1 (unacceptable) to 9

(completely acceptable). Each participant heard and rated 142 dialogues in a pseudo-randomized order. Thirty-two of the dialogues were for Experiment 1, thirty-two of the dialogues were for Experiment 2, and the rest were for other studies not reported here.

3.1 Experiment 1: What happens in an all-new context?

The goal of Experiment 1 was to find out which positions are acceptable for an object in an all-new context, in which no givenness-related movement is assumed to occur.

We used a within-subjects design with two independent variables: referentiality of the object (referential versus non-referential) as a between-items factor and position of the object (four levels, see below) as a within-items factor. The proportion of referential and non-referential subjects was balanced.⁶ We constructed 32 sets of items. None of the elements of the target utterance were mentioned in the preceding context utterance. An example item set illustrating this context and the four possible positions of the object in the target utterance is given in (7) and (8).⁷ Sentence stress (indicated by underlining) was always on the rightmost element.

⁶ Referential NPs used in the experiment include proper names and definite NPs. Non-referential NPs were always non-specific indefinites.

⁷ An anonymous reviewer points out that the object in (7) is ambiguous between accusative and nominative (in the referential condition, the object was ambiguous in 3 out of the 16 items; in the non-referential condition, it was ambiguous in 9 out of the 16 items). We performed a post-hoc analysis and found that items with a case-ambiguous object in the preverbal position were rated significantly lower than comparable items with a case-unambiguous object. As suggested by the reviewer, the relatively lower acceptability of these items might be due to a garden path effect: the case-ambiguous objects can temporarily be read as subjects. We come back to this issue in the discussion, where we show that the case ambiguity factor confounds with the referentiality factor.

- (7) C. Co ses dočetl v novinách?
'What did you read in the newspaper?'
- a. V Praze prý starší pár útočník napadl
in Prague allegedly older couple_{.ACC} offender_{.NOM} attacked
kvůli penězům.
because.of money
'In Prague allegedly some criminal attacked an older couple
because of money.' O S V PP
- b. V Praze prý útočník starší pár napadl kvůli penězům. S O V PP
- c. V Praze prý útočník napadl starší pár kvůli penězům. S V O PP
- d. V Praze prý útočník napadl kvůli penězům starší pár. S V PP Q
- (8) C. Píší něco zajímavého v novinách?
'Do they write anything interesting in the newspaper?'
- a. Včera prý Dalíka soudce poslal do vězení.
yesterday allegedly D_{.ACC} judge_{.NOM} sent to prison.
'Yesterday allegedly a judge sent Dalík to prison.' O S V PP
- b. Včera prý soudce Dalíka poslal do vězení. S O V PP
- c. Včera prý soudce poslal Dalíka do vězení. S V O PP
- d. Včera prý soudce poslal do vězení Dalíka. S V PP Q

The results are illustrated graphically in Figure 1 and summarized in Table 1.

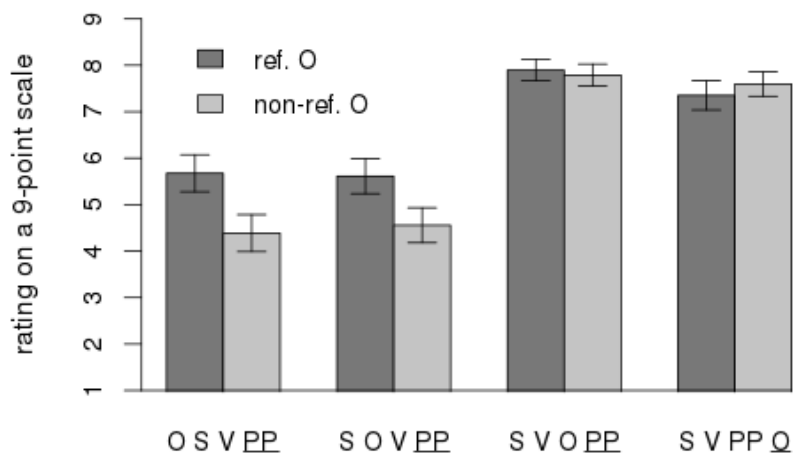


Figure 1: Mean ratings with 95% confidence intervals for Experiment 1

Word order	Referential object	Non-referential object
O S V <u>PP</u>	5.68 (0.20)	4.39 (0.20)
S O V <u>PP</u>	5.61 (0.19)	4.56 (0.19)
S V O <u>PP</u>	7.90 (0.11)	7.79 (0.12)
S V PP <u>O</u>	7.35 (0.16)	7.60 (0.13)

Table 1: Mean ratings for Experiment 1, standard errors in brackets

An ANOVA revealed significant main effects of object position ($F_1 = 160.61$; $F_2 = 86.70$) and referentiality of the object ($F_1 = 19.62$, $F_2 = 11.01$; all p 's < 0.001). There was also a significant interaction between the two factors ($F_1 = 29.50$, $p < 0.001$; $F_2 = 6.53$, $p = 0.002$). Post-hoc pairwise t-tests showed that non-referential objects were rated significantly lower than referential ones in initial and pre-verbal position (Holm-Bonferroni adjusted $p < 0.001$ for both pairs) but equally high in the other two positions, where no significant differences were found for any of the pairs of sentences.

2.2 Experiment 2: To which position can a given object scramble?

The goal of Experiment 2 was to test whether givenness influences word order options in Czech, and if it does, in which way.

If it is true that a partition between new and given elements is necessary in Czech sentences, a given object should only be acceptable in positions in which it precedes all new elements. The prosodic approach, on the other hand, predicts that any position should be fine for a given object as long as it does not carry main stress.

Again, we used a within-subjects design with two independent variables. The position of the object was manipulated in the same way as in Experiment 1, but this time, the object was given, i.e. it was mentioned in the context utterance. The second manipulated factor was givenness of the subject (given versus new). The verb and the PP were always new and did not contrast with anything in the context. In order to keep the number of factors manageable, referentiality was not manipulated in this experiment: all objects and subjects were referential. This also makes them given following Kučerová (2007, 2012), who requires that an element is both given and presupposed in order to count as given in Czech. All target utterances began with the words *protože prý* ('because

allegedly') in order to avoid potential interferences from the left-peripheral position, which might trigger some special information-structural interpretation. We assume that these two clause-initial elements are not relevant for the predictions in any other way because they cannot be given/new in a non-trivial way. We constructed 32 items. An example item set with a new subject is shown in (9) and an example with a given subject in (10). As before, given elements are in boldface and sentence stress is marked by underlining.

- (9) C. Zjistil jsi, proč dnes sekretářka tak nadávala?
'Did you find out why our secretary was so angry today?'
- a. Protože prý **sekretářku** Karel poslal do obchodu.
 because allegedly secretary K. sent to store
'Because allegedly K. sent the secretary to the store.' O S V PP
- b. Protože prý Karel **sekretářku** poslal do obchodu. S O V PP
- c. Protože prý Karel poslal **sekretářku** do obchodu. S V O PP
- d. Protože prý Karel poslal do obchodu **sekretářku**. S V PP O
- (10)C. Zjistil jsi, proč dnes sekretářka tak nadávala na Karla?
'Did you find out why our secretary was so angry with K. today?'
- a. Protože prý **sekretářku Karel** poslal do obchodu.
 because allegedly secretary K. sent to store
'Because allegedly K. sent the secretary to the store.' O S V PP
- b. Protože prý **Karel sekretářku** poslal do obchodu. S O V PP
- c. Protože prý **Karel** poslal **sekretářku** do obchodu. S V O PP
- d. Proto že prý **Karel** poslal do obchodu **sekretářku**. S V PP O

When applied to our experimental materials, the partition approach predicts that only the object-initial structure will be acceptable when the subject is new. When the subject is given, the predictions depend on whether an economy condition is assumed to be active in Czech scrambling. If it is, the object is expected to move to the position preceding the (new) verb, but following the (given) subject, since this is the minimal movement necessary for establishing a partition. If no economy condition is assumed, the initial position should also be acceptable. In any case, an interaction between object position and the givenness status of the subject is expected under the partition approach.

In contrast, the prosodic approach does not predict such an interaction: only the position in which the given object is in sentence-final position,

carrying sentence stress should be unacceptable, irrespective of the givenness status of the subject.

The results are illustrated in Figure 2 and summarized in Table 2.

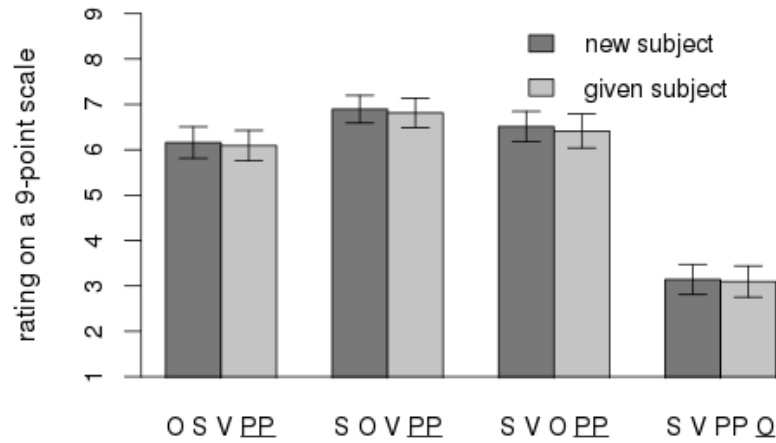


Figure 2: Mean ratings with 95% confidence intervals for Experiment 2

Word order	Given subject	New subject
O S V <u>PP</u>	6.09 (0.17)	6.16 (0.17)
S O V <u>PP</u>	6.81 (0.16)	6.89 (0.15)
S V O <u>PP</u>	6.41 (0.19)	6.51 (0.17)
S V PP <u>Q</u>	3.10 (0.17)	3.14 (0.17)

Table 2: Mean ratings for Experiment 2, standard errors in brackets

An ANOVA showed a significant main effect of object position ($F_1(1,43) = 132.90$, $F_2(1,31) = 151.87$, all p 's < 0.001). The givenness of the subject did not have a main effect ($F_1 = 0.42$, $p = 0.52$; $F_2 = 0.22$, $p = 0.64$) and did not interact with the other factor ($F_1 < 0.001$, $p = 0.95$; $F_2 = 0.01$, $p = 0.92$). A post-hoc analysis showed that all four levels of the object position factor differed significantly from each other, with S V PP O $<^*$ O S V PP $<^{**}$ S V O PP $<^{**}$ S O V PP (**Holm-Bonferroni adjusted $p = 0.001$; $*p < 0.05$).

3.3 Discussion

As for the Experiment 1, we interpret the results as an indication that there are two fully acceptable word orders in Czech in the absence of any givenness-related movement: S V PP O and S V O PP. We assume that both orders can be base-generated. When the object is scrambled to a position further to the left, acceptability decreases significantly. At the same time, a referentiality effect shows up for these orders, in that the acceptability decrease is larger for non-referential than for referential objects.

Yet, upon a closer observation we found that this referentiality effect is partly due to the confounding factor of case ambiguity (we are grateful to an anonymous reviewer for drawing our attention to this factor; see also footnote 7). We found that the items in which the object was ambiguous between accusative and nominative case were rated as significantly less acceptable than the items in which the object was unambiguously accusative. Importantly, there were many more non-referential case-ambiguous objects (9 out of 16) than referential ones (3 out of 16). The high proportion of such items in the non-referential condition contributed to the relatively low acceptability of the whole non-referential condition. Indeed, after removing the case-ambiguous items from the analysis we find no significant difference between the acceptability ratings in the referential and non-referential pre-verbal condition. However, this step also decreases the number of items and thus the statistical power and it is unclear whether the observed contrast can be fully reduced to an effect of the confounding factor of case ambiguity or whether a part of the contrast has to be attributed to a genuine referentiality effect: a trend for higher acceptability of referential objects in pre-verbal position was found both within the ambiguous and unambiguous items. This remains to be tested in a study with a more careful control of the ambiguity factor.

The results of Experiment 2 confirm the prediction of the prosodic approach: S V PP O is the only word order that is clearly unacceptable, which was distinguished from the other candidates by the fact that the given object carried sentence stress. The prosodic approach does not have anything to say about the significant differences between the other conditions. However, these were very small numerically. With ratings consistently higher than 6 on a 9-point scale, we believe that all three orders with the object in non-final position should be considered

acceptable options and an adequate model of Czech grammar should be able to generate them. If we are right in our assumption that S V O PP is a word order that can be base-generated, it is particularly interesting that this structure is also acceptable when the object is given: this means that scrambling is possible, but not obligatory, for given elements if they are not in a position to receive sentence stress to begin with.

The main prediction of the partition approach was not borne out: no interaction was found between the givenness status of the subject and the position of the given object. In fact, givenness of the subject did not have any effect whatsoever, which is unexpected under the view that a partition between all given and all new items is the crucial requirement for acceptability. For the items with a new subject, the fact that S O V PP and S V O PP were both rated better than O S V PP clearly contradicts the prediction that the only acceptable position for the given object should be one where it precedes all other (new) elements. Within the items with a given subject, the fact that S O V PP is the most acceptable order is expected under a partition approach with an economy condition. However, the rather marginal size of the acceptability difference to the second- and third-best options makes it doubtful that a presupposition failure or a violation of Maximize Presupposition should be involved here, as the partition approach in Kučerová's implementation in terms of a G-operator would predict. We conclude that a given-new partition is not a relevant condition on the acceptability of Czech sentences.⁸

⁸ An anonymous reviewer points out that the givenness of the subject might be accommodated (drawing a comparison with existence presupposition accommodation in definite NPs). If that were the case, the participants would somehow come to believe that the new subject was in fact mentioned earlier in the discourse (prior to the context to which they were exposed). If new subjects were indeed systematically interpreted as given, the lack of an interaction between subject givenness and object position would be expected. Such an explanation needs support by independent evidence. At this point, we can only point out that we found no such evidence in our reaction time data: the participants did not take significantly more time to rate the new-subject items than they needed for the given-subject items. This is unexpected, since accommodation needs time, as was first experimentally shown by Haviland and Clark (1974) (see also Šimík and Wierzba under review for a reaction time effect found for uniqueness presupposition accommodation in Czech).

4 Conclusion and open issues

In this paper, we aimed to distinguish empirically between two approaches to Czech scrambling. The theory proposed in Kučerová (2007) assumes a direct link between syntax and information structure by requiring a partition between given and new elements. We did not find evidence for this requirement: any position without sentence stress is fine for a given object, even if it follows a new element. The prosodic approach assumes a direct link between prosody and information structure in form of the DESTRESS-GIVEN constraint, and a direct link between syntax and prosody in form of the HEAD-t-R constraint. An interaction between syntax and information structure is established only in an indirect way. Our results are consistent with the prosodic theory, but it is clearly not sufficient to explain all the contrasts (or lack thereof) found in the results. Strictly speaking, the prosodic theory over generates and an adequate model of the results would ultimately have to refer to additional rules and/or constraints.

Consider first the most robust contrast found in Experiment 1: in all-new sentences, pre-verbal positions of the object were less acceptable than post-verbal positions. The prosodic theory itself predicts no such contrast: in none of the conditions was DESTRESS-GIVEN (or any other prosodic constraint) violated. The contrast could follow from an economy constraint prohibiting unmotivated movement (of the kind argued for e.g. in Reinhart 2006), assuming that the pre-verbal position is derived by scrambling. A relevant motivation for such movement could, for instance, be the satisfaction of the prosodic constraint DESTRESS-GIVEN. Since this constraint is satisfied by the base-generated order, there is no reason for scrambling, a consequence of which is that the conditions with the pre-verbal object were rated as less acceptable. Unfortunately, this reasoning is problematic with respect to the results found in Experiment 2. The main result of this experiment was that the scrambling of the given object is just as acceptable as keeping it in situ: – as long as it is not placed clause-finally to receive main stress. Under our assumptions, there is a base-generated order that satisfies DESTRESS-GIVEN (the O PP order), and, as such, scrambling should be unmotivated and therefore prohibited, contrary to the observed facts.

Furthermore, it seems as though given expressions, as opposed to new ones, are allowed to scramble freely, provided that independent

constraints are not violated. This difference between given and new elements does not follow from the prosodic theory either. Although we did not find a direct interaction between givenness and word order in the form of a partitioning requirement, this observation might make it necessary to introduce a connection between givenness and the degree of word order flexibility. Another possibility potentially compatible with the view that givenness does not directly relate to syntax is that scrambling is not conditioned or supported by givenness but rather by some other factor(s). As discussed in Section 3.3, case ambiguity and possibly also referentiality influences the acceptability of objects in pre-verbal positions. In Experiment 1, we saw a significant acceptability advantage for case-unambiguous objects in pre-verbal condition and a similar trend for referential objects. Since all the objects in Experiment 2 were referential, we cannot exclude the possibility that referentiality might have been a relevant licensing factor for scrambling there. More research is needed to establish the impact of these additional factors on Czech scrambling.

Further, from a prosodic perspective as well, we are far from having exhausted relevant possibilities regarding the realization of preferred and dispreferred options that we have considered. Finer and further prosodic distinctions such as rules governing minor or prosodic phrase construction, phonological phrase-internal organization, or focus realization when taken separately from the realization of givenness, may impose additional restrictions on the well-formedness of some of the relevant structures about which we may be unaware. The investigation of factors such as these warrant hypothesis testing in their own right.

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