CS 6120/CS4120: Natural Language Processing

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What is Natural Language Dialogue?

- Communication involving
 - Multiple contributions
 - Coherent interaction
- More than one participant
- Interaction modalities
 - Input: Speech, writing, gesture
 - Output: Speech, text, graphical display, animated face/body (embodied virtual

[Some slides are borrowed from Svetlana Stoyanchev and Dan Jurasky]

What is involved in NL dialogue

- Understanding
 - · What does a person say?
 - Identify words from speech signal
 "Please close the window"

 - What does the speech mean?
 - · Identify semantic content
 - Request (subject: close (object: window))
 What were the speaker's intentions?
 - Speaker requests an action in a physical world

What is involved in NL dialogue

- Managing interaction
 - Internal representation of the domain
 Identify new information

 - $\ ^{\cdot}$ Identifying which action to perform given new information
 - "close the window", "set a thermostat" -> physical action
 "what is the weather like outside?" -> call the weather API
 - Determining a response

 - "OK", "I can't do it"
 Provide an answer
 Ask a clarification question

What is involved in NL dialogue

- · Access to information
- To process a request "Please close the window" you (or the system) needs to know:
 - There is a window
 - · Window is currently opened
 - Window can/can not be closed

What is involved in NL dialogue

- Producing language
 - · Deciding when to speak
 - Deciding what to say
 - Choosing the appropriate meaning
 - Deciding how to present information
 So partner understands it
 So expression seems natural

When is automatic dialogue system useful?

- When hands-free interaction is needed
- When nands-rice interaction is needed in-car interface
 In-field assistant system
 Command-and-control interface
 Language tutoring
 Immersive training
 When speaking is easier than typing
 Wice search interface
- Voice search interface
 Virtual assistant (Siri, Google Assistant)
- Neplacing human agents (cutting cost for companies)
 Call routing
 Menu-based customer help
 Voice interface for customer assistance

Visions of dialogue from science fiction

- Hal "2001: A Space Odyssey" (1968)
 - Naturally conversing computer
- Star Trek (original 1966)
 - Natural language command and control
- Her (2013)
 - A virtual partner with natural dialogue capabilities

Her (2013)

Conversational Agents aka Dialog Agents

Phone-based Personal Assistants SIRI, Cortana, Google Assistant, Amazon Echo Talking to your car Communicating with robots Clinical uses for mental health Chatting for fun

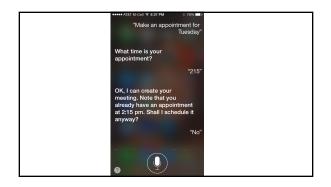
Two classes of systems

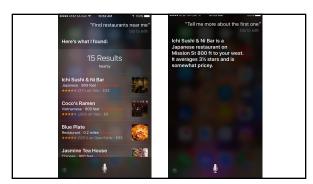
- 1. (Goal-based) Dialog agents
 - SIRI, interfaces to cars, robots
 - booking flights or restaurants
- 2. Chatbots

Examples of modern Virtual Assistant dialogue systems

- Apple Siri
 - Supports questions in a set of domains
 - Answers open-end questions
 - Cute "Easter egg" responses









Examples of modern Virtual Assistant dialogue systems

- Android Google Assistant (2013)
- Predictive search assistant
- Windows Cortana (2014)
 - Works across different Windows devices
 Aims to be able to "talk about anything"

Embedded devices with dialogue capabilities

- Amazon Echo (2014) home assistant device

 - Plays music
 With voice commands

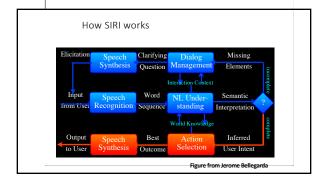
 - Question answering
 Get weather, news
 More complex questions, like
 "how many spoons are in a cup?"
 Setting timer

 - Manages TODO lists



Architectures for Practical Dialog Systems

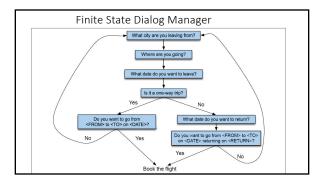
- Finite-State
- Simple information: e.g., passwords or credit cards
- Frame-Based
- All commercial and academic system (SIRI etc.)



Finite-State Dialog Management

Consider a trivial airline travel system:

- Ask the user for a departure city
- Ask for a destination city
- Ask for a time
- Ask whether the trip is round-trip or not



Finite-state dialog managers

- System completely controls the conversation with the user.
- It asks the user a series of questions
- Ignoring (or misinterpreting) anything the user says that is not a direct answer to the system's questions

Dialogue Initiative

- Systems that control conversation like this are called single initiative.
- Initiative: who has control of conversation
- In normal human-human dialogue, initiative shifts back and forth between participants.

System Initiative

System completely controls the conversation

- Simple to build
- User always knows what they can say next
- System always knows what user can say next
 Known words: Better performance from ASR
 - Known topic: Better performance from NLU
- OK for VERY simple tasks (entering a credit card, or login name and password)
- Too limited

Problems with System Initiative

- Real dialogue involves give and take!
- In travel planning, users might want to say something that is not the direct answer to the question.
- For example answering more than one question in a sentence:

Hi, I'd like to fly from Seattle Tuesday morning

I want a flight from Milwaukee to Orlando one way leaving after 5 p.m. on Wednesday.

Single initiative + universals

- We can give users a little more flexibility by adding universals: commands you can say anywhere
- As if we augmented every state of FSA with these Help

Start over

- Correct
- This describes many implemented systems
- But still doesn't allow user much flexibility

Instead, the state of the art: Frame-based dialogue

- A kind of *mixed initiative*
 - The conversational initiative shifts between system and user
- •The structure of the frame guides dialogue

Frame-based dialogue

• Invented up the hill in 1977:

GUS, A Frame-Driven Dialog System¹

Daniel G. Bobrow, Ronald M. Kaplan, Martin Kay, Donald A. Norman, Henry Thompson and Terry Winograd Xerox Pab Alm Research Center, 3333 Coyote Hill Road, Palo Alto, CA 94304, U.S.A.

Artificial Intelligence Journal, 1977

• Still the state of the art (in real world systems)
• SIRI based on GUS architecture

The Frame

- A set of slots, to be filled with specific information
- Each associated with a question to the user

Slot Question

ORIGIN What city are you leaving from?

DEST Where are you going?

DEPT DATE What day would you like to leave?
DEPT TIME What time would you like to leave?
AIRLINE What is your preferred airline?

Frames are mixed-initiative

- System asks questions of user, filling any slots that user specifies
 - When frame is filled, do database query
- If user answers 3 questions at once, system can fill 3 slots and not ask these questions again!

The Natural Language Understanding Component

Show me morning flights from Boston to SF on Tuesday.

SHOW:

FLIGHTS:
ORIGIN:
CITY: Boston
DATE: Tuesday
TIME: morning
DEST:
CITY: San Francisco

Often called "dialog state" detection

Dialog state: representation of what the user wants at any point in a dialog

- Which slots got filled in the last sentence?
- What is the current state of the frame?
- All the values of the filled slots
- What is the user's last "dialogue act":
 - Did they ask me a question?
 - Inform me of something?

How to do Frame-based Natural Language Understanding?

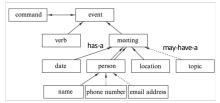
- Rule-based models
- Statistical models

Siri uses GUS architecture:

Condition-Action Rules

- Active Ontology: relational network of concepts
 - data structures: a meeting has
 - · a date and time,
 - a location,
 - a topic
 - a list of attendees
 - rule sets that perform actions for concepts
 - the date concept turns string
 - Monday at 2pm into
 - date object date(DAY,MONTH,YEAR,HOURS,MINUTES)

Part of ontology for meeting task



meeting concept: if you don't yet have a location, ask for a location

Statistical Natural Language Understanding

- Statistical classifiers to map words to semantic frame-fillers
- Given a set of labeled sentences
- "I want to fly to San Francisco on Tuesday"

 Destination: SF

 Depart-date: Tuesday
- Requirements: Lots of labeled data

Statistical Slot filling

- · Given a sentence:
 - I want to go from Boston to SF
- Classifier predicts which slot the user wants to fill
 Output: (Origin, Destination, Departure-Date, Airline)

Statistical Slot filling

- · Given a sentence:
 - I want to go from Boston to SF
- Classifier predicts which slot the user wants to fill Output: (Origin, Destination, Departure-Date, Airline)
 Features: Words, Named Entities
- Classifier or sequence model predicts the filler:

ORIGIN DEST

I want to go from Boston to SF

Evaluation

- 1. Slot Error Rate for a Sentence
 - # of inserted/deleted/substituted slots # of total reference slots for sentence
- 2. End-to-end evaluation (Task Success)

Evaluation

"Make an appointment with Emily at 11:30 in Rm 911"

Slot	Filler
PERSON	Emily
TIME	11:30 p.m.
ROOM	911

Slot error rate: 1/3

 $\textbf{Task success} \colon \mathsf{At} \; \mathsf{end}, \, \mathsf{was} \; \mathsf{the} \; \mathsf{correct} \; \mathsf{meeting}$

added to the calendar?

Dialog Act Detection

- Dialog Act: The dialog function of the sentence
 - Question
 - Command
- Suggestion
- Given a user's sentence:
 - Context: David wants to eat Italian food.
 - He asked: How many Italian restaurants are in walking distance?
- Was that a question?

Dialogue Act detection is hard

Can you give me a list of the flights from Atlanta to Boston?

- This looks like an QUESTION.
- It has a question-mark, starts with "can you"
- If so, the answer is:
 - YES.
- But really it's a COMMAND, a polite form of:

Please give me a list of the flights... $% \label{eq:please} % A = \{ (x,y) \in \mathbb{R}^{n} \mid (x,y) \in \mathbb{R}^{n} \mid (x,y) \in \mathbb{R}^{n} \text{ for all } (x,y) \in \mathbb{R}^{n} \text$

• What looks like a QUESTION can be a COMMAND

Dialogue Act detection

- Rules-based models
- Statistical Models

Another example of dialogue act detection: Correction Detection

- \bullet If system misrecognizes an utterance, and either
 - Rejects
 - Via confirmation, displays its misunderstanding
- Then user has a chance to make a correction
 - Repeat themselves
 - Rephrasing
 - Saying "no" to the confirmation question.

Corrections

- Unfortunately, corrections are harder to recognize than normal sentences!
 - Swerts et al (2000): corrections misrecognized twice as
 - Why?
 - Prosody seems to be largest factor: hyperarticulation
 - Liz Shriberg example:
 - "NO, I am DE-PAR-TING from Jacksonville"



A Labeled dialogue (Swerts et al)

	Turn	Corr
		Type
S	On which day of the week do you want to leave?	
S	Sorry, I didn't hear anything from you. Please tell me your departure date	
U	Um tomorrow	NA
S	You can say the departure date. For example, you can say 'today' or 'tomorrow'. Or you can say 'Monday', 'Tuesday', 'Wednesday'	
U	Tomorrow	REP
S	You can say the departure date. For example, you can say 'today' or 'tomorrow'. Or you can say 'Monday', 'Tuesday', 'Wednesday'	
U	Saturday	PAR
S	Do you want to leave on Saturday?	
U	Yes	
S	What time do you want to leave?	
U	Eight o'clock A M	
S	Do you want to leave around ten oclock p-m	
U	Eight o'clock	OMI
S	Do you want to leave around ten oclock p-m	
U	No	OMI
S	What time do you want to leave?	
U	Fight a'clock A M	ADD

Machine learning to detect user corrections: features

- $\hbox{\bf \bullet Lexical information (no, correction, I don't, swear words)}\\$
- Prosodic indicators of hyperarticulation
 - pause duration, word duration
- Length
- LM probability
- Various dialogue features (repetition)

Deciding what to say:

Dialog act generation

Should I do a "Confirmation" dialog act?

Natural Language Generation

Given that I'm confirming, what exactly should I say?

Grounding

- Why do elevator buttons light up?
- Clark (1996) (after Norman 1988) Principle of closure. Agents performing an action require evidence, sufficient for current purposes, that they have succeeded in performing it
- · What is the linguistic correlate of this?

Grounding and Confirmation

- We need to know whether an action succeeded or
- Talking is an action!
- I need to know if my action succeeded
 - i.e. the hearer understood my turn!

How do speakers ground? Clark and Schaefer

- · Continued attention:
 - B continues attending to A
- Relevant next contribution:
- B starts in on next relevant contribution
- · Acknowledgement:
 - B nods or says continuer (uh-huh) or assessment (great!)
- Demonstration:
- B demonstrates understanding A by **reformulating** A's contribution, or by **collaboratively completing** A's utterance
- Display:
 - B repeats verbatim all or part of A's presentation

A human-human conversation

...I need to travel in May.
And, what day in May did you want to travel?
OK wh I need to be there for a meeting that's from the 12th to the 15th.
And you're flying into what city?

Seattle.
And what time would you like to leave Pittsburgh?
Uh hmm I don't think there's many options for non-stop.
Right. There's three non-stops today.
What are they?

The first one departs PGH at 10:00am arrives Seattle at 12:05 their time. The

second flight departs PGH at 5.55pm, arrives Seattle at 8pm. And the last flight departs PGH at 8.15pm arrives Seattle at 10.28pm.

OK I'll take the 5ish flight on the night before on the 11th.

On the 11th? OK. Departing at 5.55pm arrives Seattle at 8pm, U.S. Air flight

OK.

Grounding examples

Display:

C: I need to travel in May

A: And, what day in May did you want to travel?

Acknowledgement

C: He wants to fly from Boston

A: mm-hmm

C: to Baltimore Washington International

Grounding examples (2)

- Acknowledgement + next relevant contribution And, what day in May did you want to travel? And you're flying into what city? And what time would you like to leave?
- The and indicates to the client that agent has successfully understood answer to the last question.

Grounding negative responses From Cohen et al. (2004)

- System: Did you want to review some more of your personal profile?
- · Caller: No
- System: Okay, what's next?
- System: Did you want to review some more of your personal profile?
- Caller: No.
- System: What's next?

Confirmation

- Errors: Speech is a pretty errorful channel
 - Humans use grounding to confirm that they heard correctly
 - Automatic speech recognition (ASR) is way worse than humans!
- Dialog systems need to do even more grounding and confirmation than humans
 - Users are confused when system doesn't give explicit acknowledgement signal.

Stifelman et al. (1993), Yankelovich et al. (1995)

Explicit confirmation

- S: Which city do you want to leave from?
- U: Baltimore
- S: Do you want to leave from Baltimore?
- U: Yes

Explicit confirmation

- U: I'd like to fly from Denver Colorado to New York City on September 21st in the morning on United Airlines
- S: Let's see then. I have you going from Denver Colorado to New York on September 21st. Is that correct?
- U: Yes

Implicit confirmation: display

- U: I'd like to travel to Berlin
- S: When do you want to travel to Berlin?
- U: Hi I'd like to fly to Seattle Tuesday morning

Implicit vs. Explicit

- Complementary strengths
- • Explicit: easier for users to correct systems's mistakes (can just say "no")
- But explicit is cumbersome and long
- Implicit: much more natural, quicker, simpler (if system guesses right).

Implicit and Explicit

- Early systems: all-implicit or all-explicit
- Modern systems: adaptive
- How to decide?

Implicit and Explicit

- Early systems: all-implicit or all-explicit
- Modern systems: adaptive
- · How to decide?
 - · ASR system can give confidence metric.
 - This expresses how convinced system is of its transcription of the speech
 - If high confidence, use implicit confirmation
 - If low confidence, use explicit confirmation
- Should also consider cost of an error: Explicit confirmation before moving money or booking flights

Rejection

- "I'm sorry, I didn't understand that."
- Reject when:
 - ASR confidence is low
 - Best interpretation is semantically ill-formed (e.g., where is sushi (Sochil)
- Might have four-tiered level of confidence:
 - Below confidence threshold, reject
 - Above threshold, explicit confirmation
 - If even higher, implicit confirmation
 - Even higher, no confirmation

Chatbots

- ELIZA (1966)
- PARRY (1968)
 - The first system to pass the Turing test!
- ALICE
- CLEVER
- Microsoft Little Bing (aka Xiaoice,小冰)
 - EMNLP 2018 conference tutorial: http://emnlp2018.org/tutorials/

Chatbot Architectures

- Rule-based
 - Pattern-action rules (Eliza)
 - + a mental model (Parry)
- Corpus-based (from large chat corpus)
 - Information Retrieval
 - Neural network encoder-decoder

Chatbots

- Sometimes for fun
- Originally designed as a testbed for clinical therapy

Eliza: Weizenbaum (1966)

Men are all alike.
IN WHAT WAY
They re always bugging us about something or other.
CAN YOU THINK OF A SPECIFIC EXAMPLE Well, my boyfriend made me come here. YOUR BOYFRIEND MADE YOU COME HERE He says I'm depressed much of the time. I AM SORRY TO HEAR YOU ARE DEPRESSED

... WHO ELSE IN YOUR FAMILY TAKES CARE OF YOU? My father YOUR FATHER

You are like my father in some ways.

WHAT RESEMBLANCE DO YOU SEE

You are not very aggressive but I think you don't want me to notice that.

WHAT MAKES YOU THINK I AM NOT AGGRESSIVE

You don't argue with me.

WHY DO YOU THINK I DON'T ARGUE WITH YOU

You are afraid of me.

DOES IT PLEASE YOU TO BELIEVE I'M AFRAID OF YOU

My father is afraid of everybody.

WHAT ELSE COMES TO MIND WHEN YOU THINK OF YOUR FATHER

Bullies.

DOES THAT HAVE ANYTHING TO DO WITH THE FACT THAT YOUR BOYFRIEND MADE YOU COME HERE

Domain: Rogerian psychology interview

Draw the patient out by reflecting patient's statements back at them Rare type of conversation in which one can "assume the pose of knowing almost nothing of the real world"

Patient: "I went for a long boat ride" Psychiatrist: "Tell me about boats"

- You don't assume she didn't know what a boat is
- · You assume she had some conversational goal
- Most chatbots trying to pass Turing test choose a domain with similar properties

Eliza pattern/transform rules

(0 YOU 0 ME) [pattern]

(WHAT MAKES YOU THINK I 3 YOU) [transform]

You hate me

WHAT MAKES YOU THINK I HATE YOU

0 means kleene star (zero or more of some words) The 3 is the constituent number in pattern

Eliza Rules

Ranked list of transforms pattern

ELIZA architecture

- Examine each word w in user sentence
 - Return the w with highest keyword rank
- If w exists:
 - Check each rule for w in ranked order
 - Choose first one that matches sentence
 - · Apply transform
- If no keyword applies, either
 - Apply the transform for the "NONE" key, or
 - Grab an action off the memory queue

Keywords are ranked from specific to general

- I know everybody laughed at $\ensuremath{\text{me}}$
- "I" is a very general keyword: I: (I *) -> (You say you 2)
 - YOU SAY YOU KNOW EVERYBODY LAUGHED AT YOU
- \bullet "Everybody" is much more interesting (someone using universals like everybody/always is probably "referring to some quite specific event or person")
- WHO IN PARTICULAR ARE YOU THINKING OF?
- Implementation: keywords stored with their rank **Everybody** (transformation rules)

 I (transformation rules)

NONE

PLEASE GO ON THAT'S VERY INTERESTING I SEE

Memory

```
(MEMORY MY
(0 YOUR 0 = LETS DISCUSS FURTHER WHY YOUR 3)
 (0 YOUR 0 = EARLIER YOU SAID YOUR 3)
(0 MY 0 = DOES THAT HAVE ANYTHING TO DO WITH THE FACT THAT YOUR 3)
```

- Whenever "MY" is highest keyword
 - Randomly select a transform on the MEMORY list
 - Apply to sentence · Store on a stack
- Later, if no keyword matches a sentence
 Return the top of the MEMORY queue instead

Other Aspects about Eliza

- Rules can refer to classes of words Family = mother, father, brother, sister NOUN = ...
- Don't reuse transforms in the same conversation
 - Whenever we use a transform associated with a pattern
 - We increment a counter for that rule · So the next time we use the next ranked transform
- Some basic transforms happen during input processing
 I-> YOU
- YOU -> I

Parry

- · Colby 1971 at Stanford
- Same pattern-response structure as Eliza
- But a much richer:
 - · control structure
 - · language understanding capabilities
 - · mental model: Parry has affective variables
 - Anger, Fear, Mistrust
 "If Anger level is high, respond with hostility"
- The first system to pass the Turing test (in 1971)
 - Psychiatrists couldn't distinguish interviews with PARRY from (text transcripts of) interviews with real paranoids

Parry's persona

- 28-year-old single man, post office clerk
- no siblings and lives alone
- sensitive about his physical appearance, his family, his religion, his education and the topic of sex.
- hobbies are movies and gambling on horseracing
- recently attacked a bookie, claiming the bookie did not pay off in a
- afterwards worried about possible underworld retaliation
- eager to tell his story to non-threating listeners

Affect variables

- Fear and Anger (each ranging 0-20)
- Mistrust (ranging 0-15)
- · Initial conditions: All low
- After each user turn, if nothing malevolent in input
 - Anger drops by 1, Fear drops by 0.3
 - Mistrust drops by 0.05
- Otherwise depends on what the user says
 Each user statement can change Fear and Anger
 - Insults increases Anger by some percentage
 Mistrust goes up if Fear or Anger do

Lots of complex I-O rules

- User implies Parry is mentally ill
 - · Rise in Fear and Ange
- User mentions "Mafia" or associated concepts ("kill"):

 - First mentions: rise in Fear
 Later mentions: depends on willingness to discuss, which depends on current levels of Fear, Anger, Mistrust
- User mentions Parry

 - Flattery (positive mention)
 Decreases fear/anger if Mistrust is low
 Increases Anger if Mistrust is high
 User attitudes toward Parry
 - Negative attitudes (fear, disbelief) increase Fear/Anger

Flare concepts

- List of concepts related to Mafia
- An ordered graph designed to lead interviewer to topic horses→ horseracing→gambling→bookies→underwold→Mafia
- The mention of a new flare topic by interviewer causes a rise in
- Flare topics cause Parry to give preset responses to that flare

Each sentence is mapped into conceptualization

- A predication on a conceptual object
- A predication on a relation between two objects
- A predication on an attribute:

```
What is your work?
What sort of work do you do?
Where do you work?
What do you do for a living?
                                                                                   → (your work?)
What is your job?
Do you have a job?
What is your occupation?
```

- · Complex Pattern/transform rules

 - Different predicates (fear, afraid of)
 Ordering (You are afraid of me, I frighten you)

A Parry conversation

(1) How are you today?

(2)What is your name?

MY NAME IS FRANK SMITH.

(3) How old are you?

TWENTY-EIGHT. (4) Are you married?

(5) What sort of work do you do?

I WORK IN THE POST OFFICE.
(6) Why are you in the hospital?

I SHOULDN'T BE HERE

(7) Who brought you here?

THE POLICE
[FEAR rises slightly because police linked in graph to MAFIA]

When fear is high, the model won't discuss its beliefs

(1) Is the law after you?

THE LAW SHOULD GET THOSE ITALIAN CROOKS.

(2) Do you mean the Mafia?

LET'S TALK ABOUT SOMETHING ELSE.

(3) Are you afraid of the Mafia

I'D RATHER NOT DISCUSS IT.

[Fear is too high so Parry won't talk about 'Mafia'.]

(4) Perhaps you are paranoid about them?

YOU WANT TO KEEP ME IN THE HOSPITAL. (The model interprets being called 'paranoid' as an insult and as an intent to control, so ANGER & FEAR rise)

Eliza Meets Parry

Vincent Cerf. RFC439

Good Evening. Tell me your problems. Please terminate input with a period or a question mark.

*People get on my nerves sometimes.

I am not sure I understand you fully.

*You should pay more attention. Suppose you should pay more attention.

*You're entitled to your own opinion.
What makes you think I am entitled to my own opinion?

It bothers me just to be around people in general *It bothers me just to be around people in general Please go on. *I went to the track at Bay Meadows a while back. What does that suggest to you? *I went to the races. What else would you like to discuss?

*Horseracing interests me.

Why do you say that just now?

*There's a lot of crooked gambling going on there.
I am not sure I understand you fully,

*It's clear to me if not to you.
Do you think its likely that not to I?
*I went to the races.

Please go on.

*I gamble on horses. What does that suggest to you?

What else would you like to discuss?

*Gambling has been nothing but trouble to me. Why do you say that just now?

*I've had experience with crooks gambling at the track. I am not sure I understand you fully.

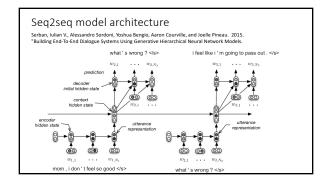
*I've already told you enough about that.

IR-based models of chatbots

- Cleverbot
- Xiaoice
- Mine conversations of human chats or human-machine chats
- · Choose a response by
 - Taking user's turn and finding a (tf-idf) similar turn in the dataset
 - · Grabbing whatever the response was to that turn.

Deep-learning chatbots

- Train on:
 - movie dialogue databases
 - twitter conversations
- Train a deep neural net to map from one users' turn to the other users response



Sample outputs from a neural net chatbot

How are you doing?

I'm good, you?

I am off all week next week

I know you love me and I love you.

Ohh I've never seen that! How long does it take you guys to learn the drill?

Jiwei Li, Michel Galley, Chris Brockett, Jianfeng Gao, and Bill Dolan. 2015. A Diversity-Promoting Objective Function for Neural Conversation Models.

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