NPFL123 Dialogue Systems 2. Data & Evaluation

https://ufal.cz/npfl123

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Before you build a dialogue system

Two significant questions, regardless of system architecture:

1) What data to base it on?

- even if you handcraft, you need data
 - people behave differently
 - you can't enumerate all possible inputs off the top of your head
- ASR can't be handcrafted always needs data

2) How to evaluate it?

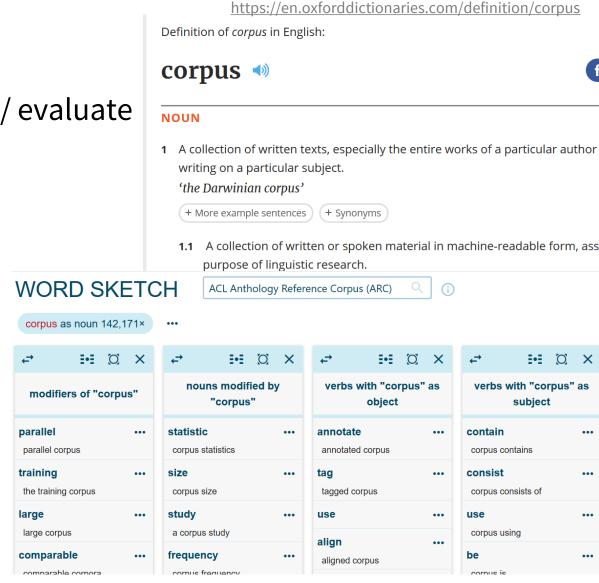
- is my system actually helpful?
- did recent changes improve/worsen it?
- actually the same problem as data
 - you can't think of all possible ways to talk to your system





Data: Corpus (pl. Corpora)

- Corpus = collection of (linguistic) data
 - assuming access for automatic processing
 - used to train your system / inform yourself / evaluate
 - also called dataset
- Some of them are released openly
 - usage rights depend on a license
 - e.g. Creative Commons
 - BY (attribution) SA (share alike) –
 NC (non-commercial) ND (no derivatives)
- Useful for linguistic research/description, too

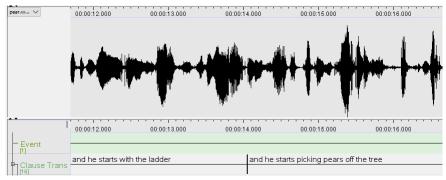


https://app.sketchengine.eu/#open

Dialogue Corpora/Dataset Types

- modality: written / spoken / multimodal
- data source:
 - human-human conversations
 - real dialogues
 - scripted (e.g. movies)
 - human-machine (talking to a dialogue system)
 - automatically generated ("machine-machine")
- domain
 - closed/constrained/limited domain
 - multi-domain (more closed domains)
 - open domain (any topic, chitchat)

https://tla.mpi.nl/tools/tla-tools/elan/



INDY: Let's get out of here!

MARION: Not without that piece you want!

INDY: It's here?

Marion nods, kicks aside a burning chair. Another burning beam falls from the roof. Indy close to him protectively.

INDY: Forget it! I want you out of here. Now! He begins dragging her out.

MARION: pointing. There! She breaks away from him, darts back and picks the hot medal loose cloth of her blouse.

INDY: Let's go!

MARION: (looking around) You burned down my place!

INDY: I owe you plenty!

(Walker et al., 2012)

https://www.aclweb.org/anthology/L12-1657/

Scenario:

Determine the type of aircraft used on a flight from Cleveland to Dallas that leaves before noon.

x02011sx: may i see all the flights from cleveland to, dallas

x02021sx.sro: can you show me the flights that leave before noon, only

x02031sx.sro: could you sh- please show me the types of aircraft used on these flights

Dialogue Data Collection

Typical options:

- in-house collection using experts (or students)
 - safe, high-quality, but very expensive & time-consuming
 - free talk / scripting whole dialogues / Wizard-of-Oz(→)

web crawling

- fast & cheap, but typically not real dialogues
 - may not be fit for purpose
- potentially unsafe (offensive stuff)
- need to be careful about the licensing
- crowdsourcing (→)
 - compromise: employing (untrained) people over the web

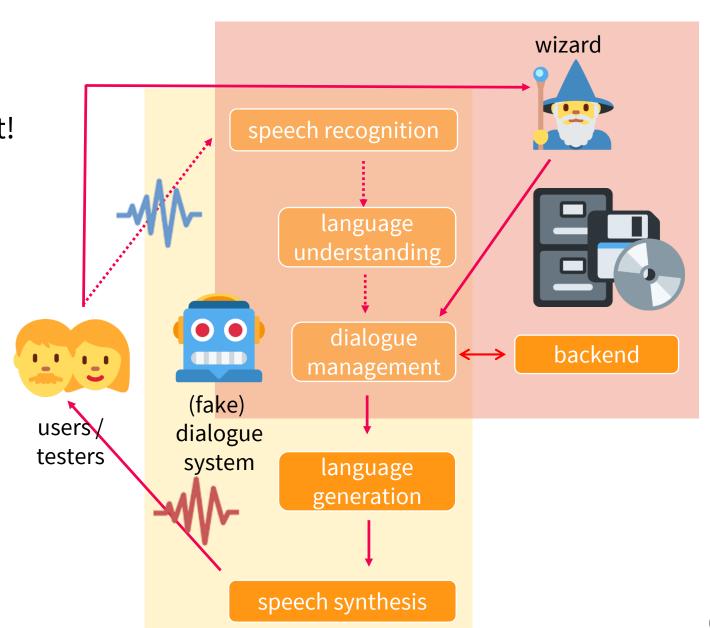






Wizard-of-Oz (WoZ)

- for in-house data collection
 - also: to prototype/evaluate a system before implementing it!
- users believe they're talking to a system
 - different behaviour than when talking to a human
 - typically simpler
- system in fact controlled
 by a human "wizard" (=you)
 - typically selecting options (free typing too slow)



Crowdsourcing



hire people over the web

- create a webpage with your task
 - data collection / evaluation
- no need for people to come to your lab
- faster, larger scale, cheaper
- platforms/"marketplaces"
 - Amazon Mechanical Turk
 - Prolific

Appen (formerly FigureEight/CrowdFlower)

Alright, a riv

Using the following information:

from=<u>Penn Station</u>, to=<u>Central Park</u>

Please confirm that you understand this user request: yes i need a ride from Penn Station to Central Park

Operator (your) reaction:

Your reply is missing the following information: Central Park

Alright, a ride from Penn Station, let me see.

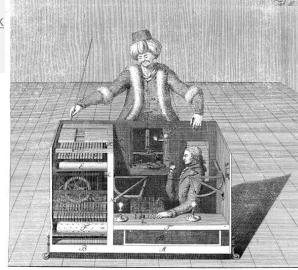
Respond in a natural and fitting English sentence.

(Dušek & Jurčíček, 2016)

https://api.semanticscholar.org/CorpusID:15546788

problems

- can't be used in some situations (physical robots, high quality audio...)
- crowd workers tend to game the system noise/lower quality data
- a lot of English speakers, but forget about e.g. Czechs



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Corpus Annotation

- more often than not, you'll need more than just recordings
- annotation = labels, description added to the collected data:
 - transcriptions (textual representation of audio, for ASR&TTS)
 - semantic annotation such as dialogue acts (NLU)
 - named entity labelling (NLU)
 - other linguistic annotation: part-of-speech, syntax typically not in DSs
- getting annotation
 - similar task as getting the data itself
 - DIY / hiring experts
 - crowdsourcing
 - (semi-)automatic annotation

I want to fly from <u>Boston</u> to <u>Dallas</u> on <u>Monday morning</u>.

request(from=Boston,to=Dallas,date=Mon,daytime=morn)

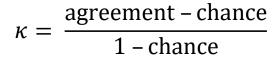
• use rules + manual fixes, annotate small dataset & use machine learning for the rest

Inter-annotator Agreement (IAA)

- annotation is inherently ambiguous
 - people sometimes don't even hear the same thing
 - let alone interpret the same semantics
- need to test if it's reasonably reliable
 - measuring IAA
 - 2 or more people annotate/transcribe the same thing
 - need to account for agreement by chance
 - transcriptions too many options (words) no big deal
 - NER just a few categories (e.g. 7) may play a role
- typical measure: **Cohen's Kappa** $(0 < \kappa < 1)$
 - for categorial annotation
 - 0.4 ~ fair, >0.7 ~ great

https://twitter.com/CloeCouture/status/996218489831473152 https://www.vox.com/2018/5/15/17357684/yanny-or-laurel-audio





Corpus Size

- Size matters here
 - need enough examples for an accurate model
 - depends on what and how you're modelling
- Speech 10s-100s of hours
- NLU, DM, NLG
 - handcrafting 10s-100s of dialogues may be OK to inform you
 - simple model/limited domain 100s-1000s dialogues might be fine
 - open domain sky's the limit
- TTS single person, several hours at least

Available Dialogue Datasets

- There's a number of research datasets available
 - typically built as part of various research projects
 - license: some of them research-only, some completely free
- Drawbacks:
 - domain choice is rather limited
 - size is very often not enough big AI firms have much more
 - vast majority is English only
 - few free datasets with audio
 - but there are non-dialogue ones (see http://www.openslr.org/)



https://mobile.twitter.com/yoavgo/status/1467633831465394181

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Dialogue Datasets: Human-Machine

Good for NLU, state tracking

- not good for learning the whole dialogue (you'd just replicate the original system)
- Dialogue state tracking challenge (DSTC)
 - DSTC1 bus schedules
 - DSTC2/3 Cambridge restaurants
- Clinc 10 domains + "out-of-scope"
 - crowdsourcing individual turns
- ATIS flight booking
 - WoZ collection, very old (1990's)

can i travel to france as far as safety goes = travel_alert
i need your help finding my lost phone = find_phone
read me cat trivia = fun_fact
what is the balance in my pnc account = balance

Clinc (Larson et al., 2019)
https://www.aclweb.org/anthology/D19-1131

DSTC1 – Let's go (Williams et al. 2013) https://www.aclweb.org/anthology/W13-4065/

SYS: East Pittsburgh Bus Schedules. Say a bus

route, like 28X, or say I'm not sure.

USR: 61A

SYS: Okay, 61A. To change, say go back. Where

are you leaving from?

USR: Downtown

SYS: Okay, downtown. You can always say go

back. And where are you going to?

S: Clown caféis a cheap restaurant in the north part of town. S: Which part of town? request(area)

U: Do you have any others like that, maybe in the south part of town? regalts(area=south) U: A cheap place in the north inform(area=north, pricerange=cheap)

DSTC2 – Restaurants (Henderson et al., 2014) https://www.aclweb.org/anthology/W14-4337/

Show flights from Boston to New York today
O O B-dept O B-arr I-arr B-date

ATIS https://chsasank.github.io/spoken-language-understanding.html

Spontaneous:

- Switchboard, Callfriend
 - phone conversations, topic given (Switchboard) or unrestricted (Callfriend)

[backchannel]

Constrained:

- Walking around, Verbmobil, DSTC4/5
 - tasks: navigation, meeting scheduling, tourist guide
- many more (debates, games...)

Scripted:

- Open Subtitles, Cornell Movies
 - movie subtitles/scripts from the web
 - caveats: swearing, lost visual context

[backchannel] B.22 utt1: *Uh-huh.* / [statement, non-opinion] A.23 utt1: *I work off and on just temporarily and usually find friends to babys* [statement, non-opinion] A.23 utt2: {C but } I don't envy anybody who's in that < laughter> situation to

B.24 utt1: *Yeah.* /

Callfriend: https://ca.talkbank.org/access/CallFriend/
Verbmobil:

https://www.phonetik.uni-muenchen.de/Bas/BasVM1eng.html

DSTC4: http://www.colips.org/workshop/dstc4/

HOLDEN

Don't move.

LEON

Sorry.

He tries not to move, but finally his lips can't help a sheepish smile.

LEON
I already had I.Q. test this year...
but I don't think I never had a...

HOLDEN
Reaction time is a factor in this so
please pay attention. Answer as quickly
as you can.

LEON Uh... sure...

Blade Runner script
http://www.dailyscript.com/
scripts/blade-runner_shooting.html

(Lison & Meena, 2016)

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https://ieeexplore.ieee.org/abstract/document/7846272

Datasets: Human-Human Written

https://www.reddit.com/r/ukpolitics/comments/as4bbr

- easier to get than spoken
 - caveats: specific language, may be offensive
- Spontaneous:
 - Twitter (closed API), Reddit (https://pushshift.io/)
 - large, very messy
 - DailyDialog
 - language learning sites cleaner, smaller

(Li et al., 2017) http://arxiv.org/abs/1710.03957

- Constrained:
 - Ubuntu Dialogue (>1M dialogues, Ubuntu Chat)
 - MultiWOZ
 - 10k dialogues, with detailed annotation
 - restaurants, hotels, tourist attractions, trains...
 - other: Taskmaster, Schema-guided...

```
Saeveo 93 points · 11 hours ago
Are they anti-Brexit? Maybe they should have led with that then?
 Reply Share Report Save
   sitdeepstandtall It will be a shitshow 74 points · 6 hours ago
   Here's their website. The one occurrence of the world "Brexit", is to bem
   simply haven't taken a position on it, which is infuriating.
   Reply Share Report Save
      helpnxt Score hidden · 2 hours ago
     Left Labour because of racist environment and lack of clarity on Brex
       racism and fail to layout your own Brexit views. 200 IQ indeed.
       Reply Share Report Save
      CannonLongshot 17 points · 5 hours ago
     Infuriating, and also an identical approach to Corbyn's own.
       Reply Share Report Save
         StickmanPirate Vote Tory for callous incompetence Score hidden · 4 hours
         Corbyn has proposed a solution that the EU seems to accept. How
          what Corbyn has done?
```

(Budzianowski et al., 2018)
https://www.aclweb.org/anthology/D18-1547
http://dialogue.mi.eng.cam.ac.uk/index.php/corpus/

{'train': {'semi': {'arriveBy': '21:15', 'day': 'sunday'}}}

I need a train leaving on a Sunday and arriving by 21:15.
Okay, I can help you with that. Where will you be traveling?
From London Kings Cross to Cambridge.
TR1681 will arrive at 20:08, would that work for you?

Yes, that sounds good. Please book a ticket on TR1681 for 6 people for me. The booking was successful, your reference number is EAWIQ7HX. Is there anything else I can help you with?

Dialogue Datasets: Machine Generated

- Fake, but still good for testing
 - can the model learn a dataset of this complexity?
- Can be generated in any size
- Facebook bAbI
 - various tasks, mainly inference
 - auto-generated restaurant dialogues
- SimDial
 - auto-generating dialogues based on domain descriptions

https://arxiv.org/abs/1605.07683 https://research.fb.com/downloads/babi/ Hi! Hello, what can I help you with today? I'd like to book a table for six people in an expensive price range with British food. Task 1 I'm on it! Issuing API calls Where should it be? In London. Ok, let me look into some options for you. api call (British, London, Six, Expensive) Actually i would prefer for four. Task 2 *Sure. Is there anything else to update?* Updating API calls Ok let me look into some options for you. api call(British, London, Four, Expensive) * The Place R phone The Place phone * The Place R cuisine british * The Place R address The Place address * The Place R location london

(Zhao & Eskenazi, 2018)

https://arxiv.org/pdf/1805.04803.pdf https://github.com/snakeztc/SimDial

(Bordes et al., 2017)

Domain: Restaurant

Sys: Welcome to the restaurant recommendation system.

What do you need?

User (0.83): Hello robot. I am looking for a restaurant.

Sys: Which city are you interested in?

* The Place R availability four

User (0.75): I am in San Jose. And Korean. Uhm sorry, I

am interested in Chinese food.

Sys: I believe you said San Jose. I believe you said Chinese.

Sys: QUERY goal: restaurant food-pref: Chinese loca-

tion: San Jose

KB: RET restaurant: 17

NLG Datasets

- Needs specific annotation
 - other datasets typically not usable for NLG
 - unless you want to generate directly without explicit NLU & DM
- Cambridge RNNLG
 - restaurants, hotels, laptop, TVs
 - template-like
- E2E NLG
 - restaurants, bigger (50k instances)
 - more complex, more messy
- MultiWOZ (has the needed annotation)

there are 2 restaurant -s where no child -s are allowed in the moderate price range and serving basque food

?request(near)
where would you like it to be near to

(Wen et al., 2016) http://arxiv.org/abs/1603.01232

Loch Fyne is a kid-friendly restaurant serving cheap Japanese food.

Serving low cost Japanese style cuisine, Loch Fyne caters for everyone, including families with small children.



name [Loch Fyne], eatType[restaurant], food[Japanese], price[cheap], kid-friendly[yes]

Dialogue System Evaluation

- Depends on dialogue system type / specific component
- Types:
 - extrinsic = how the system/component works in its intended purpose
 - effect of the system on something outside itself, in the real world (i.e. user)
 - intrinsic = checks properties of systems/components in isolation, self-contained
 - **subjective** = asking users' opinions, e.g. questionnaires (~manual)
 - should be more people, so overall not so subjective ©
 - still not repeatable (different people will have different opinions)
 - objective = measuring properties directly from data (~automatic)
 - might or might not correlate with users' perception
- Evaluation discussed here is quantitative
 - i.e. measuring & processing numeric values
 - (*qualitative* ~ e.g. in-depth interviews, more used in social science)

Getting the Subjects (for extrinsic evaluation)



- Can't do without people
 - simulated user = another (simple) dialogue system
 - can help & give guidance sometimes, but it's not the real thing more for intrinsic
- In-house = ask people to come to your lab
 - students, friends/colleagues, hired people
 - expensive, time-consuming, doesn't scale (difficult to get subjects)
- Crowdsourcing = hire people over the web
 - much cheaper, faster, scales (unless you want e.g. Czech)
 - not real users mainly want to get their reward
- Real users = deploy your system and wait
 - best, but needs time & advertising & motivation
 - you can't ask too many questions

Extrinsic - Task-Oriented (Objective)

How to measure:

- 1) Record people while interacting with your system
- 2) Analyze the logs

Metrics:

- Task success (boolean): did the user get what they wanted?
 - testers with agenda → check if they found what they were supposed to
 - [warning] sometimes people go off script
 - basic check: did we provide any information at all? (any bus/restaurant)
- **Duration**: number of turns (fewer is better here)
- Other: % returning users, % turns with null semantics ...



Extrinsic – Task-Oriented (Subjective)

- Questionnaires for users/testers
 - based on what information you need
- Question types
 - Open-ended qualitative
 - Yes/No questions
 - **Likert scales** agree ... disagree (typically 3-7 points)
 - with a middle point (odd number) or forced choice (even number)
- Question guidelines:
 - easy to understand
 - not too many
 - neutral: not favouring/suggesting any of the replies



Extrinsic - Task-Oriented (Subjective)



Example questions:

- Success rate: Did you get all the information you wanted?
 - typically different from objective measures!
- Future use: Would you use the system again?
- **ASR/NLU**: Do you think the system understood you well?

System	# calls	Subjective Success Rate	Objective Success Rate
HDC	627	$82.30\%~(\pm 2.99)$	$62.36\%~(\pm 3.81)$
NBC	573	$84.47\%~(\pm 2.97)$	$63.53\%~(\pm 3.95)$
NAC	588	$89.63\%~(\pm 2.46)$	$66.84\% \ (\pm 3.79)$
NABC	566	$90.28\%~(\pm 2.44)$	$65.55\%~(\pm 3.91)$

(Jurčíček et al., 2012) https://doi.org/10.1016/j.csl.2011.09.004

- NLG: Were the system replies fluent/well-phrased?
- **TTS**: Was the system's speech natural?

Extrinsic - Non-Task-Oriented

Objective metrics:

- **Duration** most common, easiest to get
 - longer = better here
- other (non-standard):
 - % returning users
 - checks for users swearing vs. thanking the system

Subjective:

- Future use + other same as task-oriented (except task success)
- Likeability/Engagement: Did you enjoy the conversation?



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Intrinsic - ASR

Word error rate

ASR output (hypothesis) compared to human-authored reference

- ~ length-normalized edit distance (Levenshtein distance)
- sometimes insertions & deletions are weighted 0.5x
- can be >1
- assumes one correct answer

true: I want a **restaurant**ASR: want a **rest or rant**

WER = 1 + 2 + 1 / 4 = 1

Intrinsic - NLU

Slot Precision & Recall & F-measure (F1)

(F1 is evenly balanced & default, other F variants favor P or R)

precision
$$P = \frac{\# correct \ slots}{\# detected \ slots}$$
 how much of the identified stuff is identified correctly $R = \frac{\# correct \ slots}{\# true \ slots}$ how much of the identified stuff is identified at all

F-measure
$$F = \frac{2PR}{P+R}$$
 harmonic mean – you want both P and R to be high (if one of them is low, the mean is low)

true: inform(name=Golden Dragon, food=Chinese) P = 1/3NLU: inform(name=Golden Dragon, food=Czech, price=high) R = 1/2F = 0.2

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Intrinsic - NLU

- Accuracy (% correct) used for intent/act type
 - alternatively also exact matches on the whole semantic structure
 - easier, but ignores partial matches
- Again, one true answer assumed
- NLU on ASR outputs vs. human transcriptions
 - both options make sense, but measure different things!
 - intrinsic NLU errors vs. robustness to ASR noise

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Intrinsic - Dialogue Manager

- Objective measures (task success rate, duration) can be measured with a user simulator
 - works on dialogue act level
 - responds to system actions
- Simulator implementation
 - handcrafted (rules + a bit of randomness)
 - agenda-based (goal: constraints, agenda: stack of pending DAs)
 - n-gram models over DA/dialogue turns + sampling from distribution
- Problem: simulator quality & implementation cost
 - the simulator is basically another dialogue system



Intrinsic - NLG

- No single correct answer here
 - many ways to say the same thing
- Word-overlap with reference text(s): BLEU score

(Papineni et al., 2002) https://www.aclweb.org/anthology/P02-1040

- *n*-gram = span of adjacent *n* tokens
 - 1-gram (one word) = unigram, 2-gram (2 words) = bigram, 3-gram = trigram

Intrinsic - NLG

BLEU example:

output: The Richmond's address is 615 Balboa Street. The phone number is 4153798988

<u>ref1</u>: The number for Richmond is 4153798988, the address is 615 Balboa.

ref2: The Richmond is located at 615 Balboa Street and their number is 4153798988.

output: What price range would you like?

<u>ref1</u>: What is your price range?

ref2: What price are you looking for?

matching unigrams: the (2x), Richmond, address, is (2x), 615, Balboa, Street, . (only 1x!), number, 4153798988, What,

 $p_1 = 17/22$ price, range, you, ?

matching bigrams: The Richmond, address is, is 615, 615 Balboa, Balboa Street, number is,

 $p_2 = 10/20$ is 4153798988, 4153798988 ., What price, price range

 $p_3 = 5 / 18$, $p_4 = 2 / 16$, BP = 1, BLEU = 0.3403

match for current segment, sum over the whole corpus

- BLEU is not very reliable (people still use it anyway)
 - correlation with humans is questionable
 - never use for a single sentence, only over whole datasets

Intrinsic - NLG

Alternatives (not much):

- Other word-overlap metrics (NIST, METEOR, ROUGE ...)
 - there are many, more complex, but frankly not much better
- Slot error rate only for delexicalized NLG in task-oriented systems
 - delexicalized → generates placeholders for slot values

(Wen et al., 2015) http://aclweb.org/anthology/D15-1199

compare placeholders with slots in the input DA – WER-style

output: The <hotel> 's address is <addr> . The phone number is <phone> . ref: The number for <hotel> is <phone> , the address is <addr> .

- Diversity mainly for non-task-oriented
 - can our system produce different replies? (if it can't, it's boring)

 $D = \frac{\text{#distinct } x}{\text{#total } x}, \text{ where } x = \text{unigrams, bigrams, sentences}$

Dataset Splits



- Never evaluate on data you used for training
 - memorizing training data would give you 100% accuracy
 - you want to know how well your model works on new, unseen data
- Typical dataset split:
 - training set = to train your model
 - **development/validation set** = for evaluation during system development
 - this influences your design decisions, model parameter settings, etc.
 - test/evaluation set = only use for final evaluation
 - need sufficient sizes for all portions
- Cross-validation when data is scarce:
 - split data into 5/10 equal portions, run 5/10x & test on different part each time
- (also, never compare scores across datasets)
 - seems obvious, but people do it

Significance Testing



- Higher score is not enough to prove your model is better
 - Could it be just an accident?
- Need significance tests to actually prove it
 - Statistical tests, H₀ (**null hypothesis**) = "both models performed the same"
 - H₀ rejected with >95% confidence → pretty sure it's not just an accident
 - more test data = more independent results → can get higher confidence (99+%)
- Various tests with various sensitivity and pre-conditions
 - Student's t-test– assumes normal distribution of values
 - Mann-Whitney *U* test any ordinal, same distribution
 - Bootstrap resampling doesn't assume anything
 - 1) randomly re-draw your test set (same size, some items 2x/more, some omitted)
 - 2) recompute scores on re-draw, repeat $1000x \rightarrow \text{obtain range of scores}$
 - 3) check if range overlap is less than 5% (1%...)

Summary

- You need data (corpus) to build your systems
 - various sources: human-human, human-machine, generated
 - various domains
 - size matters
- Some models need annotation (e.g. dialogue acts)
 - annotation is hard, ambiguous need to check agreement
- Evaluation needs to be done on a test set
 - objective (measurements) / subjective (asking humans)
 - intrinsic (component per se)
 - ASR: WER, NLU: slot F1 + intent accuracy, NLG: BLEU
 - extrinsic (in application)
 - objective: success rate, # turns; subjective: likeability, future use (...)
 - don't forget to check significance
- Next week: linguistics of dialogue

Thanks

Contact us:

https://ufaldsg.slack.com/
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Skype/Meet/Zoom (by agreement)

Labs in 10 mins S4

Get the slides here:

http://ufal.cz/npfl123

References/Inspiration/Further:

Apart from materials referred directly, these slides are based on:

- Iulian V. Serban et al.'s Survey of corpora for dialogue systems (Dialogue & Discourse 9/1, 2018): https://breakend.github.io/DialogDatasets/
- Filip Jurčíček's slides (Charles University): https://ufal.mff.cuni.cz/~jurcicek/NPFL099-SDS-2014LS/
- Oliver Lemon & Arash Eshghi's slides (Heriot-Watt University): https://sites.google.com/site/olemon/conversational-agents
- Helen Hastie's slides (Heriot-Watt University): http://letsdiscussnips2016.weebly.com/schedule.html
- Wikipedia: <u>Cohen's kappa Levenshtein distance Word error rate</u>

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