Inter-annotator agreement and the upper limit on machine performance: Evidence from biomedical natural language processing

Mayla Boguslava, Kevin Bretonnel Cohena

**a** Computational Bioscience Program, University Colorado School of Medicine, Aurora, CO, USA

Abstract

Human-annotated data is a fundamental part of natural language processing system development and evaluation. The quality of that data is typically assessed by calculating the agreement between the annotators. It is widely assumed that this agreement between annotators is the upper limit on system performance in natural language processing: if humans can’t agree with each other about the classification more than some percentage of the time, then we don’t expect a computer to do any better. We trace the logical positivist roots of the motivation for measuring inter-annotator agreement, demonstrate the prevalence of the widely-held assumption about the relationship between inter-annotator agreement and system performance, and present data that suggest that inter-annotator agreement is not in fact an upper bound on language processing performance. Statistical modeling shows that attested system performance in excess of inter-annotator agreement is a real phenomenon and not simply noise.

Keywords: Natural language processing L01.224.050.375.580; Supervised machine learning G17.035.250.500.500; Evaluation Studies N05.715.360.335

Introduction

The Code of Ethics and Professional Conduct of the Association for Computing Machinery includes the imperative to share knowledge of the *limitations* of computer systems (ACM Code of Ethics and Professional Conduct 2.7) [1]. In natural language processing, human-annotated data is the gold standard for evaluation [9], and therefore crucial to understanding the limits of our work. It is standard practice to calculate inter-annotator agreement (IAA) [2] which measures the quality of that data by assessing the extent to which humans agreed with each other in the task of producing it [17]. A standard assumption in the field is that the IAA establishes an upper bound on system performance [7,11,13-15,19], but it turns out to be just that—a heretofore-untested assumption. The goal of the work reported here is to test that assumption. We do so by searching for the basis of that assumption, demonstrating that it is, in fact, a widely held assumption, and then collecting published findings in which system performance exceeded inter-annotator agreement and building simple statistical models of their relationships. This is important because if the assumption turns out not to be supported, then as a community, we may be mis-estimating the actual performance of our systems. In particular, we may be over-estimating the quality of their performance by under-estimating how good it could potentially be.

Background

The calculation of inter-annotator agreement (often known outside of corpus linguistics as *inter-rater agreement*) is motivated by the subjectivity in judgement of semantics in documents. Lenaars [10] traces the roots of IAA back to logical positivism, and Krippendorff brought it to linguistic data, particularly in the context of content analysis [XXcite]. Exactly how it should be calculated remains a topic open for discussion.

Cohen [XXcite], focusing on research in psychology, proposed quantifying the reproducibility and reliability of categorization by calculating the agreement between two annotators and correcting it for the probability of agreement by chance. This measure is known as Cohen's Kappa:

…where *Pr(a)* is the relative observed agreement between two annotators and *Pr(e)* as the expected agreement between the annotators if each annotator randomly picked a category for each annotation. Thus Cohen’s Kappa adjusts for chance to determine how much better the annotators did from chance [4]. Typically, language processing researchers compare the IAA score to the F1 measure obtained by the system, including all of the papers discussed here except for [8], which uses precision (positive predictive value).

The F1 is the harmonic mean of precision and recall (sensitivity). It is calculated on the basis of the numbers of true positives (TP), false positives (FP), and false negatives (FN) in a system’s output:

With:

In the case of annotating linguistic data, it is often the case that the expected chance agreement (*Pr(e)* in the formula for kappa) is effectively zero, since there is no clear definition of what would count as a false positive, e.g. in the case of any task that requires the labelling of boundaries, such as in named entity recognition or any task involving scope (e.g. syntactic analysis). When this is the case, kappa is equivalent to F-measure, and this observation is the justification for their comparing F-measure to IAA [XXcite Hripcsak].

Methods

We are questioning a belief in the literature, so it would be good to verify what is asserted in the literature through a literature review and analysis.

We did an initial literature search to find the source of the belief that inter-annotator agreement is the upper bound on system performance. Then we sought to determine whether or not this really is a widely held belief in the community. Next we looked to see if we could find examples of when this is not the case. To perform a more thorough search, we hired an independent third-party research firm, asking them to research two questions. The full text of the questions and analysis structure can be found in Kevin Bretonnel Cohen’s GitHub [5]. Briefly, they were as follows:

1. We asked them to find citations for the claim that inter-annotator agreement is an upper bound on system performance in language processing.
2. We then asked them to find papers reporting results that exceeded inter-annotator agreement in both the biomedical and general domains.

In order to be able to search the full text of publications, the service used Google Scholar. Phrasal search for *inter-annotator agreement* and *F-measure* and proximity operators to find cases where they occur near each other were used to retrieve an initial set of around 100 papers (we do not have the exact number). Those were then examined manually, and any papers in which the inter-annotator agreement was higher than system performance *or* there was no explicit discussion of the relationship between them were excluded. This resulted in a set of 12 articlesXX how many?? Says 6 below… The small number reflects the fact that this is not a commonly reported phenomenon. But, neither is it unattested—this was not just a single counter-example.

The results of the literature search found a total of twelve articles: six articles claiming that human performance is the upper bound of computer performance, and six articles in the biomedical or general domains where at least one system outperformed the annotators (IAA) to the extent that we understand the agreement and performance metrics. There were twenty systems tested against the IAA within the six papers where the systems outperformed the IAA. We next collected the IAA and system performance measure for all systems within the twelve articles, if they calculated both. To evaluate the possibility that these values were noise, rather than an actual finding, we used simple statistical models to test for structure in the relation between IAA and system performance in three data sets: systems that outperformed the IAA, systems that did not, and both combined. The reasoning here is that if the findings are noise, that should be reflected as random variation in the F-measure, the IAA, or both; on the other hand, if it is not just noise, then that would be reflected by a xxx.

For all three datasets, we first analyzed the distributions of these data using the Shapiro-Wilk normality test [21] to determine if they were normally distributed. We calculated the correlation between IAA and F-measure, reasoning that if the papers that report out-performing IAA are just observing noise, then there should be no relationship between them. Spearman’s correlation, a non-parametric test [12], was used because most of the distributions were not normal. The details are available on the GitHub site.

Results

Neither we nor a professional literature search service found an authoritative citation for the idea that inter-annotator agreement is the upper bound on language processing system performance. Nonetheless, the ubiquity of the assumption can be seen in multiple papers by researchers of renown—see the quotes in Table 1.

Table 1 – Explicit statements of the asssumption of IAA as an upper bound in the natural language processing literature

|  |  |
| --- | --- |
| **Paper** | **Quote** |
| Resnik and Lin [19] | “It is generally agreed that human inter-annotator agreement defines the upper limit on our ability to measure automated performance” |
| Gale, Church, and Yarowsky [7] | “An estimate of the upper bound is obtained by assuming that our ability to measure performance is largly limited by our ability to obtain reliable judgements from human informants” |
| Ormandjieva, Hussain, and Kosseim [14] | “…the average inter-annotator agreement…should be seen as upper bounds on the accuracy of any classifier” |
| Navigli [13] | “[Inter-annotator agreement] numbers lead us to believe that a credible upper bound for unrestricted find-grained word sense disambiguation is…” |
| Meyer and Gurevych [11] | "Besides the inter-annotator agreement A–B, which serves as an upper bound…" |
| Padó and Lapata [15] | “..the upper bound given by the inter-annotator agreement on the calibration data set” |

Next we found six papers (four from the biomedical domain and two from the general domain) where at least one system outperformed the IAA (see table 2). Note that generally system performance was measured using F1 measure, so we will use those terms interchangeably from now on. Further some articles evaluated multiple systems.

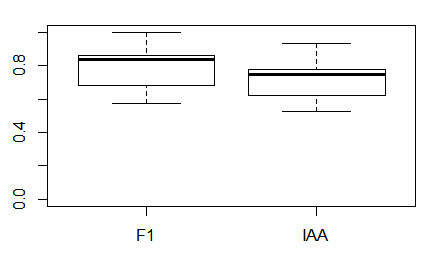
\*Note that all articles use F1 for system performance except for [8] (XXcite I think I messed this up), which uses precision.

Table 2 – Systems that outperform the IAA

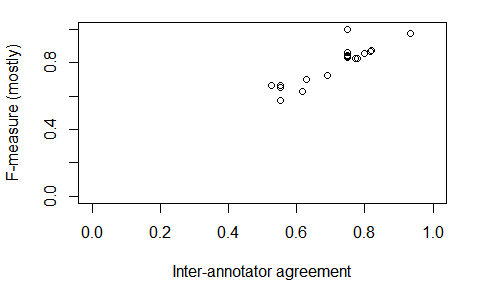
|  |  |
| --- | --- |
| **Paper** | **Systems that outperformed the IAA** |
| *Combining Terminology Resources and Statistical Methods for Entity Recognition: an Evaluation [20]* | * Machine learning to recognize specific entities within clinical notes * Classifying intervention had lowest IAA and F1 ≥ IAA with multiple methods |
| *Disambiguation of Occurrences of Reformulation Markers [8]* | * Reformulation vs. non-reformulation in French with specific markers * ESLO1/2 (spoken scenarios): Precision\* > IAA |
| *SemEval-2015 Task 6: Clinical TempEval [3]* | * Multiple Systems compete to identify critical timeline components of clinical notes and pathology reports from the Mayo Clinic * **Adj-Ann**: IAA between adjudicator (final judge of the data to generally be used to train the system) and 2 annotators * Many systems F1 ≥ IAA and a few better than Adj-Ann (stronger) |
| *Automatically Detecting Acute Myocardial Infarction (AMI) Events from EHR Text: a Preliminary Study [23]* | * Automate the annotation of Worcester Heart Attack Study for AMI * F1 of system for ICD Diagnosis outperformed the IAA |
| *Deception Detection using Real-Life Trial Data [16]* | * Deception detection * System performance using decision trees significantly higher than annotator agreement and kappa statistic (0.01-0.20) * Humans detect deception only slightly above chance |
| *Automatic Classification of Lexical Stress Errors for German CAPT (Computer-Assisted Pronunciation Training) [22]* | * Classify non-native German lexical stress errors from manually annotated corpus of German word utterances by native French speakers * IAA only fair |

The Shapiro-Wilk normality test [21] showed that only the system performance measure is normally distributed. IAA is not, and skewed right. We then looked at the distribution of the data (see Figure 1). We expect to see the F1 measure higher than IAA since we chose those articles only. Thus to look for correlation, we used a Spearman correlation since our data is not normally distributed.

We calculated Spearman’s correlation for both IAA versus F1 measure (rho = 0.807, p-value = 8.56 X 10-6). We found that IAA and F1 measure are significantly positively correlated (p-value < 0.05) (see figure 2).



*Figure 1 – Boxplot of F1 measure (system performance) and IAA (annotator agreement) for systems that outperform the IAA*

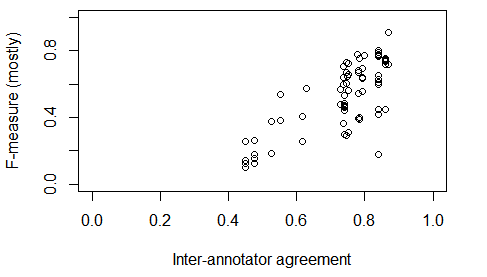


*Figure 2 – Positive correlation between F1 measure (system performance) and IAA (annotator agreement) for systems that outperform the IAA.*

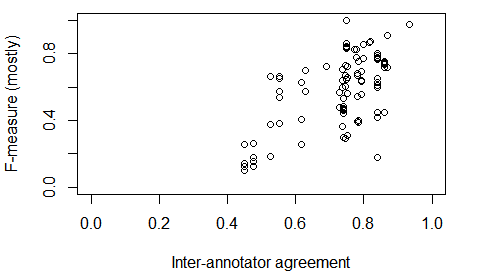
We then did the same analysis both for systems that do not beat the IAA and all systems together. We found that in systems that do not outperform the IAA that both IAA and F-measure are not normally distributed, but skew right (boxplot figure not shown). Furthermore, there was a signficant positive correlation (p-value < 0.05) between IAA and system performance (rho = 0.653, p-value = 1.449 x 10-11) (see figure 3).

Also, when we look at all the data combined for systems that did and did not outperform the IAA (see figure 4), IAA and system performance (rho = 0.513, p-value = 1.81 x 10-8) are significantly postively correlated (p-value < 0.05) but are less positively correlated compared to just systems that outperform the IAA.

We can also see how the medians are affected depending on which systems are included: those that outperform the IAA, those that do not, or both (see table 3).



*Figure 3 – Positive correlation between F1 measure (system performance) and IAA (annotator agreement) for systems that do not outperform the IAA.*

**

*Figure 4 – Positive correlation between the IAA and F1 measure for all data combined (both systems that do and do not outperform IAA).*

Table 3 – Medians of IAA, system performance, and their difference across all systems

|  |  |  |  |
| --- | --- | --- | --- |
| **Data** | **IAA Median** | **System performance Median** | **Difference Median** |
| System > IAA | 0.75 | 0.836 | 0.0785 |
| System < IAA | 0.7647 | 0.5865 | -0.1655 |
| All systems | 0.7504 | 0.6380 | -0.1383 |

Discussion

Providing accurate information to the public about technology and research results—as well as making funding decisions—requires the ability to realistically interpret measures of performance. The data presented here shows that a common standard for assessing natural language processing tools may overestimate their performance: contrary to a widely-shared and hitherto unexamined assumption in the field, inter-annotator agreement is not necessarily the upper bound on performance in natural language processing, and a lack of awareness of this can lead to the belief that systems are performing as well as they can, when in fact they are not.

As far as we can tell though, based on two literature searches and the fact that no one ever cites one, **there is no authoritative citation** for the idea that IAA is the upper bound on system performance – in fact, it is just **an untested assumption**. It is a **widely-held assumption,** as shown by the fact that we did not have a problem finding multiple explicit statements of it.Further **it is not true** since we found multiple papers that contradicted the assumption. Thus the computer system can outperform the annotators. **We cannot assume that the IAA is an upper bound on system performance. In fact, systems can out-perform the inter-annotator agreement.**

Why might it be the case that inter-annotator agreement is widely thought to be the upper bound on system performance? In some of the cases where the system outperformed the annotators, the scientists questioned their annotators and the task itself [3,7,20,22,23]. We currently use the IAA to determine how well-defined a problem is (higher IAA is better defined), how difficult the problem is (lower IAA means more difficult), and as a measure of how well a computer system can perform in comparison to human annotators with the same rules. The scientists in these cases explain that they hope to have better annotators in the future, better define the problem, or the problem itself is difficult (low IAA). These are all interpretations of the IAA though. The higher the IAA only tells you that the annotators interpreted the rules consistenly in the same way, not that the annotators are correct or the rules are correct [17]. Thus the notion that the IAA is an upper bound of computer performance falls short because a computer system makes objective and calculated decisions whereas annotators may not always follow the rules given. Further, not all annotators had rules to follow and were not experts, simply everyday people [16].

We also wanted to understand if there is something unique about the systems that outperform the IAAs as compared to when they do not and both situations aggregated together. First, there were more situations where the IAA was higher than the system which seems to be an indication as to why scientists believe that the IAA was an upper bound. Second, in situations where the system outperformed the IAA, the significant positive correlation between IAA and system performance was higher than both the systems that did lower than the IAA and all sytems together. This seems to suggest that the higher the IAA, the better the system performs. The higher the IAA, the more likely the system will perform better because the rules are defined well and the task is not as difficult. At the same time, both the systems that did lower than the IAA and all sytems together also had significant positive correlations between IAA and system performance. Overall, it seems that the better the IAA, the better the system will perform.

The results presented here might give us some insight into the origins of the idea that IAA is an upper limit on system performance. As we see here, the higher the IAA the better the system performs, leading to the belief that the IAA determines how well-defined and difficult a task is. It is believed that the higher the IAA the more well-defined the task is because if there are clear defined rules, then we can simply input those into a computer and the computer should perform quite well. Also, the IAA defines how difficult the task is because we believe that the more the annotators agree on the classification, the easier the problem must be in that the rules capture most of the situations. This then leads us to believe that human annotation is the upper bound on computer annotation performance because we use the human annotated gold-standard texts to train the computer. The computer cannot be “smarter” than the human annotators that trained it. However this is a false belief to the extent that we understand the agreement metrics and the performance metrics, systems presented here outperformed the IAA.

This summons the question: how we measure system performance if IAA is no longer an upper bound? *The SemEval-2015 Task 6: Clinical TempEval* paper possibly provides an answer by suggesting a different type of annotator agreement, **Adj-Ann** from the results. The Adj-Ann calculated the IAA between the adjudicator and annotators. The adjudicator decides which answers are correct in order to either give the system sample correct answers to learn from or to assess how well the system did. The paper points out that usually the system is trained on adjudicated data, not annotated data. Thus a better upper bound on the system performance may be a combination of the adjudicated annotations and the annotators as suggested in this paper [3].

These results are relevant to the small but growing body of work on the ethics of NLP [6]. As noted above, the ethical standards of the Association for Computing Machinery include the responsibility to communicate the *limitations* of computer systems [1]. In reporting performance, there is a common assumption that metrics that approach inter-annotator agreement reflect *high* performance [7,11,13-15,19]. The data reported here suggest that such performance may not be as high as we think it is, relative to the best possible performance.

The limitations of this work include the literature search and not finding all situations where the system outperforms the IAA and vice versa. More data could lead to other correlation results, but these are statistically significant. This work also did not differentiate between different measures of performance (precision, recall, F1 measure, and others). The majority of systems here used F1 measure, but not all. Future work could include gathering more systems that both outperform and do not outperform their IAA to have a greater depth of data, and differentiating between systems performance measures.

Conclusion

Overall, we determined that the inter-annotator agreement is not an upper bound of system performance showing examples from both the biomedical and general domain. We found significant positive correlations between the IAA and the system performance amongst all types of system performance (greater or lower than IAA). We further suggest a stronger measurement from one of the articles [3] that uses supervised learning that takes into account the initial annotated data (gold-standard data) the system learns on and outside annotators combined. This is not an upper bound however, as seen in the article [3]. Hopefully, this will better allow scientists to evaluate their research, make funding decisions, and provide accurate information to the public about technology.

Acknowledgements

Boguslav is supported by the Dean’s Fund at University of Colorado Anschutz Medical. Cohen is supported by NIH grants LM008111, LM009254, and NSF IIS-1207592 to Lawrence E. Hunter. The work was aided by discussions with Patrick Paroubek, Bob Carpenter, and Tiffany Callahan; all remaining faults are the authors’. XXADD d’Alembert funding.

References

Uncategorized References

[1] R.E. Anderson, G. Engel, D. Gotterbarn, G.C. Hertlein, A. Hoffman, B. Jawer, D.G. Johnson, D.K. Lidtke, J.C. Little, D. Martin, D.B. Parker, J.A. Perrolle, and R.S. Rosenberg, ACM Code of Ethics and Professional Conduct, in, ACM, 1992.

[2] R. Artstein and M. Poesio, Inter-Coder Agreement for Computational Linguistics, *Association for Computational Linguistics* **34** (2008), 555-596.

[3] S. Bethard, L. Derczynski, G. Savova, J. Pustejovsky, and M. Verhagen, SemEval-2015 Task 6: Clinical TempEval, in: *SemEval 2015*, Denver, Colorado, 2015, pp. 806-814.

[4] J. Cohen, A Coefficient of Agreement for Nominal Scales, *Educational and Psychological Measurement* **20** (1960), 37-46.

[5] K.B. Cohen and M. Boguslav, KevinBretonnelCohen/InterAnnotatorAgreement in, GitHub Inc., GitHub, 2016.

[6] K. Fort, G. Adda, and K.B.C. (accepted), Éthique et traitement automatique des langues et de la parole: truismes et tabous, *Traitement Automatique des Langues* (2016).

[7] W. Gale, K.W. Church, and D. Yarowsky, Estimating upper and lower bounds on the performance of word-sense disambiguation programs, in: *annual meeting on Association for Computational Linguistics*, 1992.

[8] N. Grabar and I. Eshkol-Taravela, Disambiguation of occurrences of reformulation markers c’est-à-dire, disons, ça veut dire, *JADT 2016* **7** (2016).

[9] P. Jackson and I. Moulinier, *Natural language processing for online applications: text retrieval, extraction, and categorization*, John Benjamins Publishing Company, Amsterdam, 2007.

[10] A.A. Leenaars, *Sucide Notes: Predictive Clues and Patterns*, Human Sciences Press, Inc., New York, 1988.

[11] C.M. Meyer and I. Gurevych, Worth its weight in gold or yet another resource—A comparative study of Wiktionary, OpenThesaurus and GermaNet, in: *Computational linguistics and intelligent text processing*, Springer Berlin Heidelberg, 2010, pp. 38-49.

[12] M. Mukaka, A guide to appropriate use of Correlation co-efficient in medical research, *Malawi Medical Journal: The Journal of Medical Association of Malawi* **24** (2012), 69-71.

[13] R. Navigli, Meaningful clustering of senses helps boost word sense disambiguation performance, in: *International Conference on Computational Linguistics and the annual meeting of the Association for Computational Linguistics*, 2006.

[14] O. Ormandjieva, I. Hussain, and L. Kosseim, Toward a text classification system for the quality as-sessment of software requirements written in natural language, in: *Fourth international workshop on Software quality assurance: in conjunction with the 6th ESEC/FSE joint meeting*, ACM, 2007.

[15] S. Padó and M. Lapata, Cross-linguistic projection of role-semantic information, in: *Proceedings of the conference on Human Language Technology and Empirical Methods in Natural Language Processing - HLT '05*, 2005, pp. 859-866.

[16] V. Pérez-Rosas, M. Abouelenien, R. Mihalcea, and M. Burzo, Deception Detection using Real-life Trial Data, in: *ICMI 2015*, New York, NY, USA,, 2015, pp. 59-66.

[17] J. Pustejovsky and A. Stubbs, *Natural language annotation for machine learning*, O'Reilly Media ;, Sebastopol, CA, 2013.

[18] R-core, cor.test, in, RDocumentation.

[19] P. Resnik and J. Lin, Evaluation of NLP Sys-tems, *The handbook of computational linguistics and natural language processing* **57** (2010).

[20] A. Roberts, R. Gaizauskas, M. Hepple, and Y. Guo, Combining Terminology Resources and Statistical Methods for Entity Recognition: An Evaluation. , *LREC: European Language Resources Association.* (2008), 2974-2980.

[21] S.S. Shapiro and M.B. Wilk, An Analysis of Variance Test for Normality (complete Samples), *Biometrika* **52** (1965), 591-611.

[22] A.S. Vakil, J. Trouvain, and L. Automatic classification of lexical stress errors for German CAPT. In Proceeding of the Workshop on Speech and Language Technology for Education (SLaTE), pp. 47-52., Automatic classification of lexical stress errors for German CAPT

in: *SLaTE*, Leipzig, 2015, pp. 47-52.

[23] J. Zheng, J. Yarzebski, B.P. Ramesh, R.J. Goldberg, and H. Yu, Automatically Detecting Acute Myocardial Infarction Events from EHR Text: A Preliminary Study, *AMIA Annu Symp Proc* **2014** (2014), 1286-1293.

Address for correspondence

kevin.cohen@gmail.com