



# Natural Language Processing

Anoop Sarkar

[anoopsarkar.github.io/nlp-class](http://anoopsarkar.github.io/nlp-class)

Simon Fraser University

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Part 1: Probability models of Language

# The Language Modeling problem

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- ▶ Assume a (finite) vocabulary of words:  
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- ▶ Use  $\mathcal{V}$  to construct an infinite set of *sentences*

$$\mathcal{V}^+ = \{ \\ \text{clown, killer clown, crazy clown,} \\ \text{crazy killer clown, killer crazy clown,} \\ \dots \\ \}$$

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- ▶ Assume a (finite) vocabulary of words:

$$\mathcal{V} = \{killer, crazy, clown\}$$

- ▶ Use  $\mathcal{V}$  to construct an infinite set of *sentences*

$$\mathcal{V}^+ = \left\{ \begin{array}{l} clown, killer clown, crazy clown, \\ crazy killer clown, killer crazy clown, \\ \dots \end{array} \right\}$$

- ▶ A *sentence* is **defined** as each  $s \in \mathcal{V}^+$

# The Language Modeling problem

## Data

Given a training data set of example sentences  $s \in \mathcal{V}^+$

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## Language Modeling problem

Estimate a probability model:

$$\sum_{s \in \mathcal{V}^+} p(s) = 1.0$$

- ▶  $p(\text{clown}) = 1\text{e-}5$
- ▶  $p(\text{killer}) = 1\text{e-}6$
- ▶  $p(\text{killer clown}) = 1\text{e-}12$
- ▶  $p(\text{crazy killer clown}) = 1\text{e-}21$
- ▶  $p(\text{crazy killer clown killer}) = 1\text{e-}110$
- ▶  $p(\text{crazy clown killer killer}) = 1\text{e-}127$

Why do we want to do this?

# Scoring Hypotheses in Speech Recognition

## From acoustic signal to candidate transcriptions

Hypothesis	Score
the station signs are in deep in english	-14732
the stations signs are in deep in english	-14735
the station signs are in deep into english	-14739
the station 's signs are in deep in english	-14740
the station signs are in deep in the english	-14741
the station signs are indeed in english	-14757
the station 's signs are indeed in english	-14760
the station signs are indians in english	-14790
the station signs are indian in english	-14799
the stations signs are indians in english	-14807
the stations signs are indians and english	-14815



# Scoring Hypotheses in Machine Translation

From source language to target language candidates

Hypothesis	Score
we must also discuss a vision .	-29.63
we must also discuss on a vision .	-31.58
it is also discuss a vision .	-31.96
we must discuss on greater vision .	-36.09
⋮	⋮

# Scoring Hypotheses in Decryption

## Character substitutions on ciphertext to plaintext candidates

Hypothesis	Score
Heopaj, zk ukq swjp pk gjks w oaynap?	-93
Urbcnw, mx hxd fjwc cx twxf j bnanc?	-92
Wtdepy, oz jzf hlye ez vyzh l dpncpe?	-91
Mjtufo, ep zpv xbou up lopx b tfdsfu?	-89
Nkuvgp, fq aqw ycpv vq mpqy c ugetgv?	-87
Gdnozi, yj tjp rvio oj fijr v nzxmzo?	-86
Czjkve, uf pfl nrek kf befn r jvtivk?	-85
Yvfgra, qb lbh jnag gb xabj n frperg?	-84
Zwghsb, rc mci kobh hc ybck o gsqfsh?	-83
Byijud, te oek mqdj je adem q iushuj?	-77
Jgqrcl, bm wms uylr rm ilmu y qcapcr?	-76
Listen, do you want to know a secret?	-25

# Scoring Hypotheses in Spelling Correction

Substitute spelling variants to generate hypotheses

Hypothesis	Score
... stellar and versatile <b>acress</b> whose combination of sass and glamour has defined her ...	-18920
... stellar and versatile <b>acres</b> whose combination of sass and glamour has defined her ...	-10209
... stellar and versatile <b>actress</b> whose combination of sass and glamour has defined her ...	-9801

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- ▶ **And** the model should be equal to  $\sum_{s \in \mathcal{V}^+} P(s)$ .



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- ▶ **And** the model should be equal to  $\sum_{s \in \mathcal{V}^+} P(s)$ .
- ▶ Write down the model

$$\sum_{s \in \mathcal{V}^+} P(s) = \dots$$

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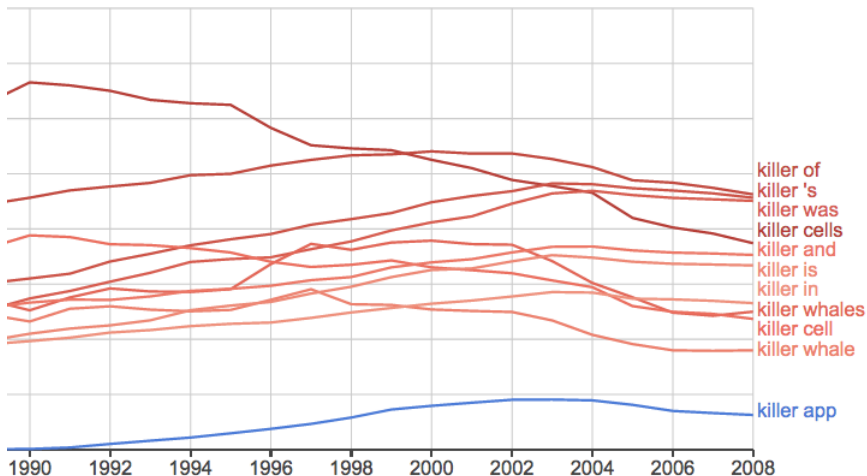
Simon Fraser University

Part 2:  $n$ -grams for Language Modeling



# $n$ -gram Models

Google  $n$ -gram viewer



# Learning Language Models

- ▶ Directly count using a training data set of sentences:  
 $w_1, \dots, w_n$ :

$$p(w_1, \dots, w_n) = \frac{n(w_1, \dots, w_n)}{N}$$

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- ▶ What are the chances you will see a sentence: crazy killer clown crazy killer?

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- ▶  $N$  is the sum over all possible  $n(\cdot)$  values
- ▶ Problem: does not generalize to new sentences unseen in the training data.
- ▶ What are the chances you will see a sentence: crazy killer clown crazy killer?
- ▶ In NLP applications we often need to assign non-zero probability to previously unseen sentences.

# Learning Language Models

Apply the Chain Rule: the unigram model

$$\begin{aligned} p(w_1, \dots, w_n) &\approx p(w_1)p(w_2) \dots p(w_n) \\ &= \prod_i p(w_i) \end{aligned}$$

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Big problem with a unigram language model

$p(\text{the the the the the the the}) > p(\text{we must also discuss a vision .})$

# Learning Language Models

Apply the Chain Rule: the bigram model

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Better than unigram

$p(\text{the the the the the the the}) < p(\text{we must also discuss a vision .})$

# Learning Language Models

Apply the Chain Rule: the trigram model

$$\begin{aligned} p(w_1, \dots, w_n) &\approx \\ &p(w_1)p(w_2 \mid w_1)p(w_3 \mid w_1, w_2) \dots p(w_n \mid w_{n-2}, w_{n-1}) \\ &p(w_1)p(w_2 \mid w_1) \prod_{i=3}^n p(w_i \mid w_{i-2}, w_{i-1}) \end{aligned}$$

# Learning Language Models

Apply the Chain Rule: the trigram model

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Better than bigram, but ...

$p(\text{we must also discuss a vision .})$  might be zero because we have not seen  $p(\text{discuss} \mid \text{must also})$



# Maximum Likelihood Estimate

Using training data to learn a trigram model

- ▶ Let  $c(u, v, w)$  be the count of the trigram  $u, v, w$ , e.g.  $c(\text{crazy}, \text{killer}, \text{clown})$

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- ▶ For any  $u, v, w$  we can compute the conditional probability of generating  $w$  given  $u, v$ :

$$p(w \mid u, v) = \frac{c(u, v, w)}{c(u, v)}$$

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- ▶ For example:

$$p(\text{clown} \mid \text{crazy}, \text{killer}) = \frac{c(\text{crazy}, \text{killer}, \text{clown})}{c(\text{crazy}, \text{killer})}$$

# Number of Parameters

How many probabilities in each  $n$ -gram model

- ▶ Assume  $\mathcal{V} = \{killer, crazy, clown, UNK\}$

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How many bigram probabilities:  $P(y|x)$  for  $x, y \in \mathcal{V}$ ?

$$4^2 = 16$$

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How many probabilities in each  $n$ -gram model

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## Question

How many trigram probabilities:  $P(z|x, y)$  for  $x, y, z \in \mathcal{V}$ ?

$$4^3 = 64$$

# Number of Parameters

## Question

- ▶ Assume  $|\mathcal{V}| = 50,000$  (a realistic vocabulary size for English)
- ▶ What is the minimum size of training data in tokens?
  - ▶ If you wanted to observe all unigrams at least once.
  - ▶ If you wanted to observe all trigrams at least once.

Some trigrams should be zero since they do not occur in the language,  $P(\textit{the} \mid \textit{the}, \textit{the})$ .

But others are simply unobserved in the training data,  $P(\textit{idea} \mid \textit{colourless}, \textit{green})$ .

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125,000,000,000,000 (125 Ttokens)

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Part 3: Smoothing Probability Models





# Bigram Models

- In practice:

$$\begin{aligned} P(\text{Mork read a book}) = & \\ & P(\text{Mork} \mid \langle \text{start} \rangle) \times P(\text{read} \mid \text{Mork}) \times \\ & P(\text{a} \mid \text{read}) \times P(\text{book} \mid \text{a}) \times \\ & P(\langle \text{stop} \rangle \mid \text{book}) \end{aligned}$$

# Bigram Models

- In practice:

$$\begin{aligned}P(\text{Mork read a book}) = \\&P(\text{Mork} \mid \langle \text{start} \rangle) \times P(\text{read} \mid \text{Mork}) \times \\&P(\text{a} \mid \text{read}) \times P(\text{book} \mid \text{a}) \times \\&P(\langle \text{stop} \rangle \mid \text{book})\end{aligned}$$

- $P(w_i \mid w_{i-1}) = \frac{c(w_{i-1}, w_i)}{c(w_{i-1})}$   
On unseen data,  $c(w_{i-1}, w_i)$  or worse  $c(w_{i-1})$  could be zero

$$\sum_{w_i} \frac{c(w_{i-1}, w_i)}{c(w_{i-1})} = ?$$

# Smoothing

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$$P(w_i \mid w_{i-1}) = \frac{c(w_{i-1}, w_i)}{c(w_{i-1})}$$

- ▶ Not just unobserved events: what about events observed once?

## Add-one Smoothing

$$P(w_i \mid w_{i-1}) = \frac{c(w_{i-1}, w_i)}{c(w_{i-1})}$$

- Add-one Smoothing:

$$P(w_i \mid w_{i-1}) = \frac{1 + c(w_{i-1}, w_i)}{V + c(w_{i-1})}$$

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- Add-one Smoothing:

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- Let  $V$  be the number of words in our vocabulary  
Assign count of 1 to unseen bigrams



## Add-one Smoothing

$$\begin{aligned} P(\text{Mindy read a book}) = & \\ & P(\text{Mindy} \mid \langle \text{start} \rangle) \times P(\text{read} \mid \text{Mindy}) \times \\ & P(\text{a} \mid \text{read}) \times P(\text{book} \mid \text{a}) \times \\ & P(\langle \text{stop} \rangle \mid \text{book}) \end{aligned}$$

- Without smoothing:

$$P(\text{read} \mid \text{Mindy}) = \frac{c(\text{Mindy, read})}{c(\text{Mindy})} = 0$$

# Add-one Smoothing

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- ▶ Without smoothing:

$$P(\text{read} \mid \text{Mindy}) = \frac{c(\text{Mindy, read})}{c(\text{Mindy})} = 0$$

- ▶ With add-one smoothing (assuming  $c(\text{Mindy}) = 1$  but  $c(\text{Mindy, read}) = 0$ ):

$$P(\text{read} \mid \text{Mindy}) = \frac{1}{V + 1}$$

## Additive Smoothing: (Lidstone 1920, Jeffreys 1948)

$$P(w_i \mid w_{i-1}) = \frac{c(w_{i-1}, w_i)}{c(w_{i-1})}$$

- ▶ Add-one smoothing works horribly in practice. Seems like 1 is too large a count for unobserved events.

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- ▶ Add-one smoothing works horribly in practice. Seems like 1 is too large a count for unobserved events.
- ▶ Additive Smoothing:

$$P(w_i \mid w_{i-1}) = \frac{\delta + c(w_{i-1}, w_i)}{(\delta \times V) + c(w_{i-1})}$$

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- ▶  $0 < \delta \leq 1$   
Still works horribly in practice, but better than add-one smoothing.

## Good-Turing Smoothing: (Good, 1953)

$$P(w_i \mid w_{i-1}) = \frac{c(w_{i-1}, w_i)}{c(w_{i-1})}$$

- Imagine you're sitting at a sushi bar with a conveyor belt.

## Good-Turing Smoothing: (Good, 1953)

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- ▶ Imagine you're sitting at a sushi bar with a conveyor belt.
- ▶ You see going past you 10 plates of tuna, 3 plates of unagi, 2 plates of salmon, 1 plate of shrimp, 1 plate of octopus, and 1 plate of yellowtail

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- ▶ Imagine you're sitting at a sushi bar with a conveyor belt.
- ▶ You see going past you 10 plates of tuna, 3 plates of unagi, 2 plates of salmon, 1 plate of shrimp, 1 plate of octopus, and 1 plate of yellowtail
- ▶ Chance you will observe a new kind of seafood:  $\frac{3}{18}$



## Good-Turing Smoothing: (Good, 1953)

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- ▶ Imagine you're sitting at a sushi bar with a conveyor belt.
- ▶ You see going past you 10 plates of tuna, 3 plates of unagi, 2 plates of salmon, 1 plate of shrimp, 1 plate of octopus, and 1 plate of yellowtail
- ▶ Chance you will observe a new kind of seafood:  $\frac{3}{18}$
- ▶ How likely are you to see another plate of salmon: should be  $< \frac{2}{18}$

# Good-Turing Smoothing

- ▶ How many types of seafood (words) were seen once? Use this to predict probabilities for unseen events

Let  $n_1$  be the number of events that occurred once:  $p_0 = \frac{n_1}{N}$

# Good-Turing Smoothing

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Let  $n_1$  be the number of events that occurred once:  $p_0 = \frac{n_1}{N}$

- ▶ The Good-Turing estimate states that for any  $n$ -gram that occurs  $r$  times, we should pretend that it occurs  $r^*$  times

$$r^* = (r + 1) \frac{n_{r+1}}{n_r}$$

# Good-Turing Smoothing

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$$r^* = (r + 1) \frac{n_{r+1}}{n_r}$$

- ▶  $n_r$ : number of different objects seen  $r$  times

# Good-Turing Smoothing

- ▶ 10 tuna, 3 unagi, 2 salmon, 1 shrimp, 1 octopus, 1 yellowtail

# Good-Turing Smoothing

- ▶ 10 tuna, 3 unagi, 2 salmon, 1 shrimp, 1 octopus, 1 yellowtail
- ▶ How likely is new data? Let  $n_1$  be the number of items occurring once, which is 3 in this case.  $N$  is the total, which is 18.

$$p_0 = \frac{n_1}{N} = \frac{3}{18} = 0.166$$

# Good-Turing Smoothing

- ▶ 10 tuna, 3 unagi, 2 salmon, 1 shrimp, 1 octopus, 1 yellowtail

# Good-Turing Smoothing

- ▶ 10 tuna, 3 unagi, 2 salmon, 1 shrimp, 1 octopus, 1 yellowtail
- ▶ How likely is *octopus*? Since  $c(\text{octopus}) = 1$  The GT estimate is  $1^*$ .

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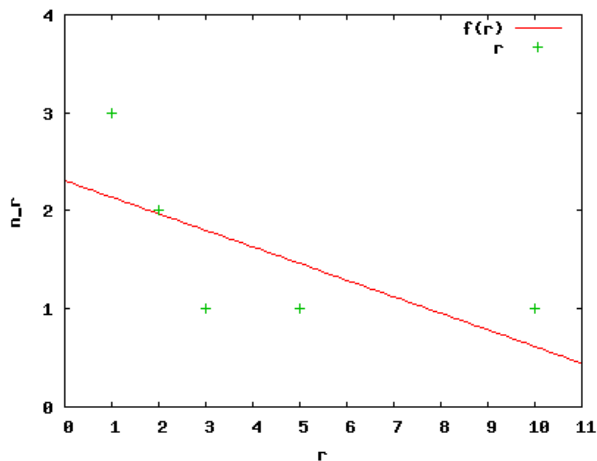
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- ▶ What happens when  $n_{r+1} = 0$ ? (smoothing before smoothing)

## Simple Good-Turing: linear interpolation for missing $n_{r+1}$



$$f(r) = a + b \cdot r$$

$$a = 2.3$$

$$b = -0.17$$

$r$	$n_r = f(r)$
1	2.14
2	1.97
3	1.80
4	1.63
5	1.46
6	1.29
7	1.12
8	0.95
9	0.78
10	0.61
11	0.44

## Comparison between Add-one and Good-Turing

freq $r$	num with freq $r$ $n_r$	NS $p_r$	Add1 $p_r$	SGT $p_r$
0	0	0	0.0294	0.12
1	3	0.04	0.0588	0.03079
2	2	0.08	0.0882	0.06719
3	1	0.12	0.1176	0.1045
5	1	0.2	0.1764	0.1797
10	1	0.4	0.3235	0.3691

►  $N = (1 * 3) + (2 * 2) + 3 + 5 + 10 = 25$

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- ▶ Important: we added a new word type for unseen words. Let's call it UNK, the unknown word.
- ▶ Check that:  $1.0 == \sum_r n_r \times p_r$   
 $0.12 + (3 * 0.03079) + (2 * 0.06719) + 0.1045 + 0.1797 + 0.3691 = 1.0$

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- ▶ NS = No smoothing:  $p_r = \frac{r}{N}$
- ▶ Add1 = Add-one smoothing:  $p_r = \frac{1+r}{V+N}$
- ▶ SGT = Simple Good-Turing:  $p_0 = \frac{n_1}{N}$ ,  $p_r = \frac{(r+1) \frac{n_{r+1}}{n_r}}{N}$   
with linear interpolation for missing values where  $n_{r+1} = 0$   
(Gale and Sampson, 1995) <http://www.grsampson.net/AGtf1.html>

## Using unigrams to smooth bigrams: incorrect version

$$P(w_i \mid w_{i-1}) = \frac{c(w_{i-1}, w_i)}{c(w_{i-1})}$$

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- ▶ Works for trigrams too: back off to bigrams and then unigrams
- ▶ Problem: probabilities get mixed up (unseen bigrams, for example will get higher probabilities than seen bigrams)

## Interpolation: Jelinek-Mercer Smoothing

$$P_{ML}(w_i \mid w_{i-1}) = \frac{c(w_{i-1}, w_i)}{c(w_{i-1})}$$

- ▶  $P_{JM}(w_i \mid w_{i-1}) = \lambda P_{ML}(w_i \mid w_{i-1}) + (1 - \lambda)P_{ML}(w_i)$   
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- ▶ What about  $P_{JM}(w_i)$ ?  
For missing unigrams:  $P_{JM}(w_i) = \lambda P_{ML}(w_i) + (1 - \lambda)\frac{\delta}{V}$

## Interpolation: Finding $\lambda$

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compute  $\lambda$  values to minimize cross-entropy on **held-out** data  
which is **deleted** from the initial set of training data
- ▶ Improved JM smoothing, a separate  $\lambda$  for each  $w_{i-1}$ :

$$P_{JM}(w_i \mid w_{i-1}) = \lambda(w_{i-1})P_{ML}(w_i \mid w_{i-1}) + (1 - \lambda(w_{i-1}))P_{ML}(w_i)$$

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$$P_{katz}(y \mid x) = \begin{cases} \frac{c^*(xy)}{c(x)} & \text{if } c(xy) > 0 \\ \alpha(x)P_{katz}(y) & \text{otherwise} \end{cases}$$

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- ▶ where  $\alpha(x)$  is chosen to make sure that  $P_{katz}(y \mid x)$  is a proper probability

$$\alpha(x) = 1 - \sum_y \frac{c^*(xy)}{c(x)}$$



## Backoff Smoothing: Katz Backoff

$x$	$c(x)$	$c^*(x)$	$\frac{c^*(x)}{c(the)}$
the	48		
the,dog	15	14.5	14.5/48
the,woman	11	10.5	10.5/48
the,man	10	9.5	9.5/48
the,park	5	4.5	4.5/48
the,job	2	1.5	4.5/48
the,telescope	1	0.5	0.5/48
the>manual	1	0.5	0.5/48
the,afternoon	1	0.5	0.5/48
the,country	1	0.5	0.5/48
the,street	1	0.5	0.5/48
TOTAL			0.9479
the,UNK	0		0.052

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use the  $n - 1$  gram model when the  $n$  gram model has too few unique words **in the  $n$  gram context**
- ▶ Absolute discounting (Ney, Essen, Kneser)

$$P_{abs}(y \mid x) = \begin{cases} \frac{c(xy) - D}{c(x)} & \text{if } c(xy) > 0 \\ \alpha(x) P_{abs}(y) & \text{otherwise} \end{cases}$$

compute  $\alpha(x)$  as was done in Katz smoothing



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- ▶  $P(s_i) = P(w_0^i, \dots, w_n^i)$  – which can be any  $n$ -gram language model
- ▶ A language model is better if the value of  $P(T)$  is higher for unseen sentences  $T$ , we want to maximize:

$$P(T) = \prod_{i=0}^m P(s_i)$$

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- ▶ We evaluate a language model using *Perplexity* which is  $2^{-\ell}$

# Evaluating Language Models

## Question

Show that:

$$2^{-\frac{1}{M} \log_2 \prod_{i=1}^m P(s_i)} = \frac{1}{\sqrt[M]{\prod_{i=1}^m P(s_i)}}$$

# Evaluating Language Models

## Question

What happens to  $2^{-\ell}$  if any  $n$ -gram probability for computing  $P(T)$  is zero?



# Evaluating Language Models: Typical Perplexity Values

From 'A Bit of Progress in Language Modeling' by Chen and Goodman

Model	Perplexity
unigram	955
bigram	137
trigram	74

# Natural Language Processing

Anoop Sarkar

[anoopsarkar.github.io/nlp-class](https://anoopsarkar.github.io/nlp-class)

Simon Fraser University

Part 4: Event space in Language Models

# Trigram Models

- ▶ The trigram model:

$$P(w_1, w_2, \dots, w_n) = \\ P(w_1) \times P(w_2 \mid w_1) \times P(w_3 \mid w_1, w_2) \times P(w_4 \mid w_2, w_3) \times \\ \dots P(w_i \mid w_{i-2}, w_{i-1}) \dots \times P(w_n \mid w_{n-2}, \dots, w_{n-1})$$

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- ▶ Notice that the length of the sentence  $n$  is variable
- ▶ What is the event space?

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$\vdots$	

- ▶ The sum over all strings in  $L$  should be equal to 1:

$$\sum_{w \in L} P(w) = 1$$

# The stop symbol

- ▶ Let  $\mathcal{V} = \{a, b\}$  and the language  $L$  be  $\mathcal{V}^*$
- ▶ Consider a unigram model:  $P(a) = P(b) = 0.5$
- ▶ So strings in this language  $L$  are:

$a$ stop	$0.5$
$b$ stop	$0.5$
$aa$ stop	$0.5^2$
$bb$ stop	$0.5^2$
$\vdots$	

- ▶ The sum over all strings in  $L$  should be equal to 1:

$$\sum_{w \in L} P(w) = 1$$

- ▶ But  $P(a) + P(b) + P(aa) + P(bb) = 1.5$  !!

# The stop symbol

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# The stop symbol

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- ▶ Add an explicit probability for the stopsymbol:

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$$P(\text{stop}) = 0.5$$

- ▶  $P(\text{stop}) = 0.5$ ,  $P(a \text{ stop}) = P(b \text{ stop}) = 0.25 \times 0.5 = 0.125$ ,  
 $P(aa \text{ stop}) = 0.25^2 \times 0.5 = 0.03125$  (now the sum is no longer greater than one)

## The stop symbol

- ▶ With this new stop symbol we can show that  $\sum_w P(w) = 1$   
Notice that the probability of any sequence of length  $n$  is  $0.25^n \times 0.5$   
Also there are  $2^n$  sequences of length  $n$

$$\begin{aligned}\sum_w P(w) &= \\& \sum_{n=0}^{\infty} 2^n \times 0.25^n \times 0.5 \\& \sum_{n=0}^{\infty} 0.5^n \times 0.5 = \sum_{n=0}^{\infty} 0.5^{n+1} \\& \sum_{n=1}^{\infty} 0.5^n = 1\end{aligned}$$

## The stop symbol

- ▶ With this new stop symbol we can show that  $\sum_w P(w) = 1$   
Using  $p_s = P(\text{stop})$  the probability of any sequence of length  $n$  is  $p(n) = p(w_1, \dots, w_{n-1}) \times p_s(w_n)$

$$\begin{aligned}\sum_w P(w) &= \sum_{n=0}^{\infty} p(n) \sum_{w_1, \dots, w_n} p(w_1, \dots, w_n) \\ &= \sum_{n=0}^{\infty} p(n) \sum_{w_1, \dots, w_n} \prod_{i=1}^n p(w_i)\end{aligned}$$

$$\begin{aligned}\sum_{w_1, \dots, w_n} \prod_i p(w_i) &= \\ \sum_{w_1} \sum_{w_2} \dots \sum_{w_n} p(w_1)p(w_2) \dots p(w_n) &= 1\end{aligned}$$

## The stop symbol

$$\sum_{w_1} \sum_{w_2} \dots \sum_{w_n} p(w_1)p(w_2) \dots p(w_n) = 1$$

$$\begin{aligned} \sum_{n=0}^{\infty} p(n) &= \sum_{n=0}^{\infty} p_s(1 - p_s)^n \\ &= p_s \sum_{n=0}^{\infty} (1 - p_s)^n \\ &= p_s \frac{1}{1 - (1 - p_s)} = p_s \frac{1}{p_s} = 1 \end{aligned}$$



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All mistakes are my own.