

YUN-NUNG (VIVIAN) CHEN



國立臺灣大學
National Taiwan University



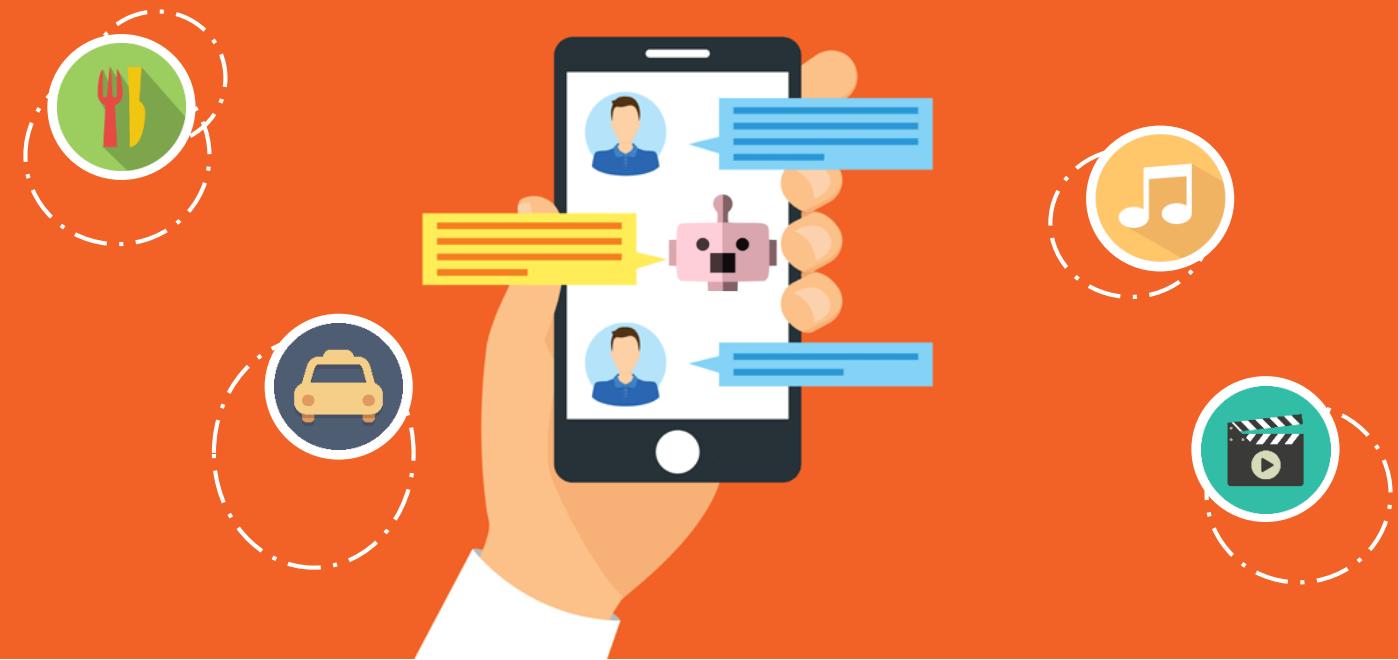
ASLI CELIKYILMAZ



DILEK HAKKANI-TÜR



amazon alexa



Outline

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- Introduction & Background
 - ▣ Neural Networks
 - ▣ Reinforcement Learning
- Modular Dialogue System
 - ▣ Spoken/Natural Language Understanding (SLU/NLU)
 - ▣ Dialogue Management (DM)
 - Dialogue State Tracking (DST)
 - Dialogue Policy Optimization
 - ▣ Natural Language Generation (NLG)
 - ▣ End-to-End Neural Dialogue Systems
- Evaluation
- Recent Trends on Learning Dialogues

Introduction & Background

Neural Networks

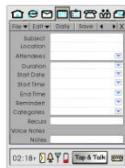
Reinforcement Learning

Brief History of Dialogue Systems

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Multi-modal systems

e.g., Microsoft MiPad, Pocket PC



Task-specific argument extraction

(e.g., Nuance, SpeechWorks)

User: "I want to fly from Boston to New York next week."



Early 1990s

Keyword Spotting

(e.g., AT&T)

System: "Please say collect, calling card, person, third number, or operator"

TV Voice Search

e.g., Bing on Xbox



Early 2000s

Intent Determination

(Nuance's Emily™, AT&T HMIHY)

User: "Uh...we want to move...we want to change our phone line from this house to another house"



DARPA
CALO Project

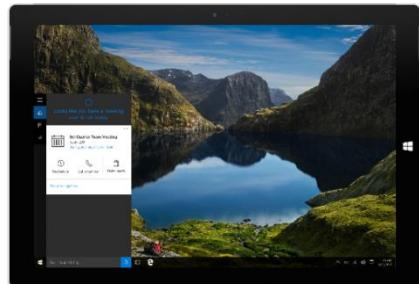
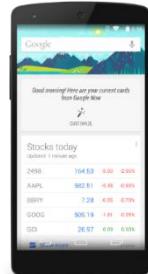
2017

Virtual Personal Assistants



Language Empowering Intelligent Assistant

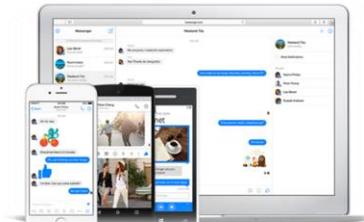
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Apple Siri (2011)

Google Now (2012)
Google Assistant (2016)

Microsoft Cortana (2014)



Amazon Alexa/Echo (2014) Facebook M & Bot (2015) Google Home (2016) Apple HomePod (2017)

Conversational Agents

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Chit-Chat



Task-Oriented



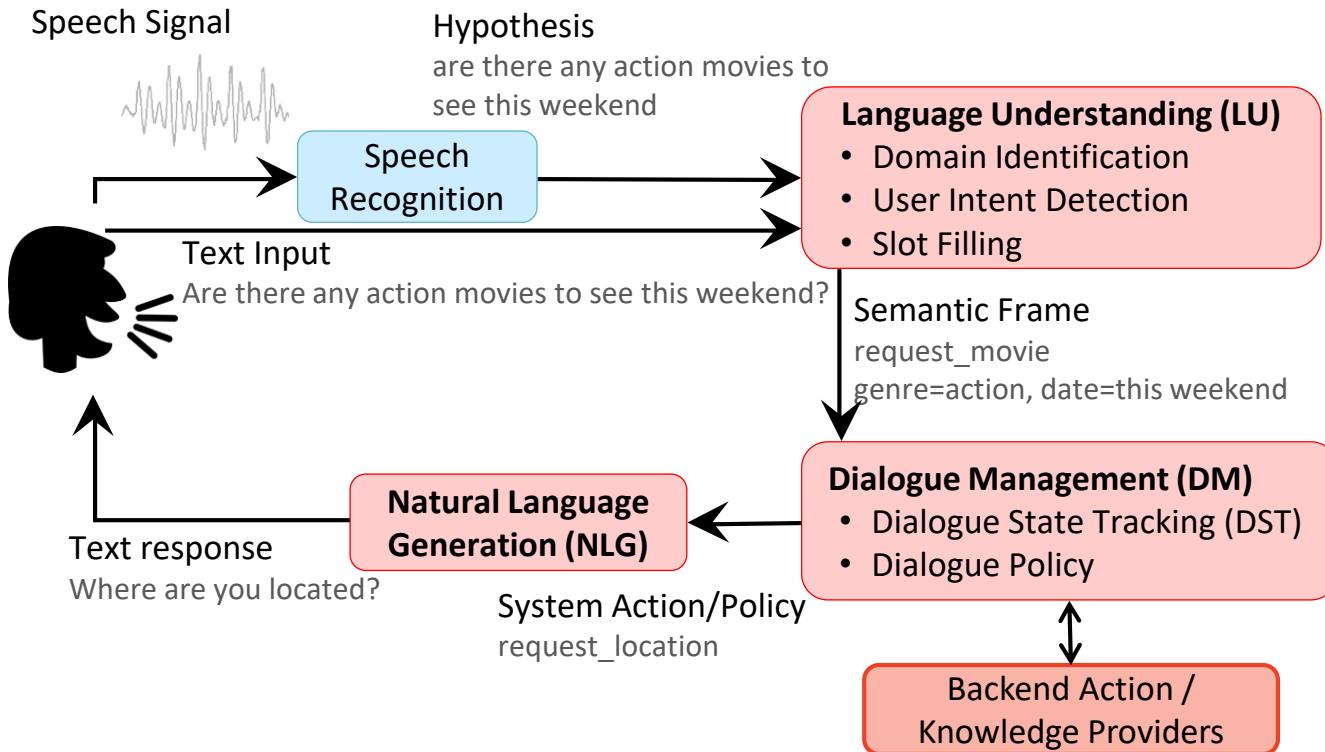
Challenges

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- Variability in natural language
- Robustness
- Recall/Precision Trade-off
- Meaning Representation
- Common Sense, World Knowledge
- Ability to learn
- Transparency

Task-Oriented Dialogue System (Young, 2000)

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<http://rsta.royalsocietypublishing.org/content/358/1769/1389.short>

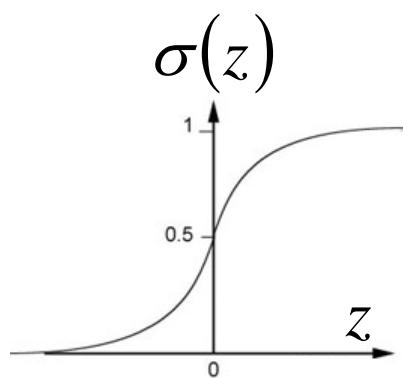
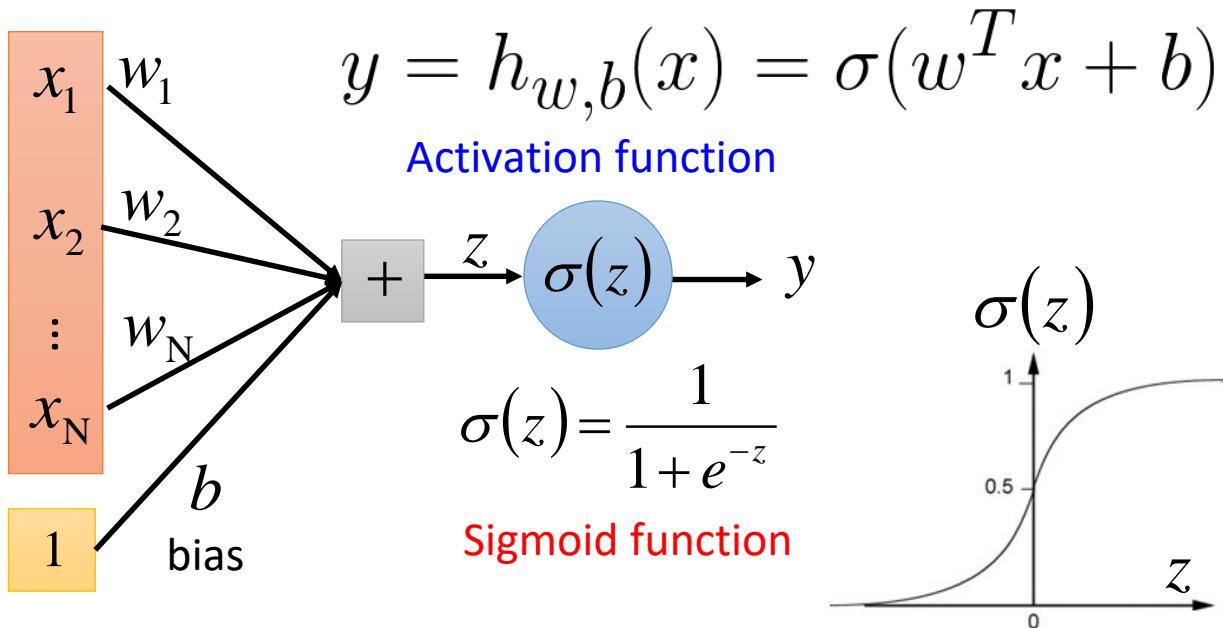
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A Single Neuron

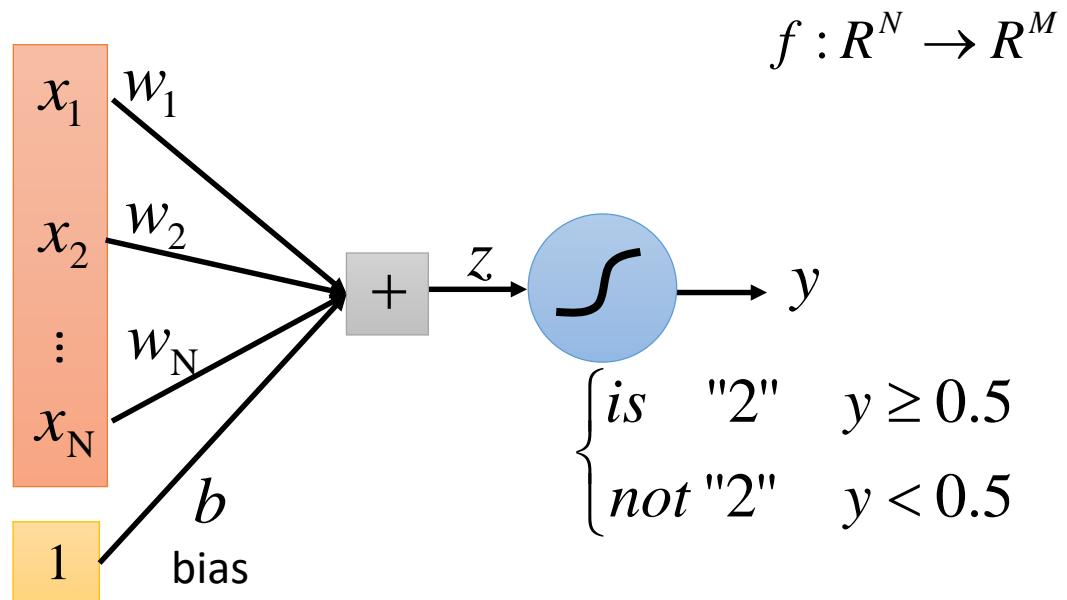
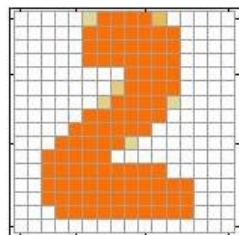
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w, b are the parameters of this neuron

A Single Neuron

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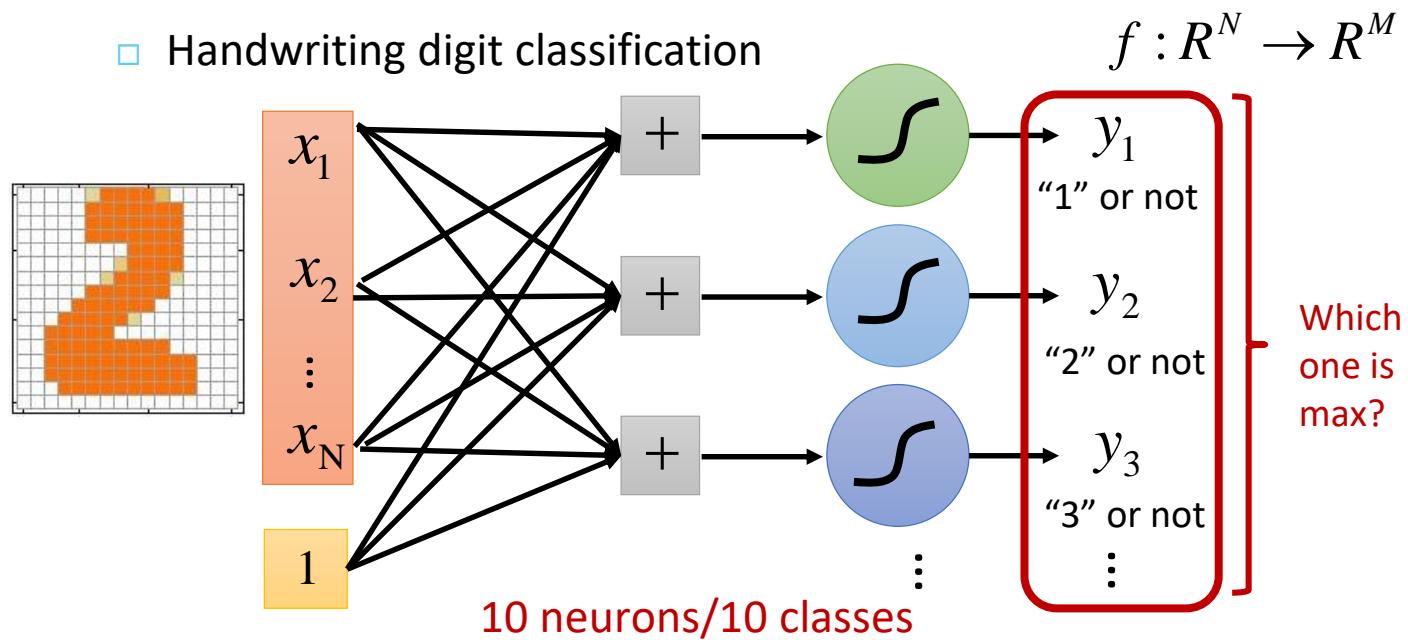


A single neuron can only handle binary classification

A Layer of Neurons

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- Handwriting digit classification



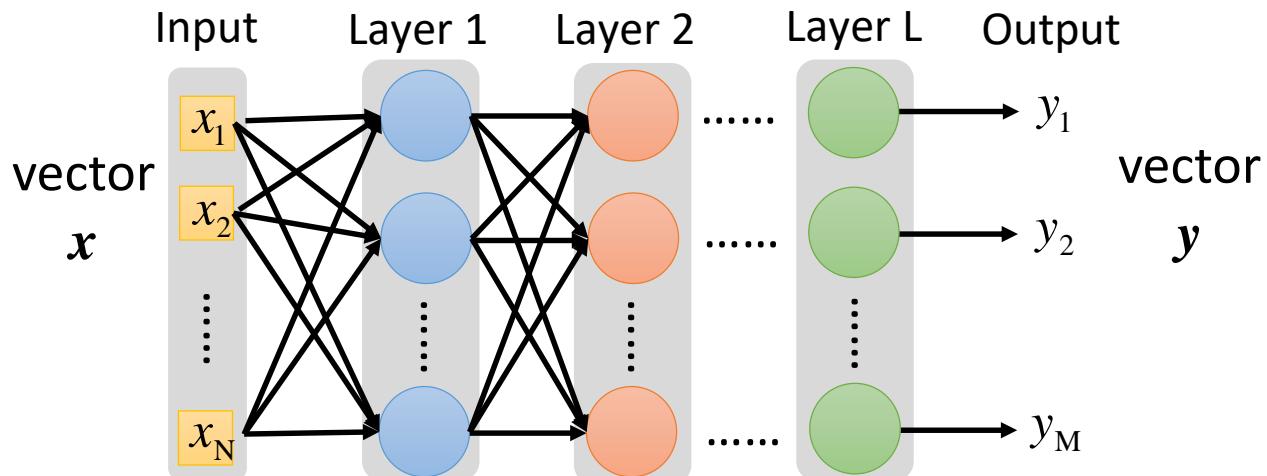
A layer of neurons can handle multiple possible output, and the result depends on the max one

Deep Neural Networks (DNN)

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- Fully connected feedforward network

$$f : R^N \rightarrow R^M$$



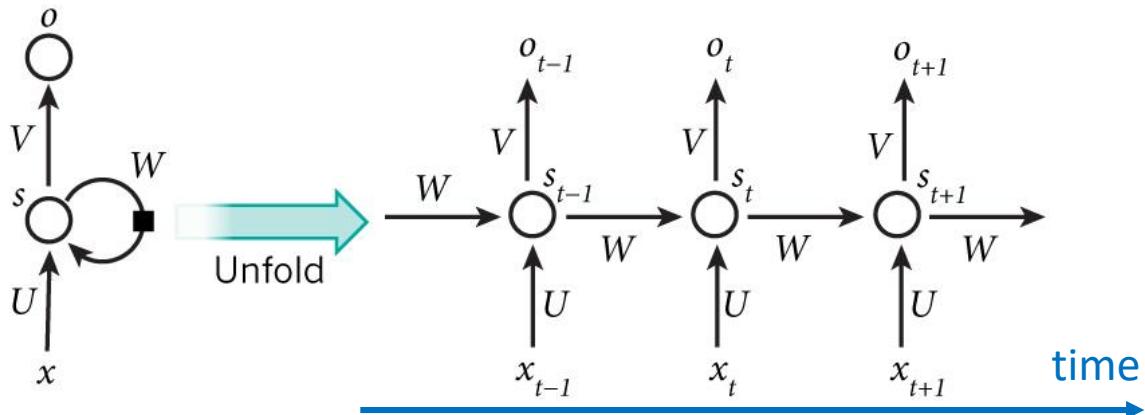
Deep NN: multiple hidden layers

Recurrent Neural Network (RNN)

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$$s_t = \sigma(W s_{t-1} + U x_t) \quad \sigma(\cdot): \text{tanh, ReLU}$$

$$o_t = \text{softmax}(V s_t)$$



RNN can learn accumulated sequential information (time-series)

Outline

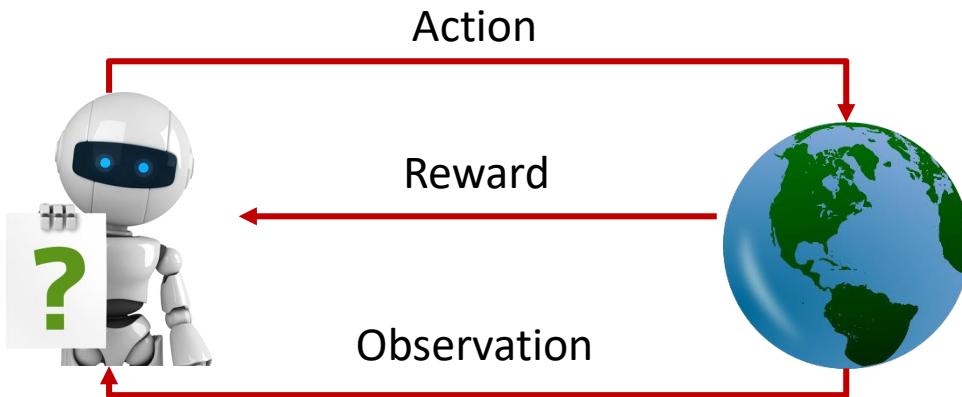
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- Introduction & Background
 - ▣ Neural Networks
 - ▣ **Reinforcement Learning**
- Modular Dialogue System
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Reinforcement Learning

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- RL is a general purpose framework for **decision making**
 - ▣ RL is for an *agent* with the capacity to *act*
 - ▣ Each *action* influences the agent's future *state*
 - ▣ Success is measured by a scalar *reward* signal
 - ▣ Goal: *select actions to maximize future reward*

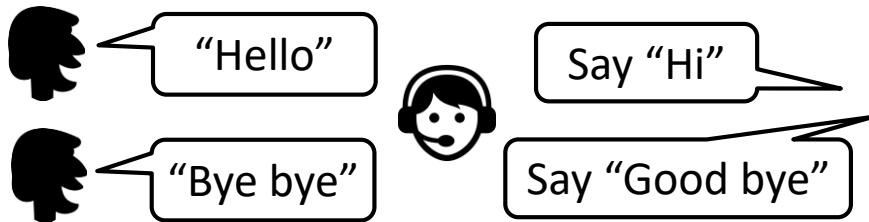


Supervised v.s. Reinforcement

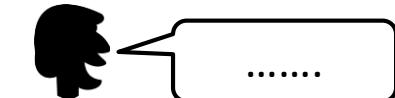
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□ Supervised

Learning from teacher



□ Reinforcement

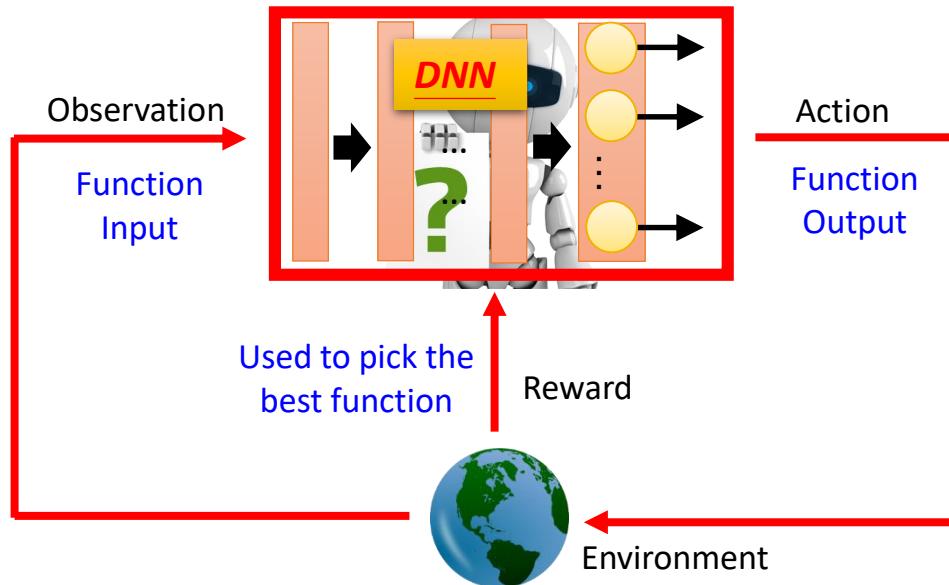


Learning from critics



Deep Reinforcement Learning

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Goal: select actions that maximize the expected total reward

$$\mathbb{E}[R(s_0) + \gamma R(s_1) + \gamma^2 R(s_2) + \dots]$$

Part II

Modular Dialogue System

Outline

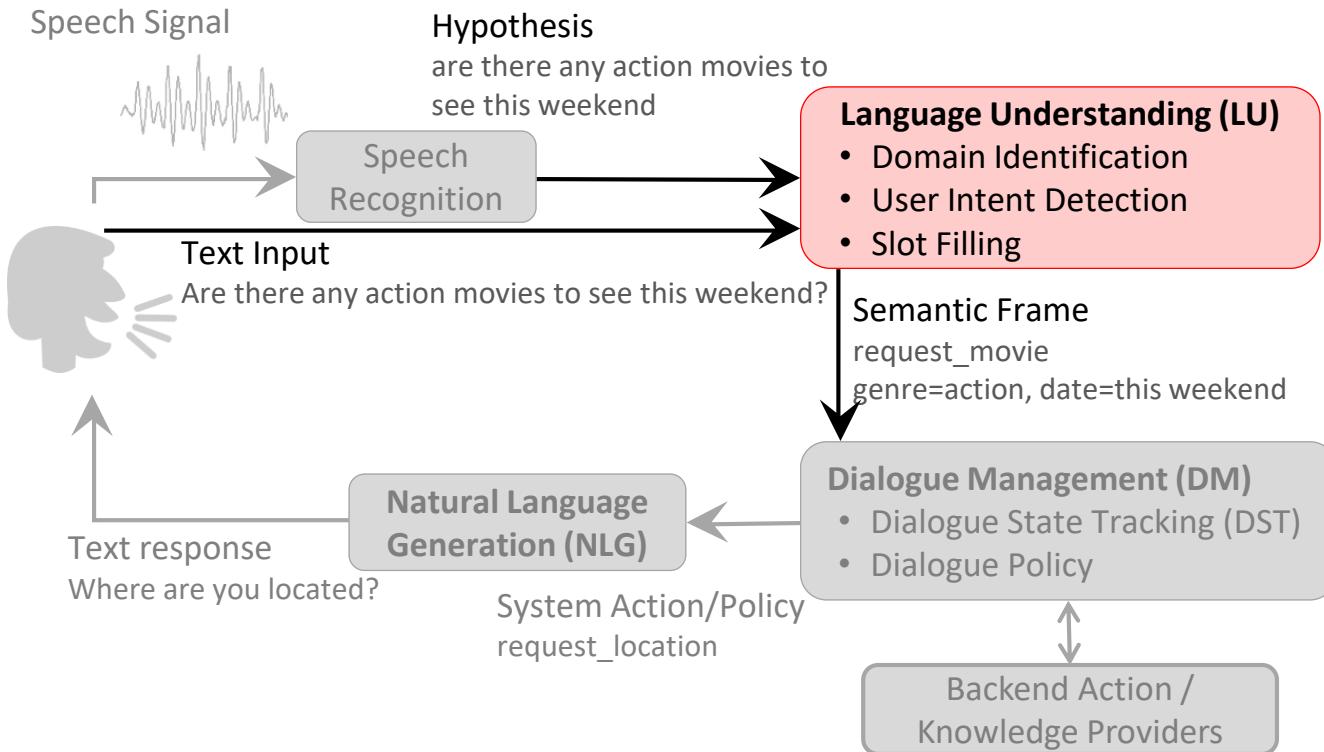
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Task-Oriented Dialogue System (Young, 2000)

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Semantic Frame Representation

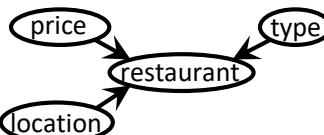
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- Requires a domain ontology: early connection to **backend**
- Contains **core content (intent, a set of slots with fillers)**

**Restaurant
Domain**



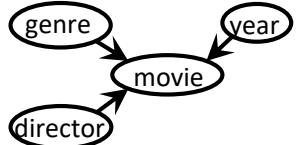
find me a cheap taiwanese restaurant in oakland



find_restaurant (price="cheap",
type="taiwanese", location="oakland")

**Movie
Domain**

show me action movies directed by james cameron

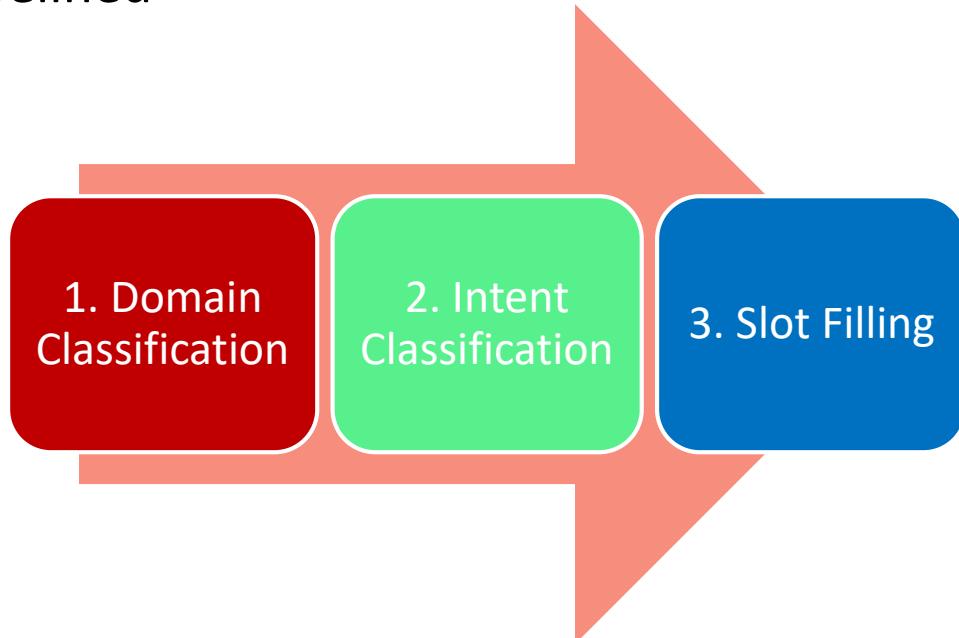


find_movie (genre="action",
director="james cameron")

Language Understanding (LU)

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□ Pipelined



LU – Domain/Intent Classification

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As an utterance classification task

- Given a collection of utterances u_i with labels c_i ,
 $D = \{(u_1, c_1), \dots, (u_n, c_n)\}$ where $c_i \in C$, train a model to estimate labels for new utterances u_k .

find me a cheap taiwanese restaurant in oakland

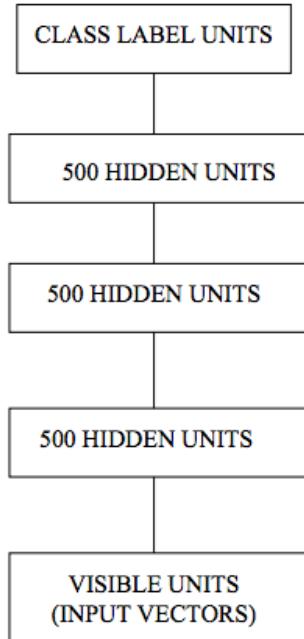
Movies	find_movie, buy_tickets
Restaurants	find_restaurant, find_price, book_table
Music	find_lyrics, find_singer
Sports	...
...	
Domain	Intent

Domain/Intent Classification (Sarikaya+, 2011)

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<http://ieeexplore.ieee.org/abstract/document/5947649>

- Deep belief nets (DBN)
 - ▣ Unsupervised training of weights
 - ▣ Fine-tuning by back-propagation
 - ▣ Compared to MaxEnt, SVM, and boosting

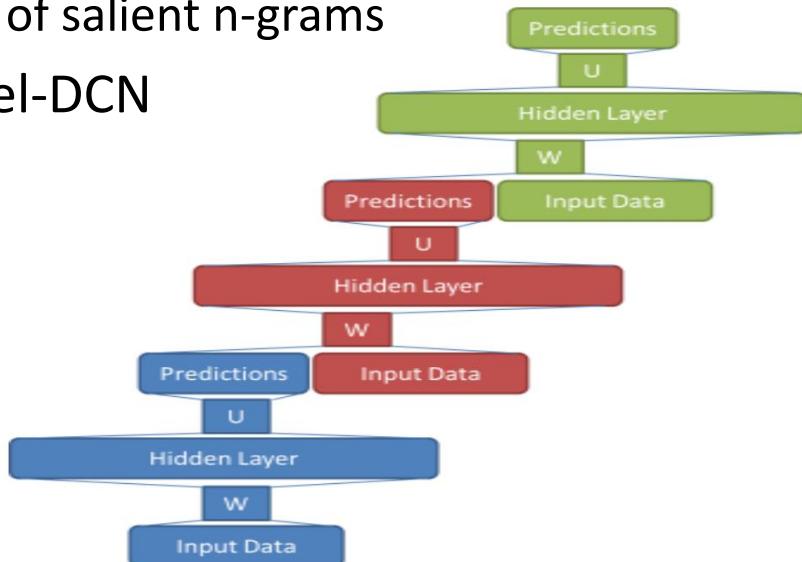


Domain/Intent Classification (Tur+, 2012; Deng+, 2012)

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<http://ieeexplore.ieee.org/abstract/document/6289054/>; <http://ieeexplore.ieee.org/abstract/document/6424224>

- Deep convex networks (DCN)
 - ▣ Simple classifiers are stacked to learn complex functions
 - ▣ Feature selection of salient n-grams
- Extension to kernel-DCN

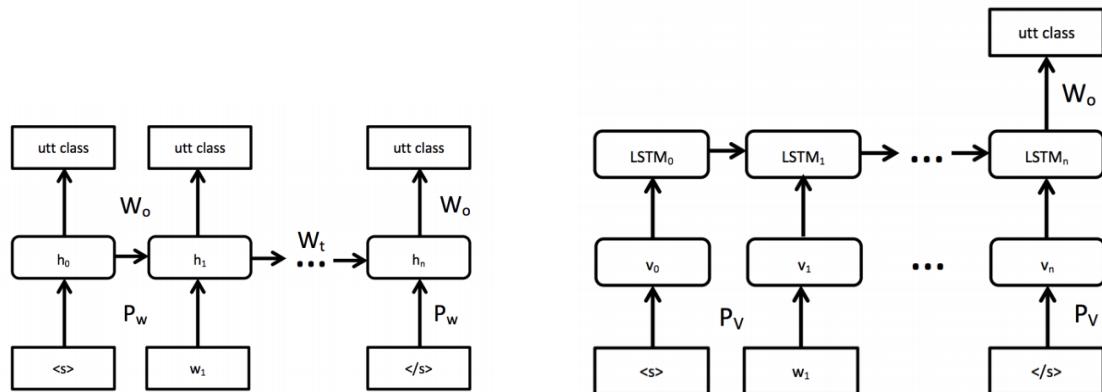


Domain/Intent Classification (Ravuri & Stolcke, 2015)

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https://www.microsoft.com/en-us/research/wp-content/uploads/2016/02/RNNLM_addressee.pdf

□ RNN and LSTMs for utterance classification

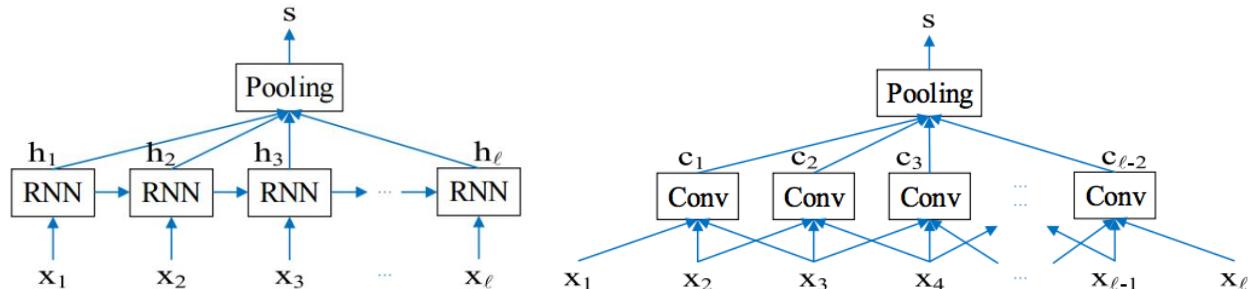


Intent decision after reading all words performs better

Dialogue Act Classification (Lee & Dernoncourt, 2016)

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- RNN and CNNs for dialogue act classification



LU – Slot Filling

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As a sequence tagging task

- Given a collection tagged word sequences,
 $S = \{((w_{1,1}, w_{1,2}, \dots, w_{1,n_1}), (t_{1,1}, t_{1,2}, \dots, t_{1,n_1})), ((w_{2,1}, w_{2,2}, \dots, w_{2,n_2}), (t_{2,1}, t_{2,2}, \dots, t_{2,n_2})) \dots\}$
where $t_i \in M$, the goal is to estimate tags for a new word sequence.



flights from Boston to New York today

	flights	from	Boston	to	New	York	today
Entity Tag	O	O	B-city	O	B-city	I-city	O
Slot Tag	O	O	B-dept	O	B-arrival	I-arrival	B-date

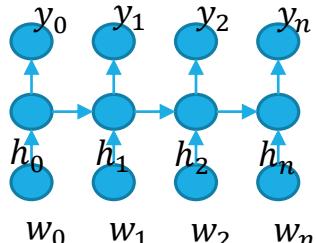
Slot Tagging (Yao+, 2013; Mesnil+, 2015)

30

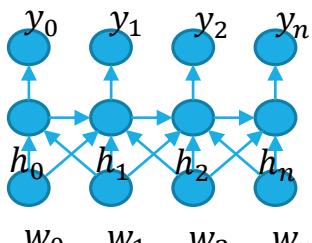
<http://131.107.65.14/en-us/um/people/gzweig/Pubs/Interspeech2013RNNLU.pdf>; <http://dl.acm.org/citation.cfm?id=2876380>

□ Variations:

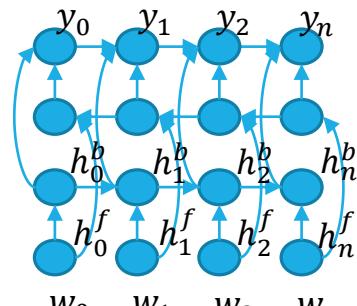
- a. RNNs with LSTM cells
- b. Input, sliding window of n-grams
- c. Bi-directional LSTMs



(a) LSTM



(b) LSTM-LA



(c) bLSTM

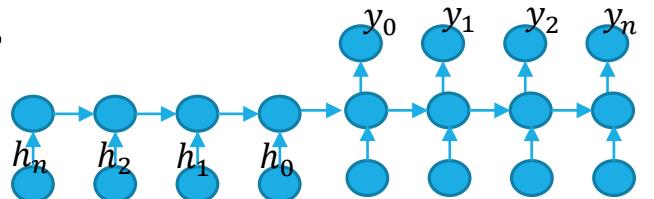
Slot Tagging (Kurata+, 2016; Simonnet+, 2015)

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<http://www.aclweb.org/anthology/D16-1223>

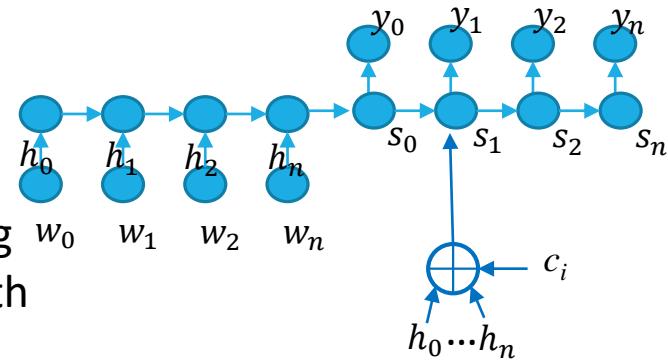
- Encoder-decoder networks

- ▣ Leverages sentence level information



- Attention-based encoder-decoder

- ▣ Use of attention (as in MT) in the encoder-decoder network



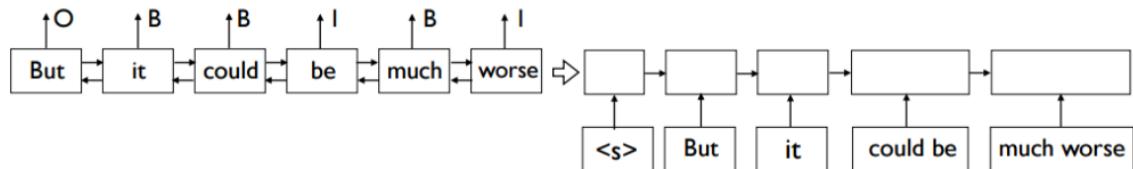
- ▣ Attention is estimated using a feed-forward network with input: h_t and s_t at time t

Joint Segmentation & Slot Tagging (Zhai+, 2017)

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<https://arxiv.org/pdf/1701.04027.pdf>

- Encoder that segments
- Decoder that tags the segments



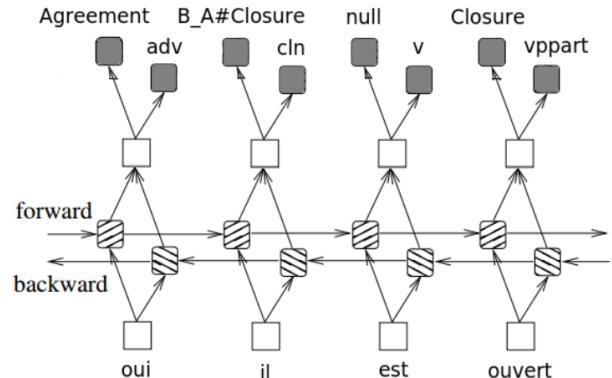
Multi-Task Slot Tagging (Jaech+, 2016; Tafforeau+, 2016)

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<https://arxiv.org/abs/1604.00117>; http://www.sensei-conversation.eu/wp-content/uploads/2016/11/favre_is2016b.pdf

□ Multi-task learning

- Goal: exploit data from domains/tasks with a lot of data to improve ones with less data
- Lower layers are shared across domains/tasks
- Output layer is specific to task

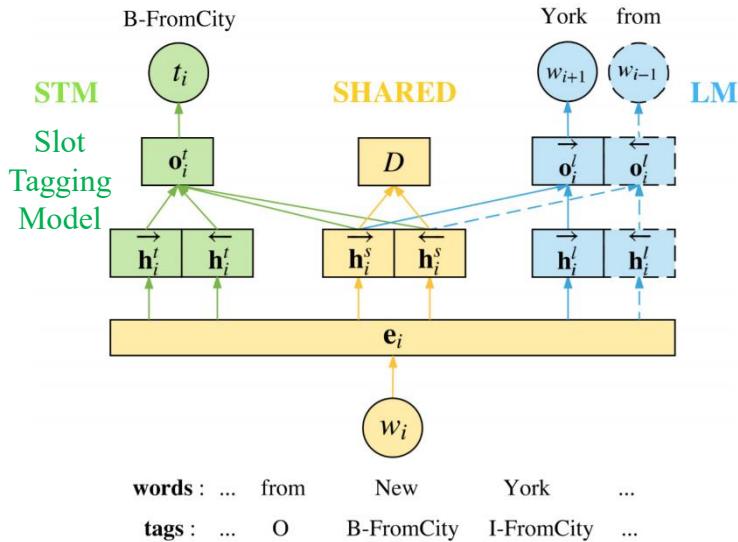


Semi-Supervised Slot Tagging (Lan+, 2018)

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<https://speechlab.sjtu.edu.cn/papers/oyl11-lan-icassp18.pdf>

Idea: language understanding objective can enhance other tasks



Algorithm 1: Adversarial Multi-task Learning for SLU

Input : Labeled training data $\{(\mathbf{w}^l, \mathbf{t}^l)\}$
Unlabeled data $\{\mathbf{w}^u\}$

Output: Adversarially enhanced slot tagging model

- 1 Initialize parameters $\{\theta^s, \theta^t, \theta^l, \theta^d\}$ randomly.
 - 2 **repeat**
 - 3 /* Sample from $\{(\mathbf{w}^l, \mathbf{t}^l)\}$ */
Train the STM and shared model by Eq.(8).
 - 4 Train the task discriminator and the shared model by Eq.(6) or Eq.(7) as slot tagging task ($y = 1$).
/* Sample from $\{\mathbf{w}^l\}$ and $\{\mathbf{w}^u\}$ */
 - 5 Train the LM and shared models by Eq.(9) (and Eq.(10) for BLM).
 - 6 Train the task discriminator and the shared model by Eq.(6) or Eq.(7) as LM task ($y = 0$).
 - 7 **until** convergence;
-

BLM exploits the *unsupervised knowledge*, the *shared-private framework* and *adversarial training* make the slot tagging model more generalized

LU Evaluation

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- Metrics
 - ▣ Sub-sentence-level: intent accuracy, intent F1, slot F1
 - ▣ Sentence-level: whole frame accuracy

Joint Semantic Frame Parsing (Hakkani-Tur+, 2016; Liu & Lane, 2016)

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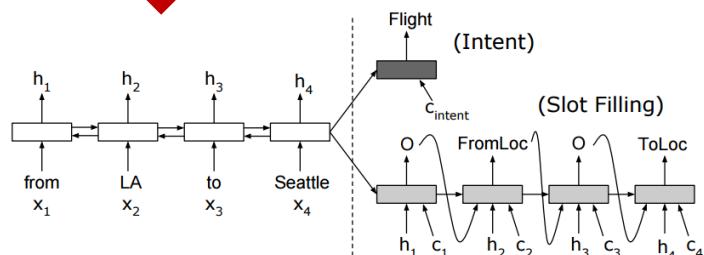
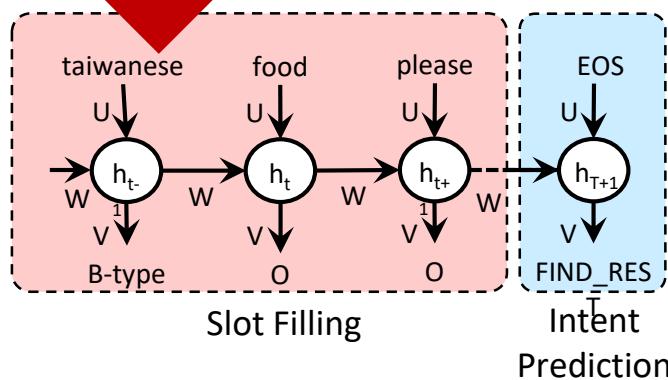
https://www.microsoft.com/en-us/research/wp-content/uploads/2016/06/IS16_MultiJoint.pdf; <https://arxiv.org/abs/1609.01454>

Sequence-based
(Hakkani-Tur+, 2016)

- Slot filling and intent prediction in the same output sequence

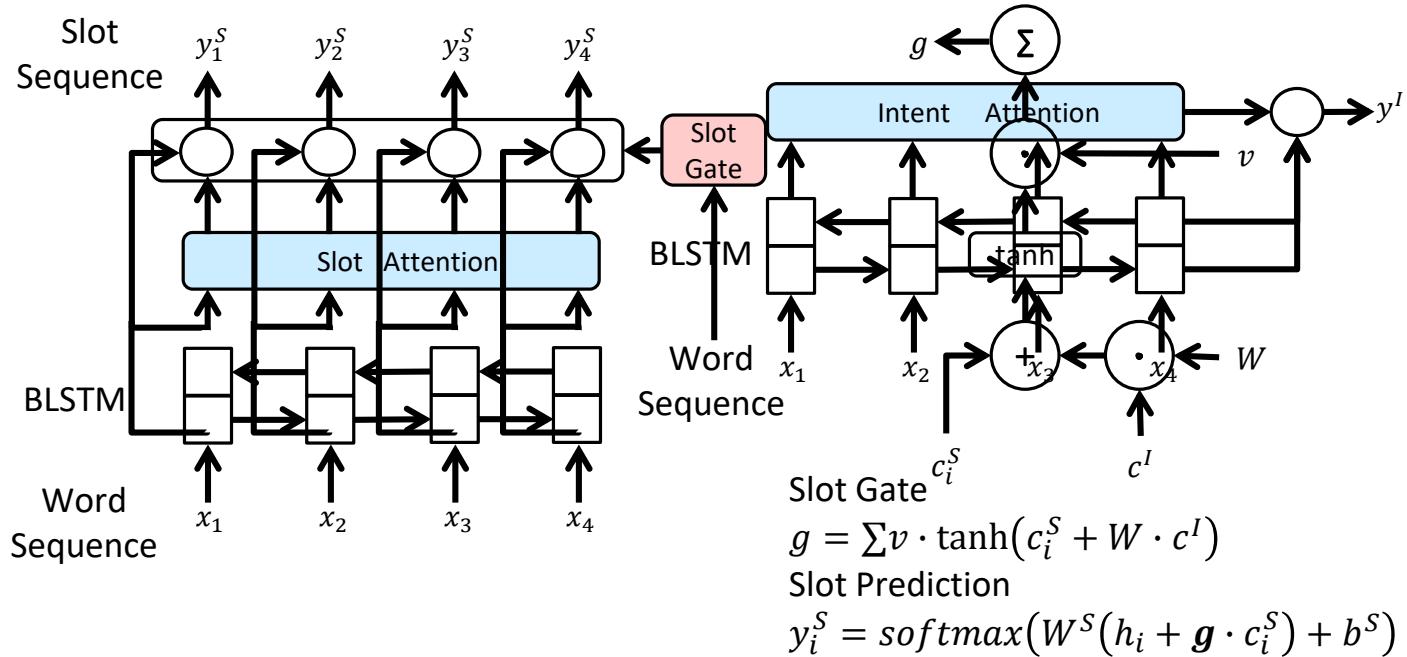
Parallel
(Liu & Lane, 2016)

- Intent prediction and slot filling are performed in two branches



Slot-Gated Joint SLU (Goo+, 2018)

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g will be larger if slot and intent are better related

Contextual LU

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Domain Identification → Intent Prediction → Slot Filling

D communication *I* send_email

U just sent email to bob about fishing this weekend
S O O O O O I-subject I-subject I-subject
 B-contact_name B-subject I-subject I-subject
 $\rightarrow \text{send_email}(\text{contact_name}=\text{"bob"}, \text{subject}=\text{"fishing this weekend"})$

Single Turn

U₁ send email to bob

S₁ B-contact_name
 $\rightarrow \text{send_email}(\text{contact_name}=\text{"bob"})$

Multi-Turn

U₂ are we going to fish this weekend

S₂ B-message I-message I-message I-message I-message I-message
 I-message I-message I-message I-message I-message

$\rightarrow \text{send_email}(\text{message}=\text{"are we going to fish this weekend"})$

Contextual LU

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- User utterances are highly ambiguous in isolation

Restaurant  Book a table for 10 people tonight.

Booking

Which restaurant would you like to book a table for?

 Cascal, for 6.

#people time

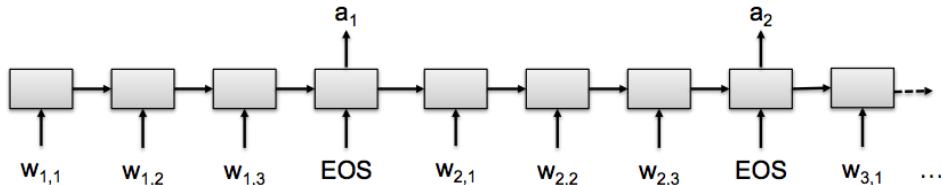


Contextual LU (Bhargava+, 2013; Hori+, 2015)

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<https://www.merl.com/publications/docs/TR2015-134.pdf>

- Leveraging contexts
 - ▣ Used for individual tasks
- Seq2Seq model
 - ▣ Words are input one at a time, tags are output at the end of each utterance

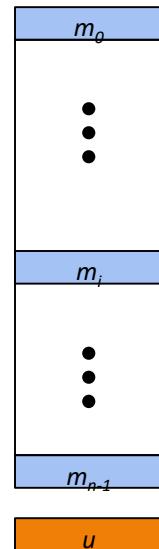


- Extension: LSTM with speaker role dependent layers

End-to-End Memory Networks (Sukhbaatar+, 2015)

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U: "i d like to purchase tickets to see deepwater horizon"



S: "for which theatre"

U: "angelika"

S: "you want them for angelika theatre?"

U: "yes angelika"

S: "how many tickets would you like ?"



U: "3 tickets for saturday"

S: "What time would you like ?"

U: "Any time on saturday is fine"

S: "okay , there is 4:10 pm , 5:40 pm and 9:20 pm"



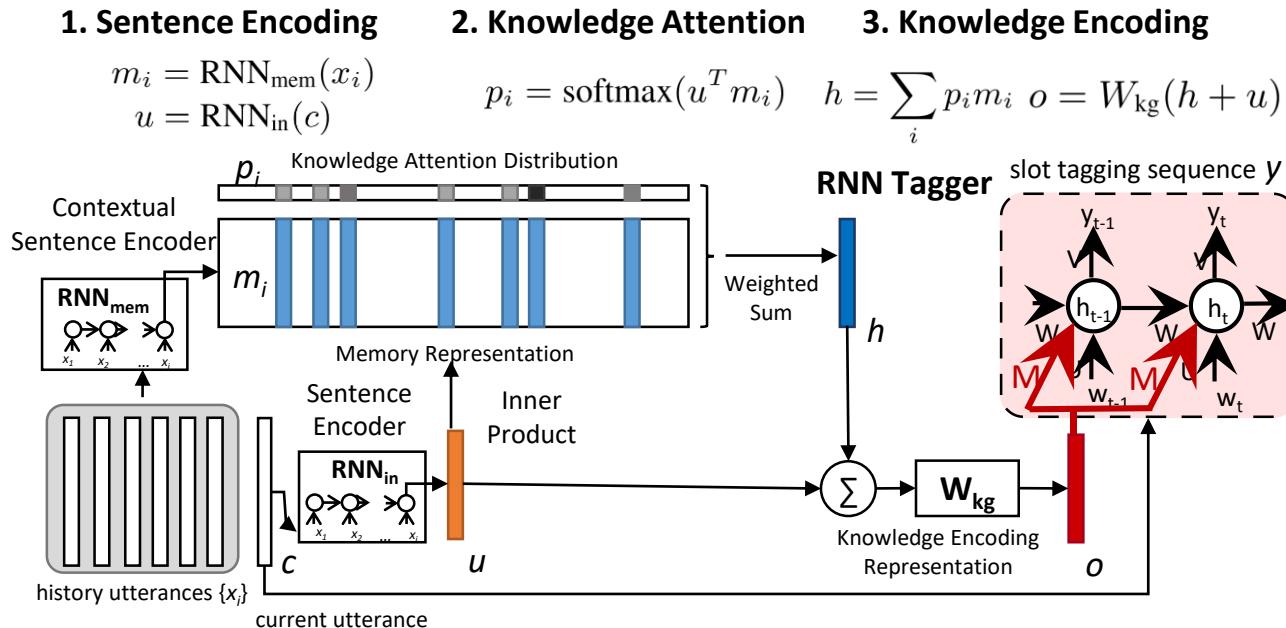
U: "Let's do 5:40"



E2E MemNN for Contextual LU (Chen+, 2016)

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https://www.microsoft.com/en-us/research/wp-content/uploads/2016/06/IS16_ContextualSLU.pdf



Idea: additionally incorporating contextual knowledge during slot tagging
 → track dialogue states in a latent way

Analysis of Attention

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U: "i'd like to purchase tickets to see deepwater horizon"

→ 0.69

S: "for which theatre"

U: "angelika"

S: "you want them for angelika theatre?"

U: "yes angelika"

S: "how many tickets would you like ?"

→ 0.13

U: "3 tickets for saturday"

S: "What time would you like ?"

U: "Any time on saturday is fine"

S: "okay , there is 4:10 pm , 5:40 pm and 9:20 pm"

→ 0.16

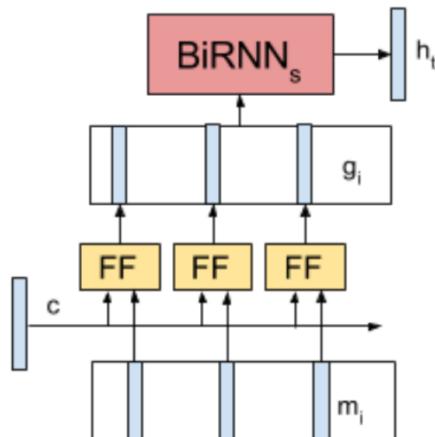
U: "Let's do 5:40"

Dialogue Encoder Network (Bapna+, 2017)

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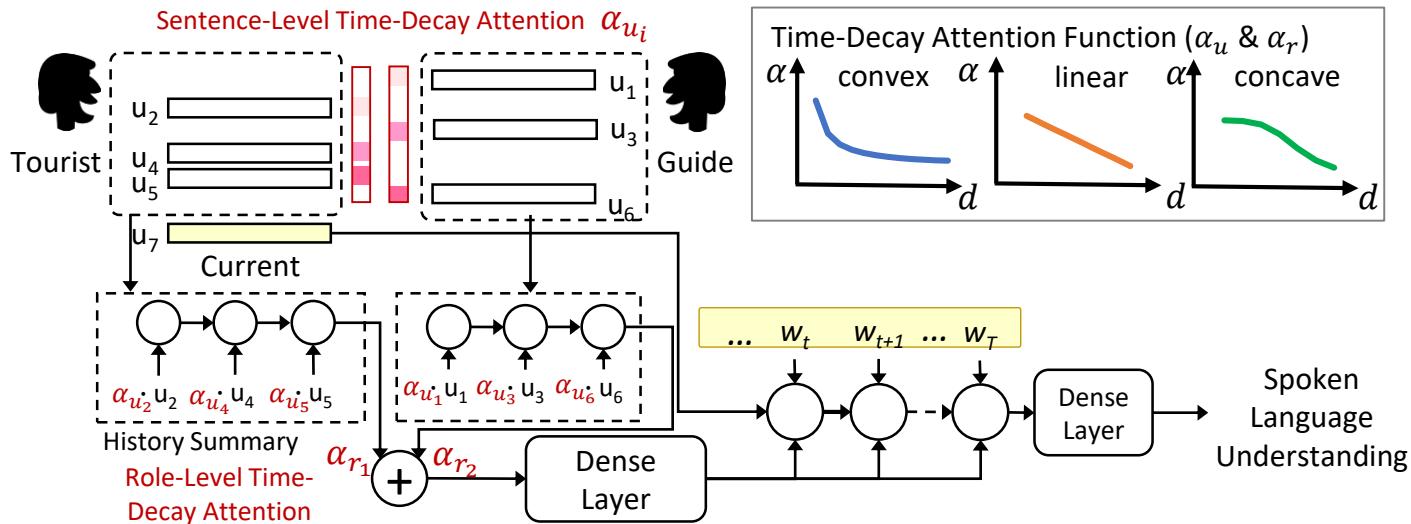
<http://aclweb.org/anthology/W17-5514>

- Past and current turn encodings input to a feed forward network



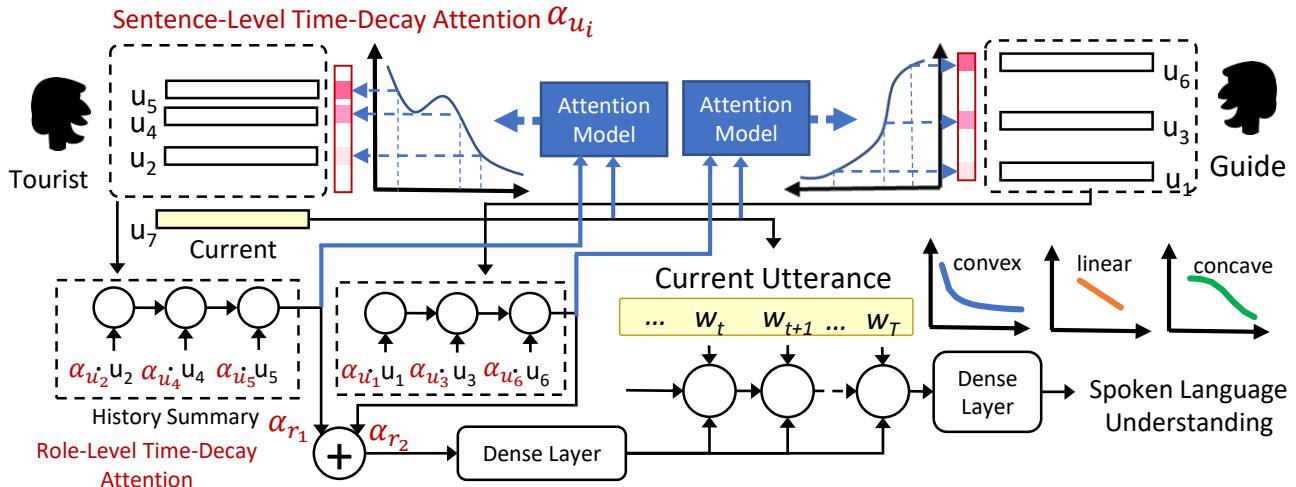
Role-Based Time-Decay Attention (Su+, 2018)

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<http://aclweb.org/anthology/N18-1194>


Context-Sensitive Time-Decay (Su+, 2018)

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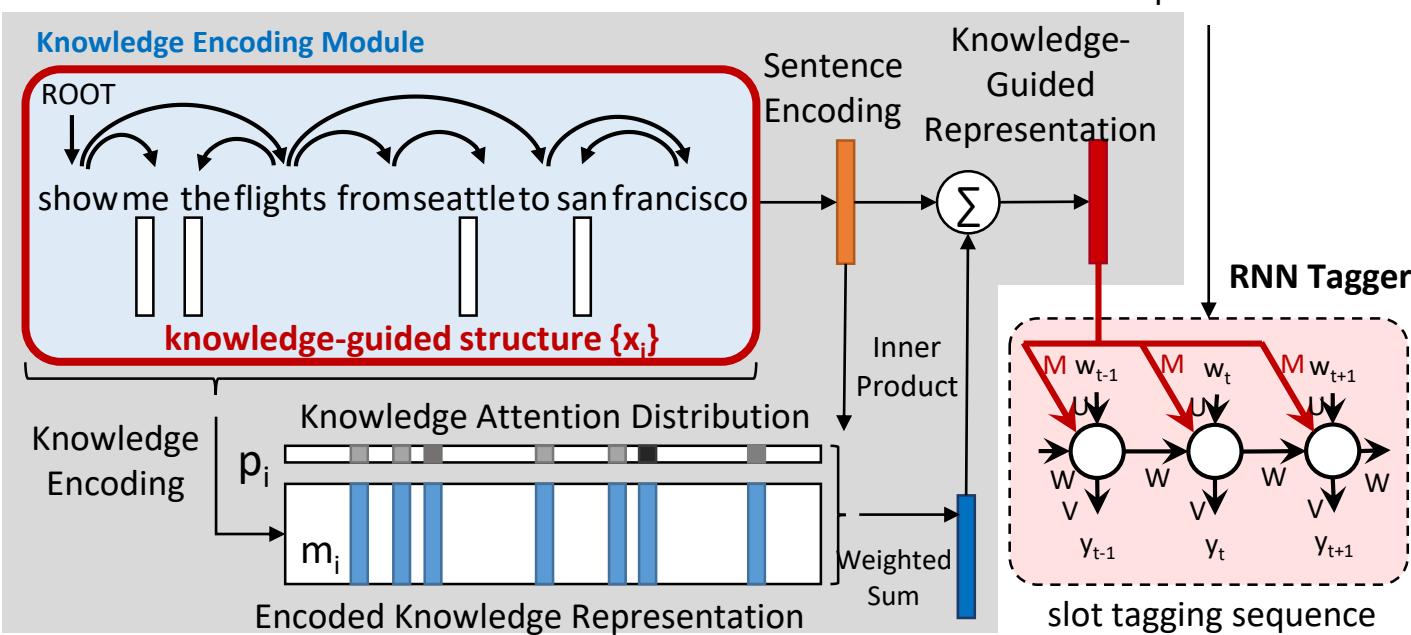
Time-decay attention significantly improves the understanding results

Structural LU (Chen+, 2016)

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<http://arxiv.org/abs/1609.03286>

□ Prior knowledge as a teacher



Structural LU (Chen+, 2016)

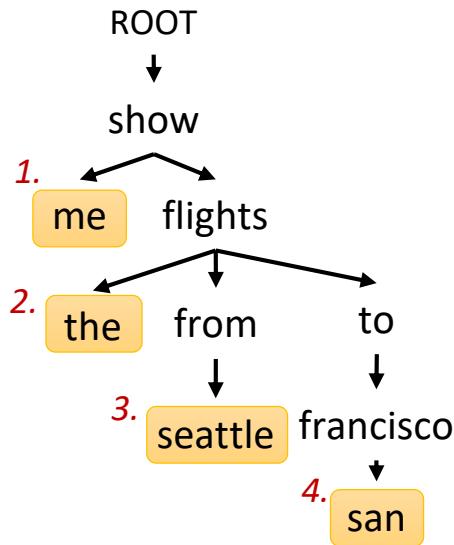
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<http://arxiv.org/abs/1609.03286>

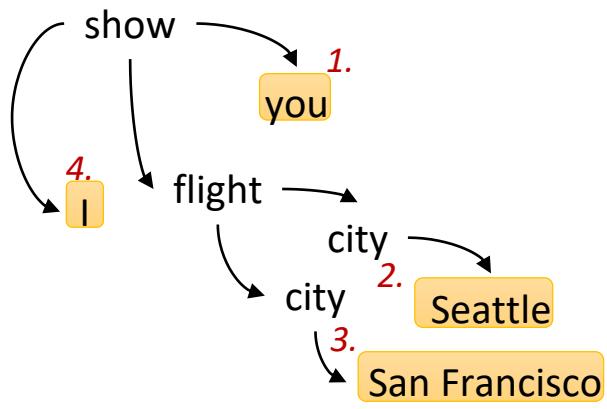
- Sentence structural knowledge stored as memory

Sentence s show me the flights from seattle to san francisco

Syntax (Dependency Tree)



Semantics (AMR Graph)

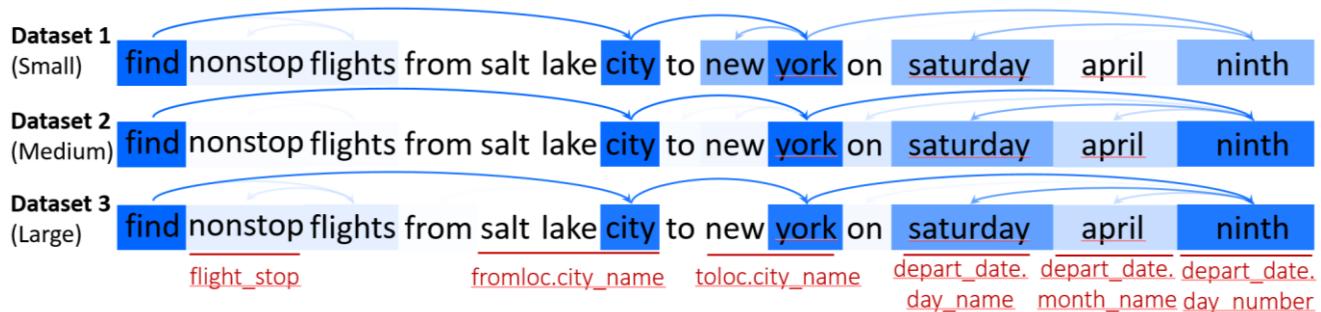


Structural LU (Chen+, 2016)

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<http://arxiv.org/abs/1609.03286>

- Sentence structural knowledge stored as memory



Using less training data with K-SAN allows the model pay the similar attention to the salient substructures

Semantic Frame Representation

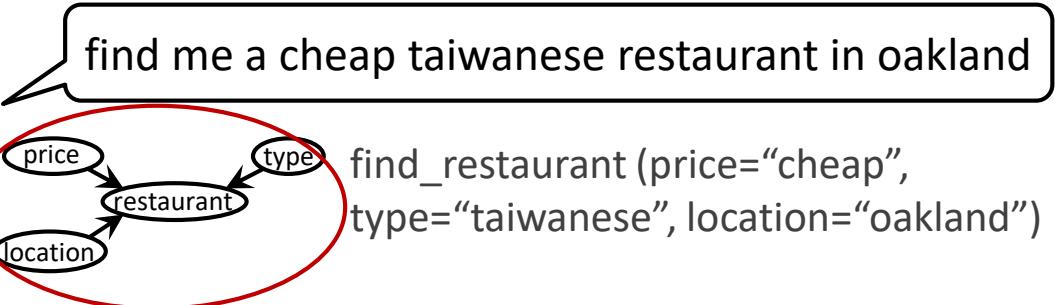
50

- Requires a domain ontology: early connection to **backend**
- Contains **core content (intent, a set of slots with fillers)**

**Restaurant
Domain**

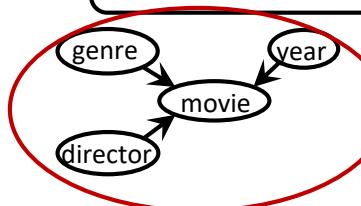


find me a cheap taiwanese restaurant in oakland



**Movie
Domain**

show me action movies directed by james cameron



find_movie (genre="action",
director="james cameron")

LU – Learning Semantic Ontology (Chen+, 2013)

51

<http://www.cs.cmu.edu/~ananlada/ConceptIdentificationICSLP02.pdf>, <http://ieeexplore.ieee.org/abstract/document/6707716>

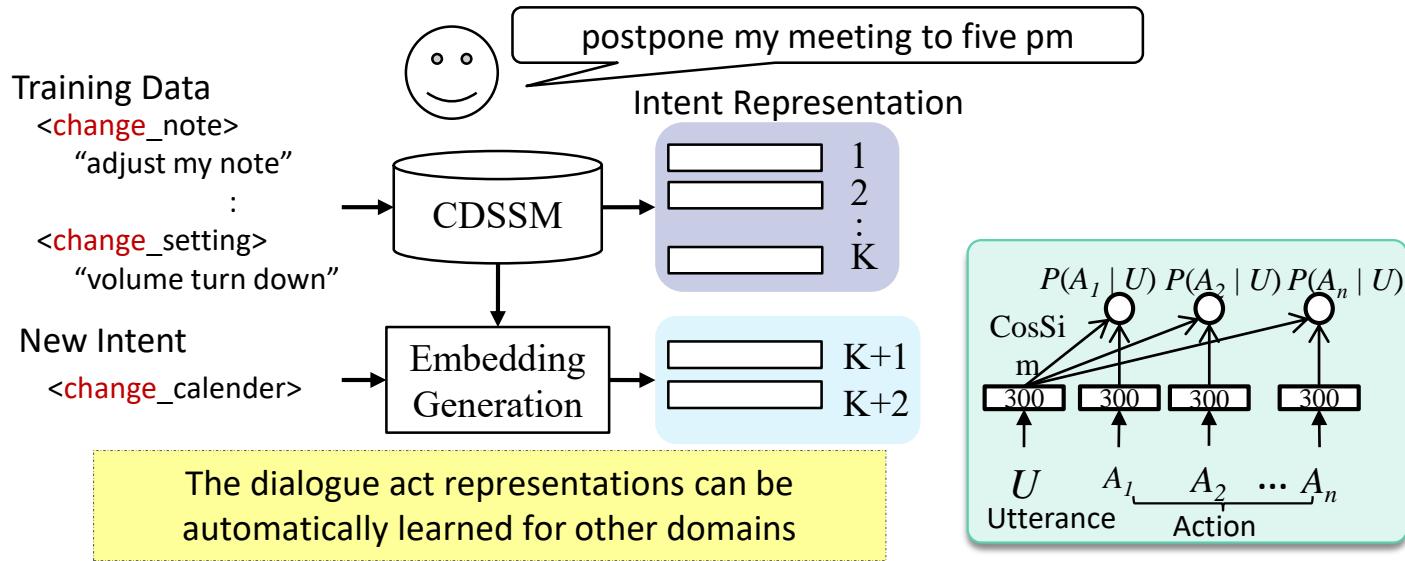
- Learning key domain concepts from goal-oriented human-human conversations
 - ▣ Clustering with mutual information and KL divergence (Chotimongkol & Rudnicky, 2002)
 - ▣ Spectral clustering based slot ranking model (Chen et al., 2013)
 - Use a state-of-the-art frame-semantic parser trained for FrameNet
 - Adapt the generic output of the parser to the target semantic space

LU – Intent Expansion (Chen+, 2016)

52

<http://ieeexplore.ieee.org/abstract/document/7472838>

- Transfer dialogue acts across domains
 - Dialogue acts are similar for multiple domains
 - Learning new intents by information from other domains



LU – Language Extension (Upadhyay+, 2018)

53

<http://shyamupa.com/papers/UFTHH18.pdf>

- Source language: English (full annotations)
- Target language: Hindi (limited annotations)

RT: round trip, FC: from city, TC: to city, DDN: departure day name

Utt: find a one way flight from boston to atlanta on wednesday

Slots: O O B-RT I-RT O O B-FC O B-TC O B-DDN

(a) English Utterance

Utt: बुधवार को बोस्टन से अटलांटा तक जाने वाली एकतरफा उड़ाने खोजें

Slots: B-DDN O B-FC O B-TC O O O B-RT O O

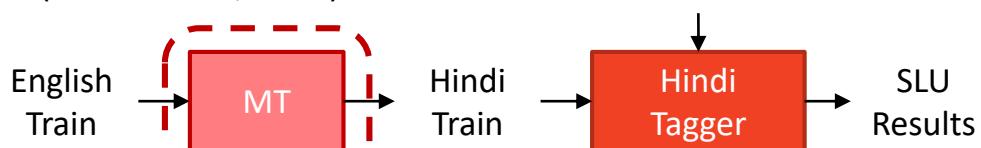
(b) Hindi Utterance

LU – Language Extension (Upadhyay+, 2018)

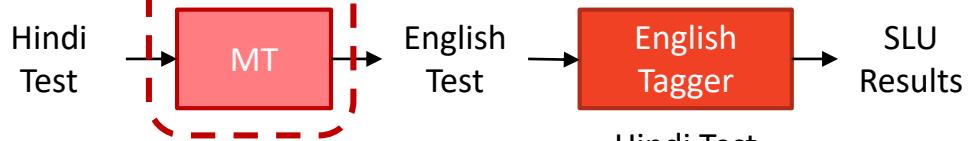
54

<http://shyamupa.com/papers/UFTHH18.pdf>

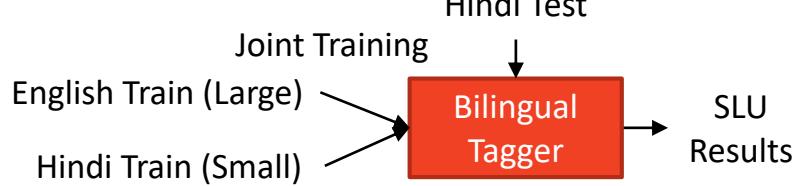
Train on Target (Lefevre et al, 2010)



Test on Source (Jabaian et al, 2011)



Joint Training



MT system is not required and both languages can be processed by a single model

Outline

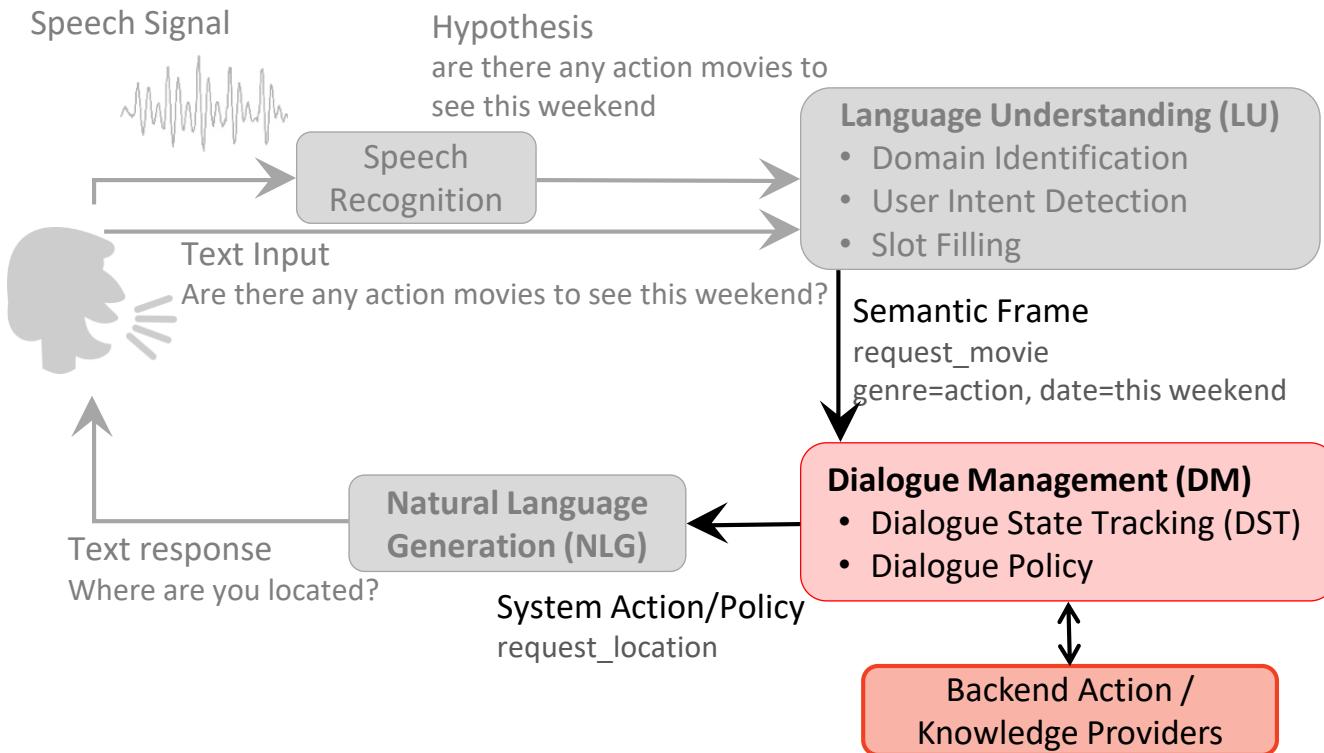
55

- Introduction & Background
 - ▣ Neural Networks
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- Modular Dialogue System
 - ▣ Spoken/Natural Language Understanding (SLU/NLU)
 - ▣ **Dialogue Management (DM)**
 - **Dialogue State Tracking (DST)**
 - Dialogue Policy Optimization
 - ▣ Natural Language Generation (NLG)
 - ▣ End-to-End Neural Dialogue Systems
- System Evaluation
- Recent Trends on Learning Dialogues



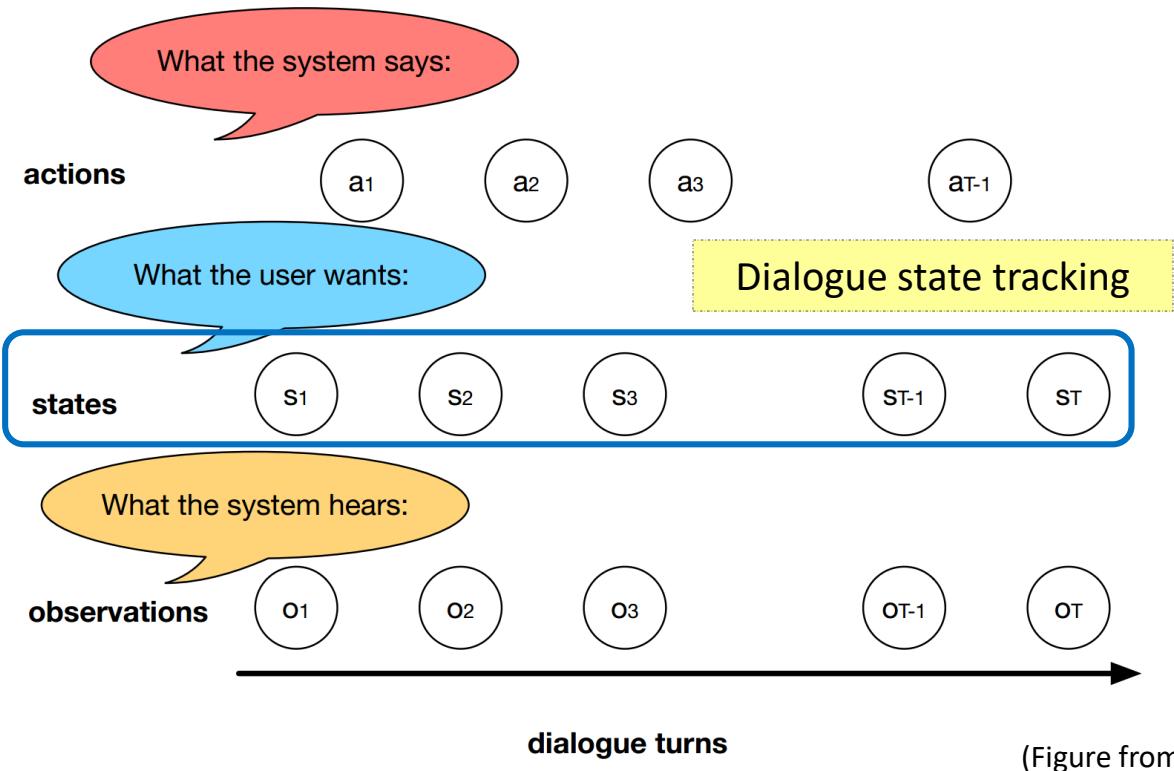
Task-Oriented Dialogue System (Young, 2000)

56



Elements of Dialogue Management

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Dialogue State Tracking (DST)

58

- Dialogue state: *a representation of the system's belief of the user's goal(s) at any time during the dialogue*
- Inputs
 - ▣ Current user utterance
 - ▣ Preceding system response
 - ▣ Results from previous turns
- For
 - ▣ Looking up knowledge or making API call(s)
 - ▣ Generating the next system action/response

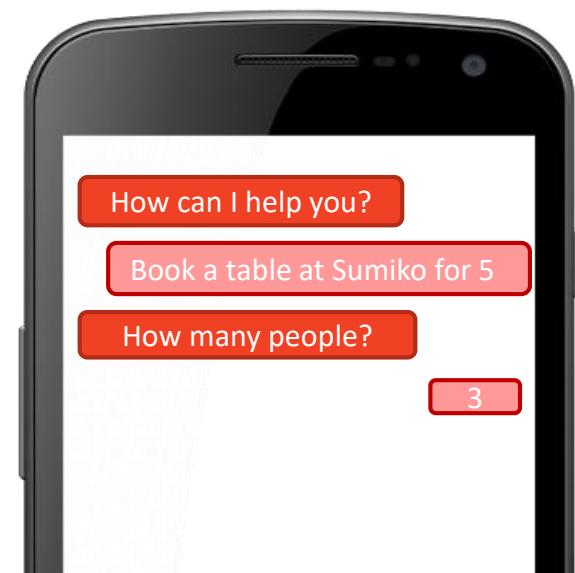
Dialogue State Tracking (DST)

59

- Maintain a probabilistic distribution instead of a 1-best prediction for better robustness to SLU errors or ambiguous input

Slot	Value
# people	5 (0.5)
time	5 (0.5)

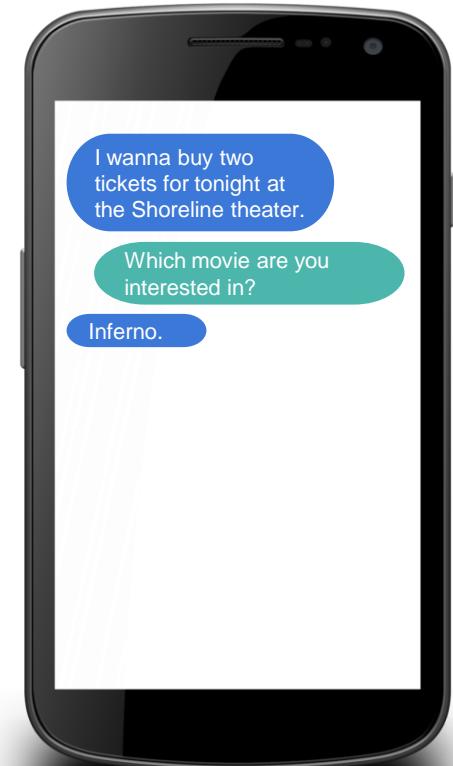
Slot	Value
# people	3 (0.8)
time	5 (0.8)



Multi-Domain Dialogue State Tracking

60

- A full representation of the system's belief of the user's goal at any point during the dialogue
- Used for making API calls



Multi-Domain Dialogue State Tracking

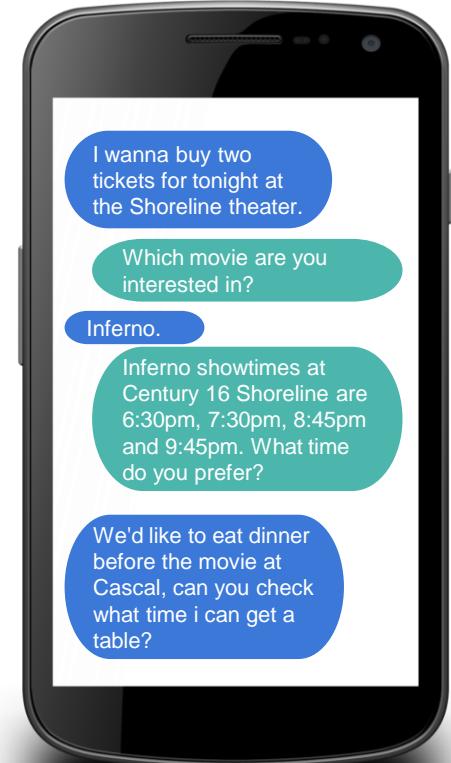
61

- A full representation of the system's belief of the user's goal at any point during the dialogue
- Used for making API calls

Movies				
Date	11/15/17			
Time	6:30 pm	7:30 pm	8:45 pm	9:45 pm
#People	2			
Theater	Century 16 Shoreline			
Movie	Inferno			

Less  More
Likely

Restaurants			
Date	11/15/17		
Time	6:00 pm	6:30 pm	7:00 pm
Restaurant	Cascal		
#People	2		



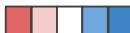
Multi-Domain Dialogue State Tracking

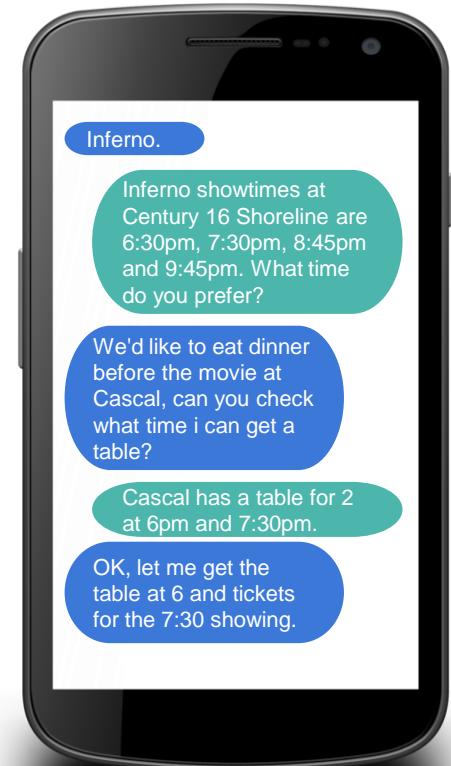
62

- A full representation of the system's belief of the user's goal at any point during the dialogue
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Movies				
Date	11/15/17			
Time	6:30 pm	7:30 pm	8:45 pm	9:45 pm
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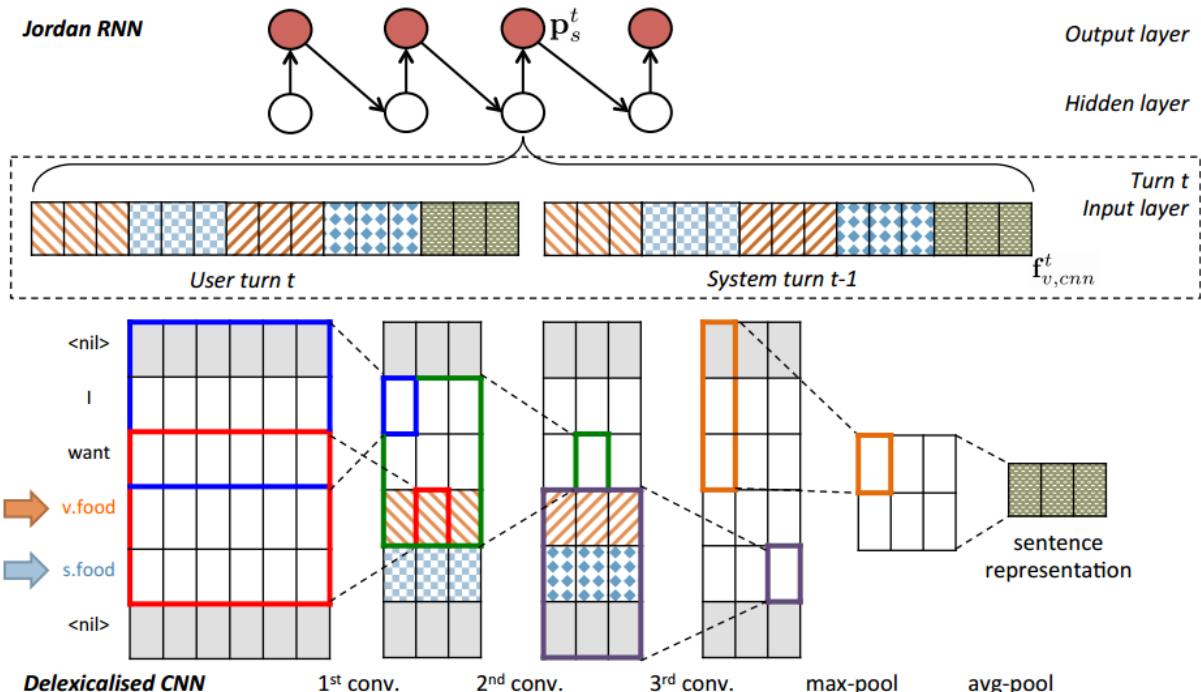
Restaurants			
Date	11/15/17		
Time	6:00 pm	6:30 pm	7:00 pm
Restaurant	Cascal		
#People	2		

Less  More
Likely



RNN-CNN DST (Mrkšić+, 2015)

63

<https://arxiv.org/abs/1506.07190>

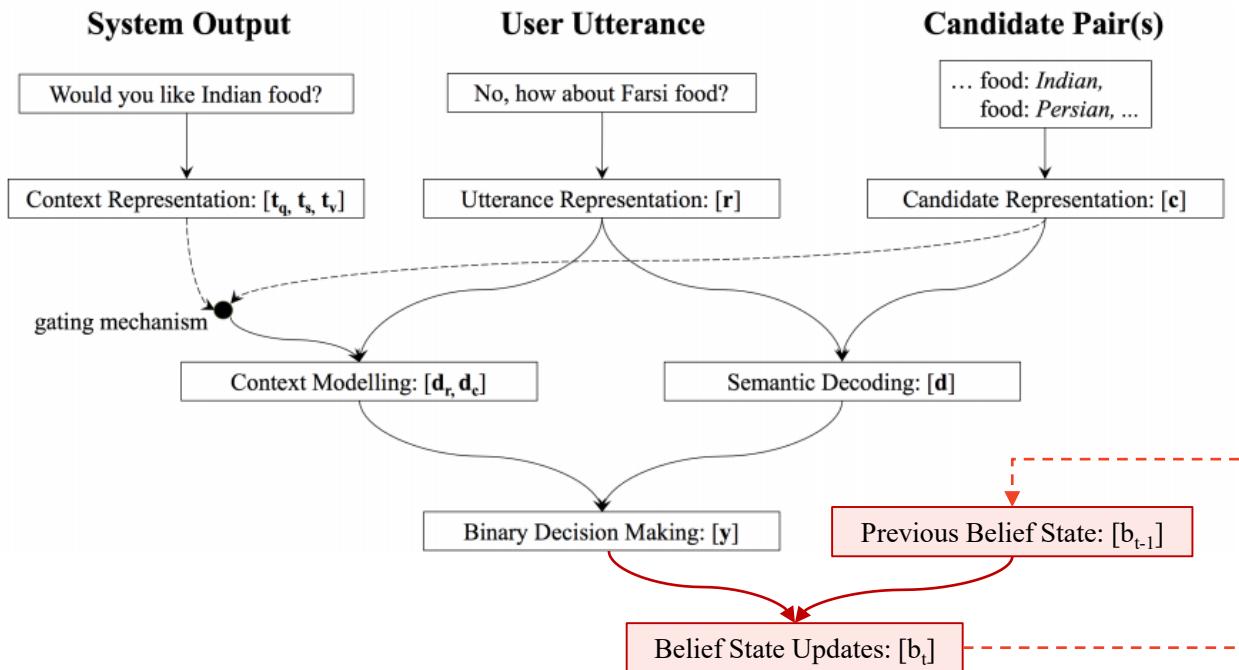
(Figure from Wen et al, 2016)

Neural Belief Tracker (Mrkšić+, 2016)

64

<https://arxiv.org/abs/1606.03777>

- Candidate pairs are considered

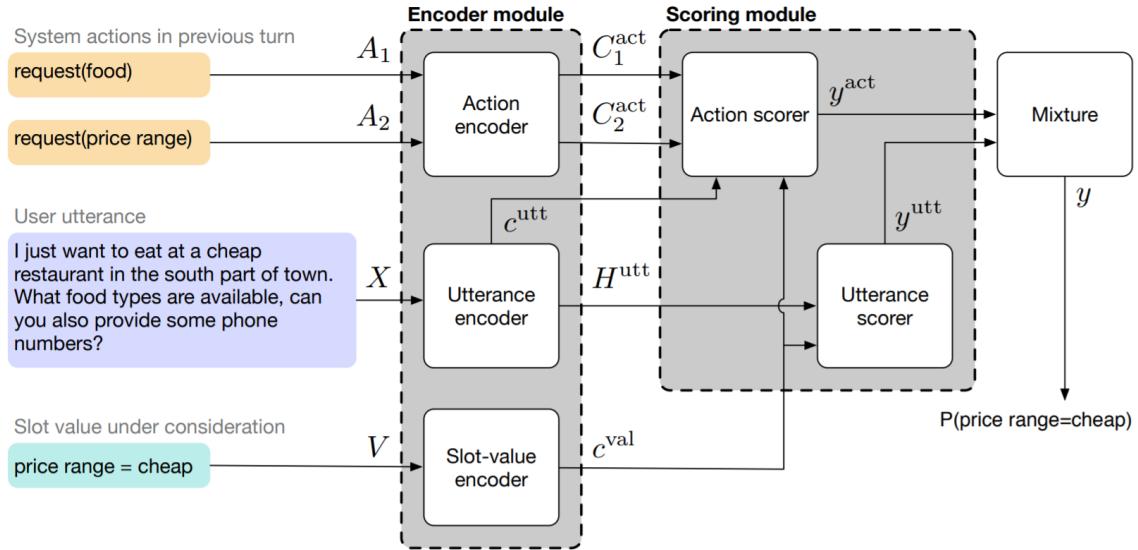


Global-Locally Self-Attentive DST (Zhong+, 2018)

65

<http://www.aclweb.org/anthology/P18-1135>

- More advanced encoder
 - Global modules share parameters for all slots
 - Local modules learn slot-specific feature representations



Dialog State Tracking Challenge (DSTC)

(Williams+, 2013, Henderson+, 2014, Henderson+, 2014, Kim+, 2016, Kim+, 2016)

66

Challenge	Type	Domain	Data Provider	Main Theme
DSTC1	Human-Machine	Bus Route	CMU	Evaluation Metrics
DSTC2	Human-Machine	Restaurant	U. Cambridge	User Goal Changes
DSTC3	Human-Machine	Tourist Information	U. Cambridge	Domain Adaptation
DSTC4	Human-Human	Tourist Information	I2R	Human Conversation
DSTC5	Human-Human	Tourist Information	I2R	Language Adaptation

DST Evaluation

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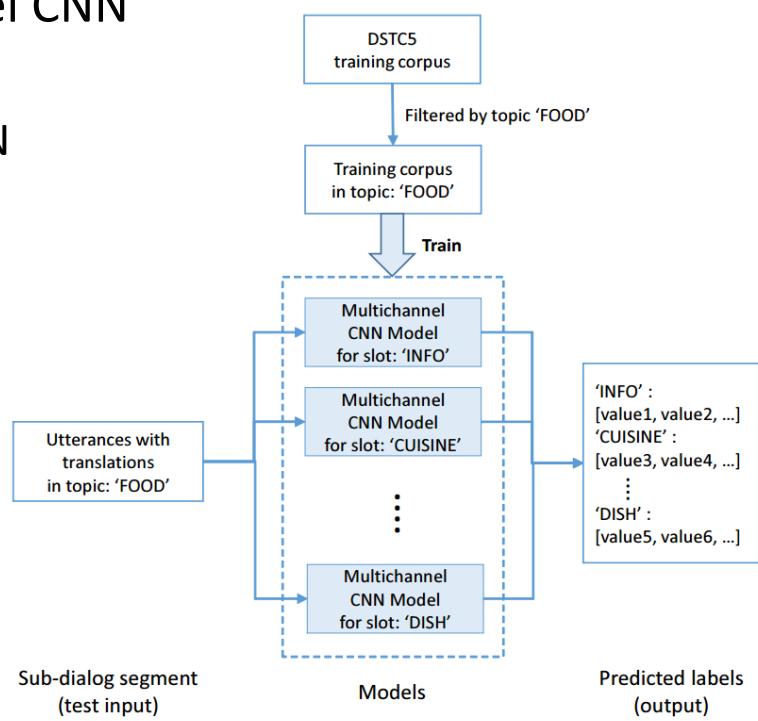
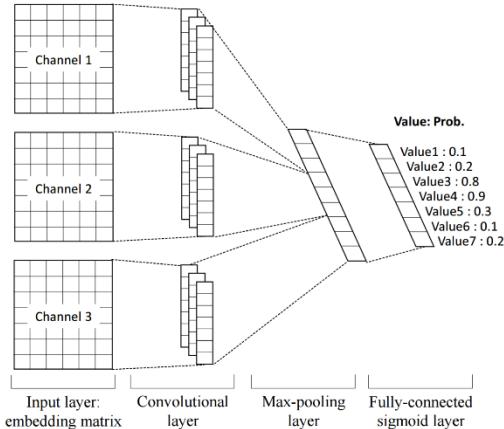
- Metric
 - Tracked state accuracy with respect to user goal
 - Recall/Precision/F-measure individual slots

DST – Language Extension (Shi+, 2016)

68

<https://arxiv.org/abs/1701.06247>

- Training a multichannel CNN for each slot
 - Chinese character CNN
 - Chinese word CNN
 - English word CNN



DST – Task Lineages (Lee & Stent, 2016)

69

<https://www.aclweb.org/anthology/W/W16/W16-36.pdf#page=29>

- Slot values shared across tasks
- Utterances with complex constraints on user goals
- Interleaved multiple task discussions

Task Frame:

Connection to Manhattan and find me a Thai restaurant, not Italian

Task	Transit
DAIs	(0.8, inform(dest=MH) _{0.7} ^{0.1})
Task	Restaurant
DAIs	(0.7, inform(food=thai) _{1.2} ^{0.9})

(confidence, dialog act item_{Start_time}^{End_time})

Task State:

Thai restaurant, not Italian

Task Constraints	Restaurant (0.7, food = thai) (0.6, food ≠ italian)
DB Timestamps	[“Thai To Go”, “Pa de Thai”] 01/01/2016 : 12-00-00
...	...

DST – Task Lineages (Lee & Stent, 2016)

70

<https://www.aclweb.org/anthology/W/W16/W16-36.pdf#page=29>

Turn	User Input	Task Lineages
0	Weather in New York. Connection to Manhattan	<pre>graph TD; A[Weather, Transit 1.0] --> B[Restaurant 0.5]; A --> C[AirTravel 0.5]</pre>
1	Want to go to Thai	
2	I want to travel to Thai	

DST – Scalability (Rastogi+, 2017)

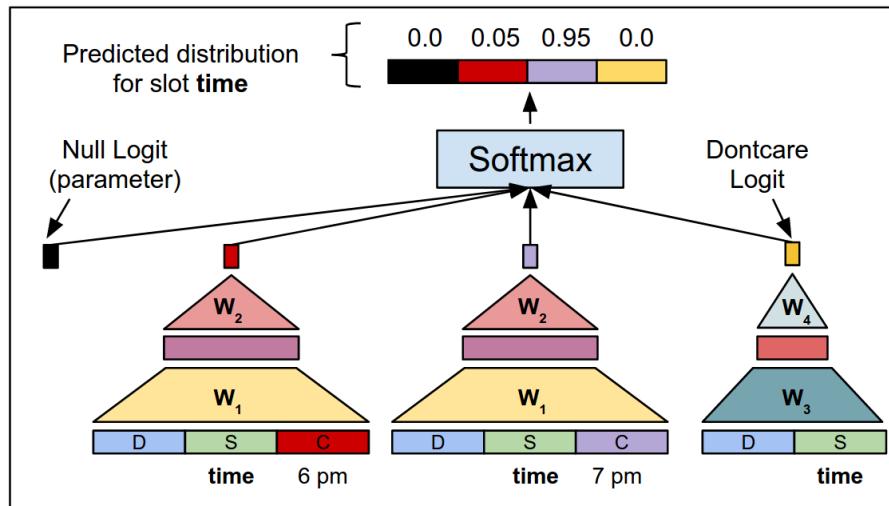
71

<https://arxiv.org/pdf/1712.10224.pdf>

- Focus only on the relevant slots
- Better generalization to ASR lattices, visual context, etc.

S> How about 6 pm?

U> I am busy then, book it for 7 pm instead.

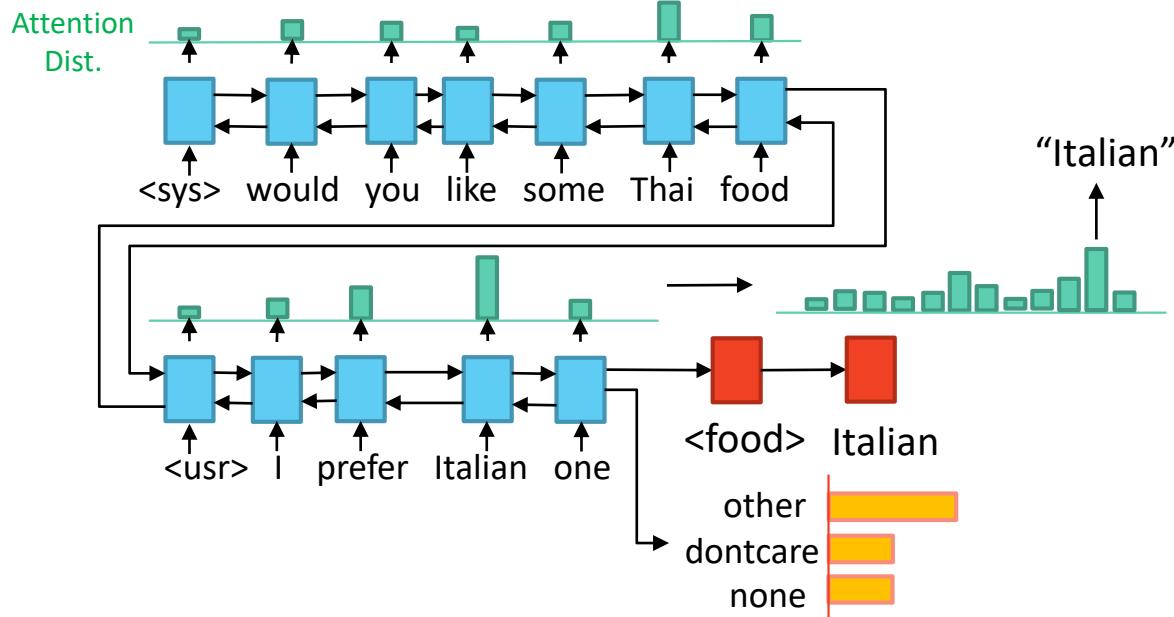


DST – Handling Unknown Values (Xu & Hu, 2018)

72

<http://aclweb.org/anthology/P18-1134>

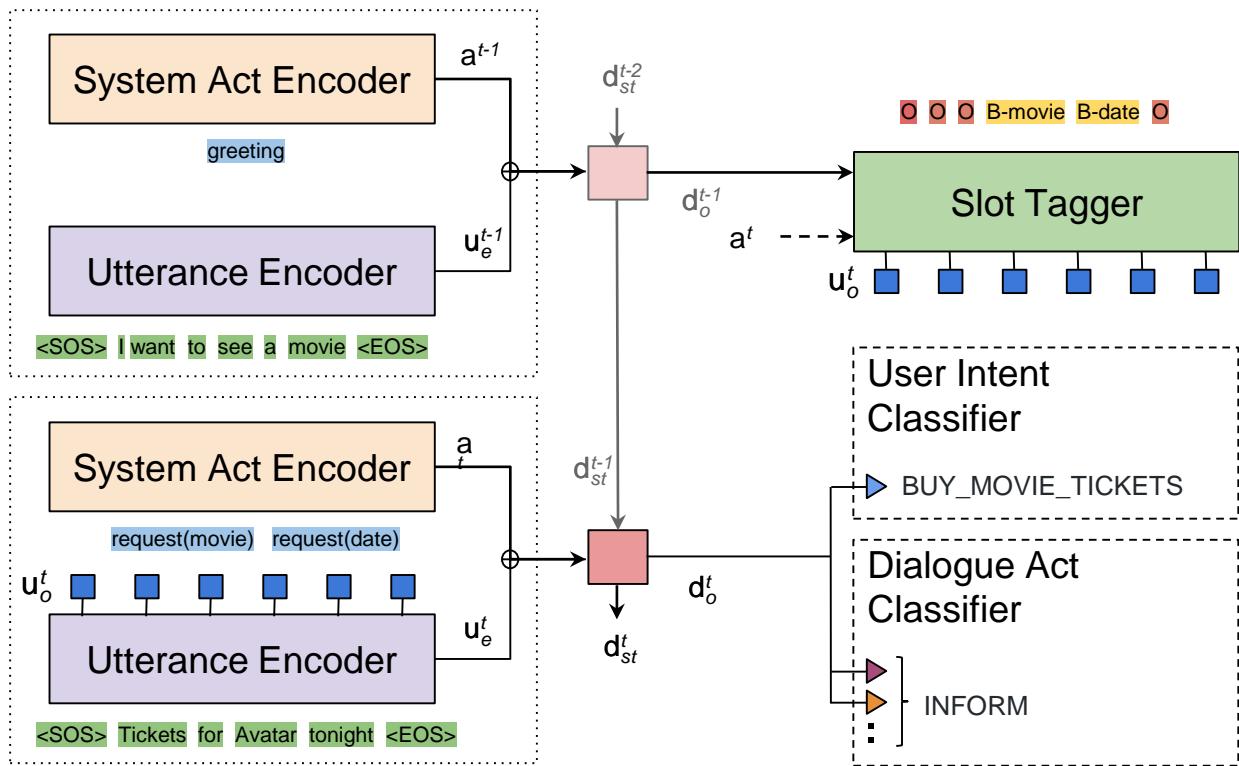
- Issue: fixed value sets in DST



Pointer networks for generating unknown values

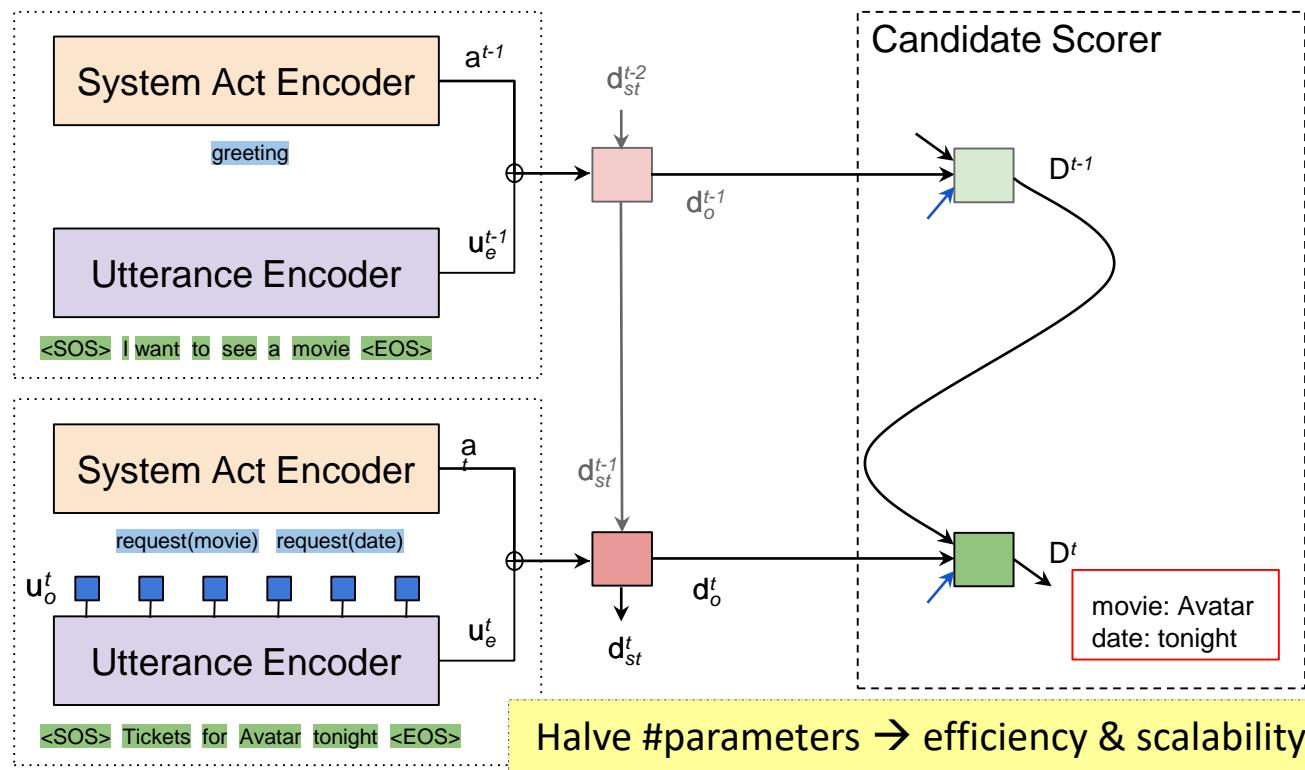
Joint NLU and DST (Gupta+, 2018)

73



Joint NLU and DST (Gupta+, 2018)

74



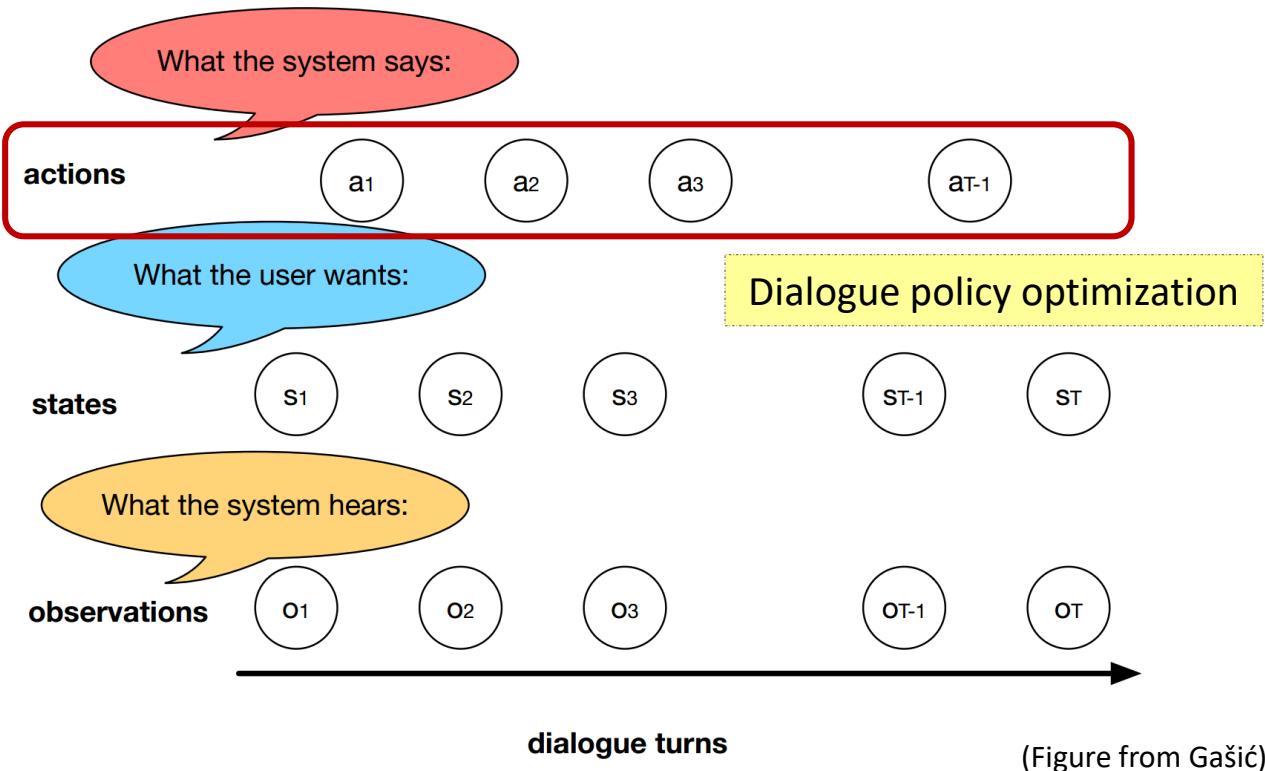
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Elements of Dialogue Management

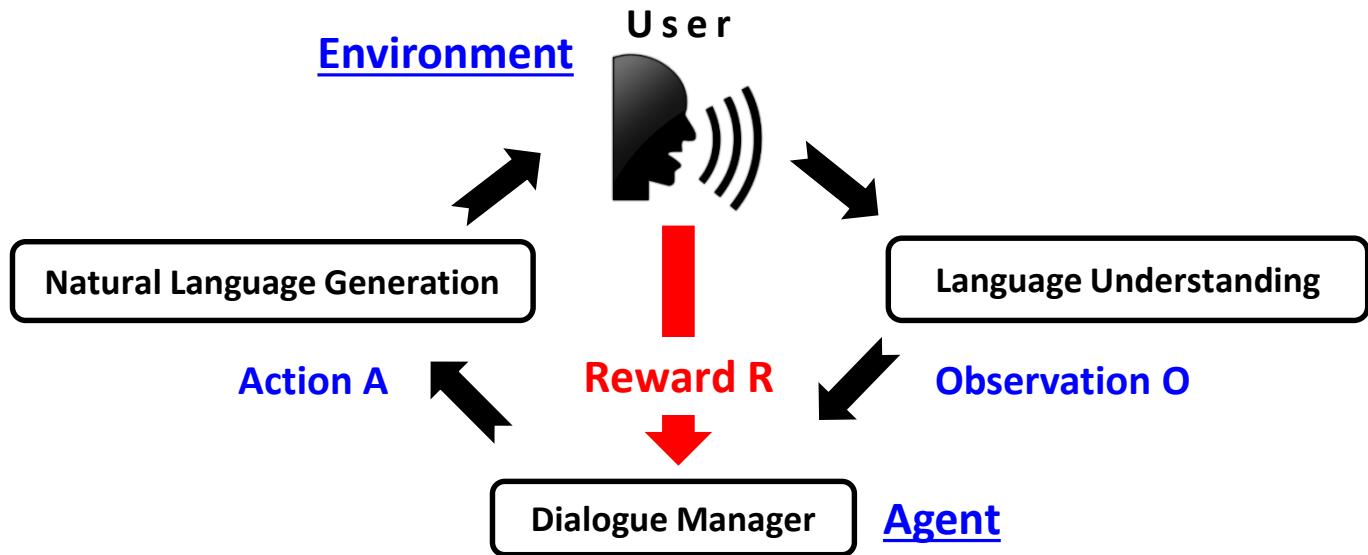
76



Dialogue Policy Optimization

77

- Dialogue management in a RL framework



Goal: select the best action that maximizes the future reward

Reward for RL \cong Evaluation for System

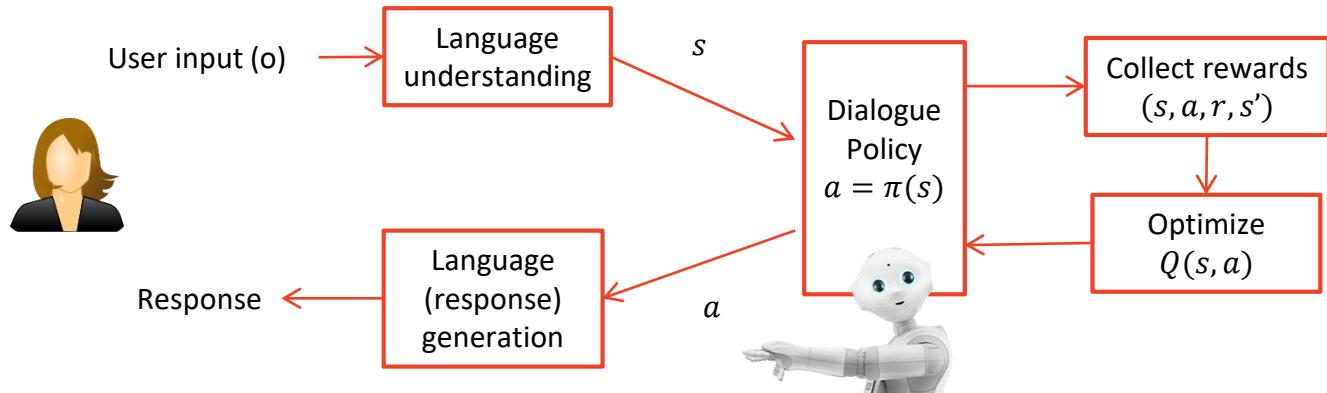
78

- Dialogue is a special RL task
 - Human involves in interaction and rating (evaluation) of a dialogue
 - Fully human-in-the-loop framework
- Rating: correctness, appropriateness, and adequacy

- Expert rating	high quality, high cost
- User rating	unreliable quality, medium cost
- Objective rating	Check desired aspects, low cost

RL for Dialogue Policy Optimization

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Type of Bots	State	Action	Reward
Social ChatBots	Chat history	System Response	# of turns maximized; Intrinsically motivated reward
InfoBots (interactive Q/A)	User current question + Context	Answers to current question	Relevance of answer; # of turns minimized
Task-Completion Bots	User current input + Context	System dialogue act w/ slot value (or API calls)	Task success rate; # of turns minimized

Goal: develop a generic deep RL algorithm to learn dialogue policy for all bot categories

Dialogue Reinforcement Learning Signal

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Typical reward function

- Large reward at completion if **successful**
- -1 for per turn penalty

Typically requires **domain knowledge**

- ✓ Simulated user
- ✓ Paid users (Amazon Mechanical Turk)
- ✗ Real users

The **user simulator** is usually required for dialogue system training before deployment

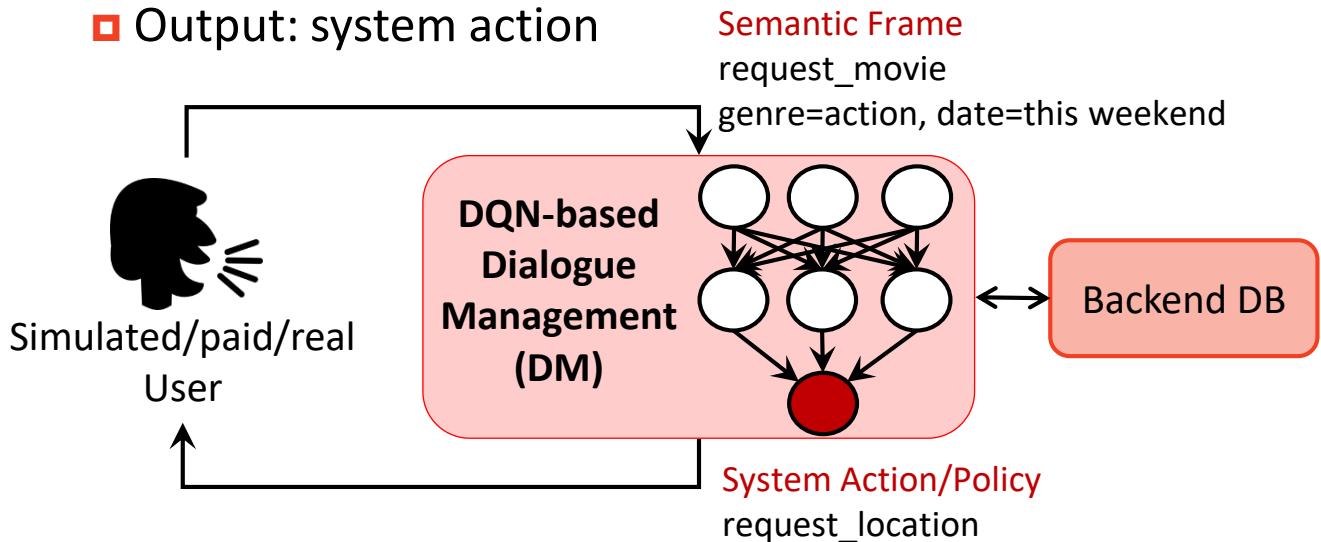


Neural Dialogue Manager (Li+, 2017)

81

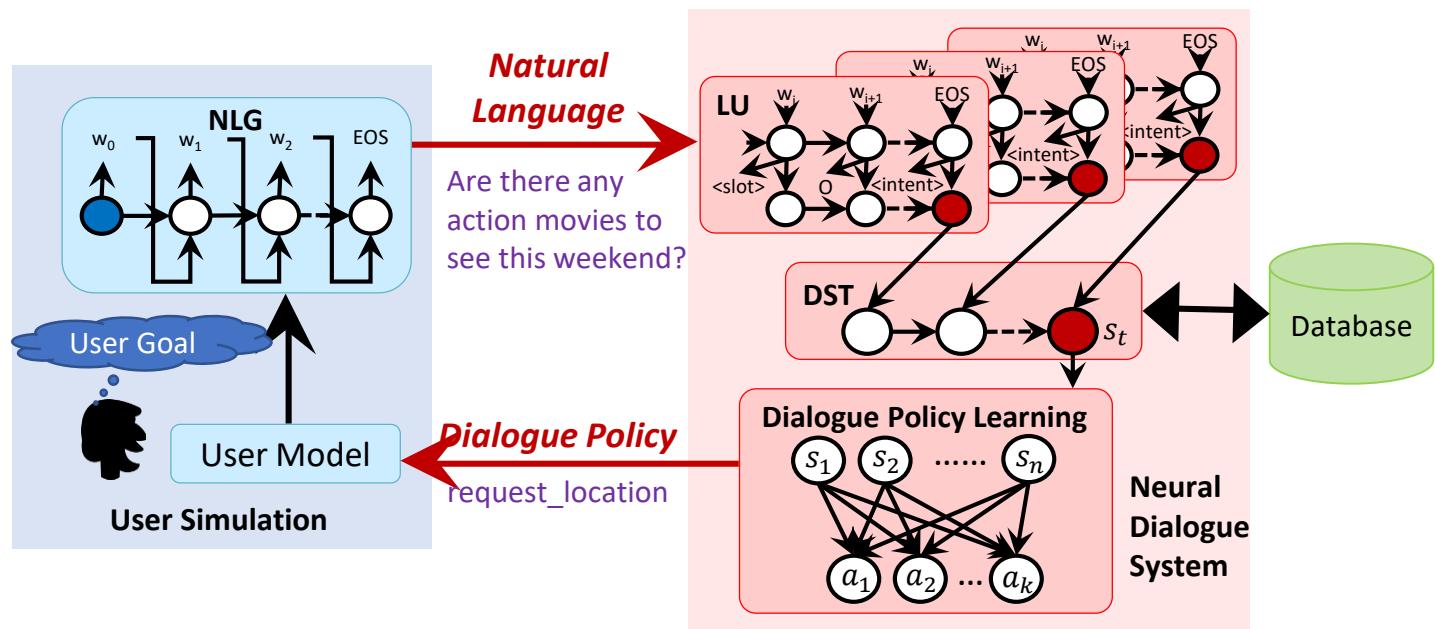
<http://www.aclweb.org/anthology/I17-1074>

- Deep RL for training DM
 - Input: current semantic frame observation, database returned results
 - Output: system action



E2E Task-Completion Bot (TC-Bot) (Li+, 2017)

82

<http://www.aclweb.org/anthology/I17-1074>

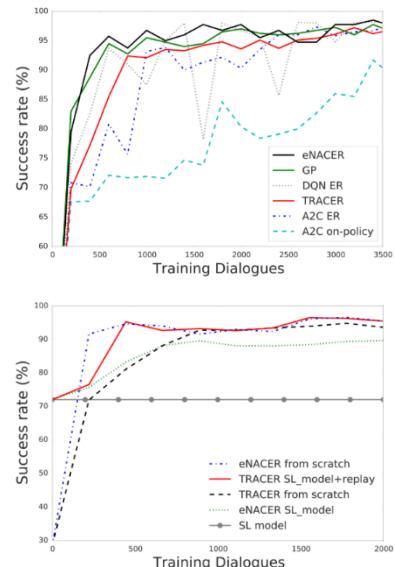
Idea: SL for each component and RL for end-to-end training

SL + RL for Sample Efficiency (Su+, 2017)

83

<http://aclweb.org/anthology/W17-5518>

- Issue about RL for DM
 - ▣ slow learning speed
 - ▣ cold start
- Solutions
 - ▣ Sample-efficient actor-critic
 - Off-policy learning with experience replay
 - Better gradient update
 - ▣ Utilizing supervised data
 - Pretrain the model with SL and then fine-tune with RL
 - Mix SL and RL data during RL learning
 - Combine both



Learning to Negotiate (Lewis+, 2017)

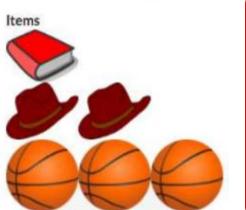
84

<https://arxiv.org/pdf/1706.05125.pdf>

- Task: multi-issue bargaining
 - Each agent has its own value function

Divide these objects between you and another Turker. Try hard to get as many points as you can!

Send a message now, or enter the agreed deal!



Value	Number You Get
8	1 ↕
1	1 ↕
0	0 ↕

Mark Deal Agreed



Fellow Turker: I'd like all the balls

You: Ok, if I get everything else

Fellow Turker: If I get the book then you have a deal

You: No way - you can have one hat and all the balls

Fellow Turker: Ok deal

Type Message Here:

Message

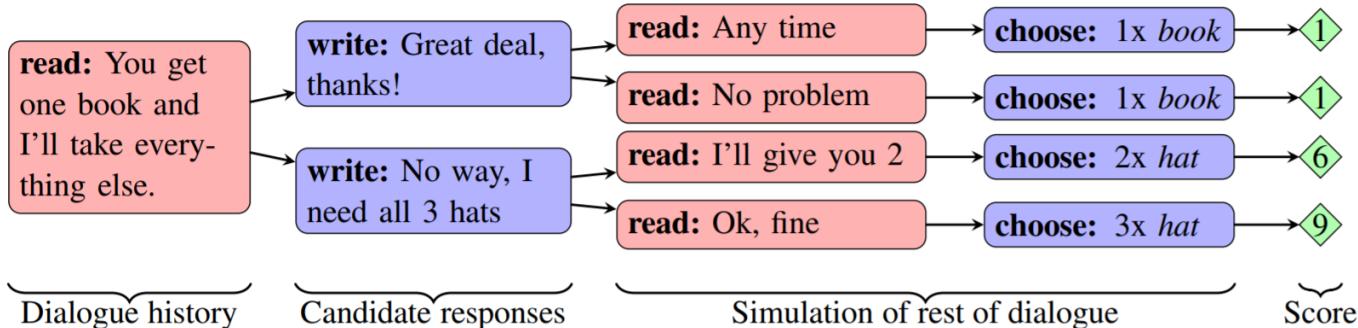
Send

Learning to Negotiate (Lewis+, 2017)

85

<https://arxiv.org/pdf/1706.05125.pdf>

- Dialogue rollouts to simulate a future conversation
- SL + RL
 - SL aims to imitate human users' actions
 - RL tries to make agents focus on the goal



Online Training (Su+, 2015; Su+, 2016)

86

<http://www.anthology.aclweb.org/W/W15/W15-46.pdf#page=437>; <https://www.aclweb.org/anthology/P/P16/P16-1230.pdf>

- Policy learning from real users
 - ▣ Infer reward directly from dialogues (Su+, 2015)
 - ▣ User rating (Su+, 2016)
- Reward modeling on user binary success rating

Hi, How may I help you?

I want some cheap Chinese food.

Where in the city would you like?

Somewhere in the west, please.

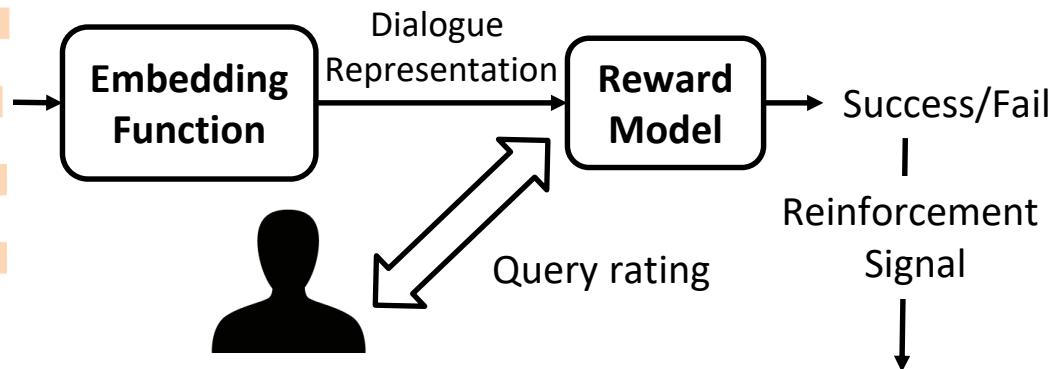
Yim Wah is a nice Chinese place.

Great, can you give me its address?

It is at 2-4 Lensfield Road.

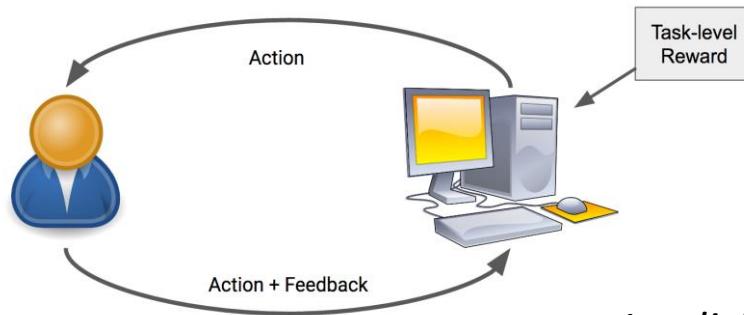
Ok, thank you, bye!

Thanks, goodbye.



Interactive RL for DM (Shah+, 2016)

87

<https://research.google.com/pubs/pub45734.html>*Implicit***Immediate
Feedback***Explicit*

First Wok, Lucy's and Red Grill are good options.

Is First Wok highly rated?

No stupid, I am asking if First Wok is rated at least 3 stars?

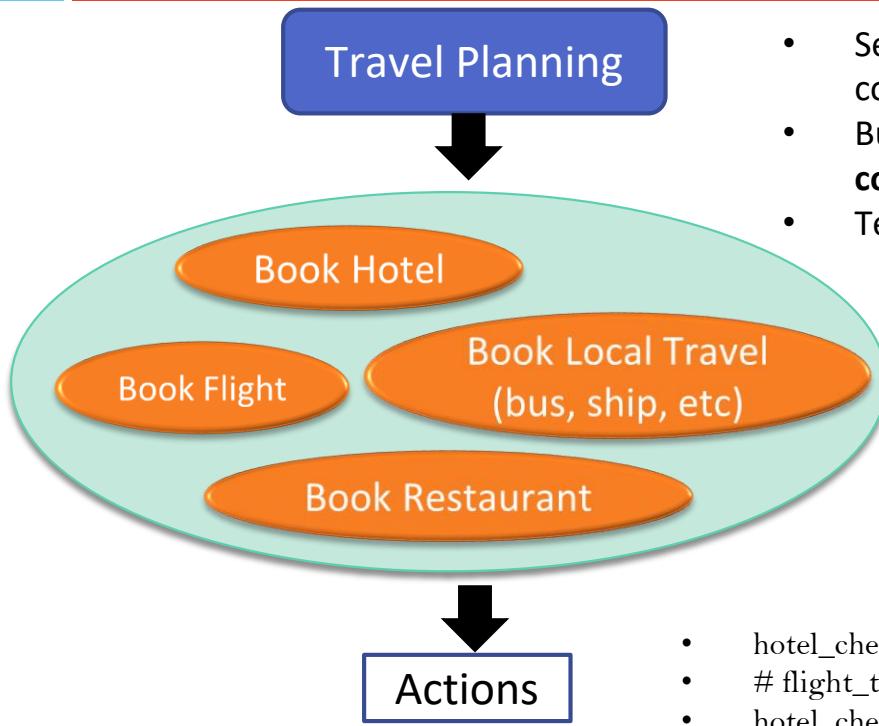
Frustration

Repetition

Use a third agent for providing interactive feedback to the DM

Multi-Domain – Hierarchical RL (Peng+, 2017)

88

<https://arxiv.org/abs/1704.03084>

- Set of tasks that need to be fulfilled collectively!
- Build a DM for **cross-subtask constraints (slot constraints)**
- Temporally constructed goals

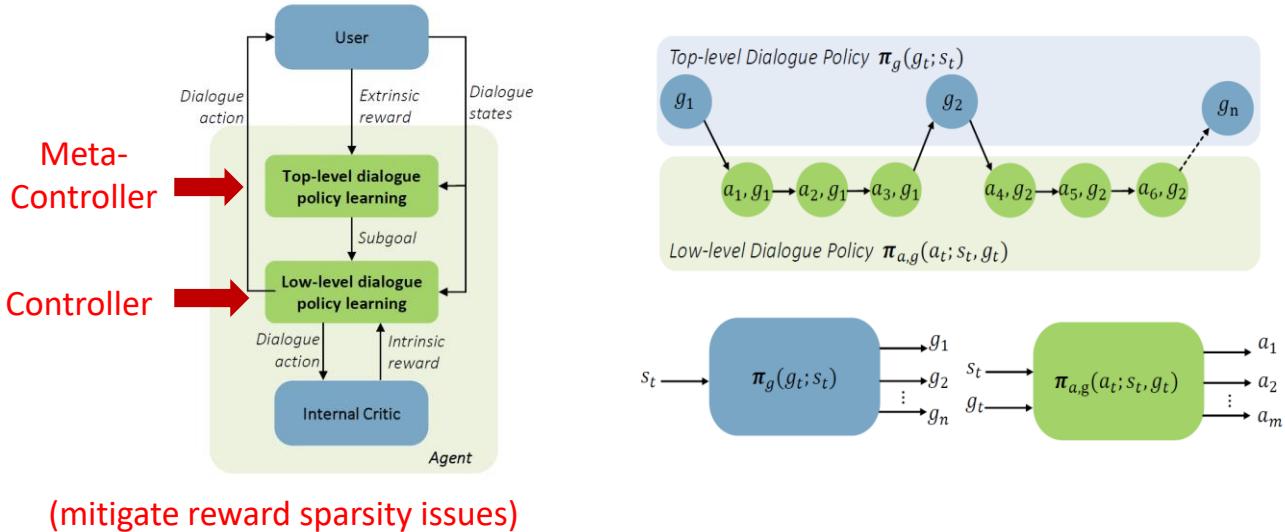
- $\text{hotel_check_in_time} > \text{departure_flight_time}$
- $\# \text{flight_tickets} = \# \text{people checking in the hotel}$
- $\text{hotel_check_out_time} < \text{return_flight_time}$,

Multi-Domain – Hierarchical RL (Peng+, 2017)

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<https://arxiv.org/abs/1704.03084>

- Model makes decisions over two levels: *meta-controller* & *controller*
- The *agent* learns these policies simultaneously
 - the policy of optimal sequence of goals to follow $\pi_g(g_t, s_t; \theta_1)$
 - Policy $\pi_{a,g}(a_t, g_t, s_t; \theta_2)$ for each sub-goal g_t

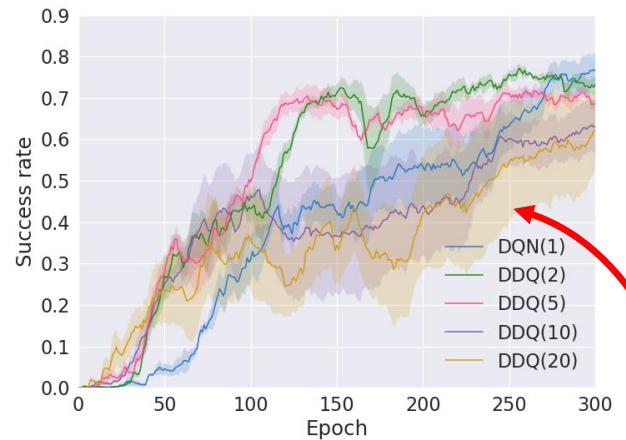
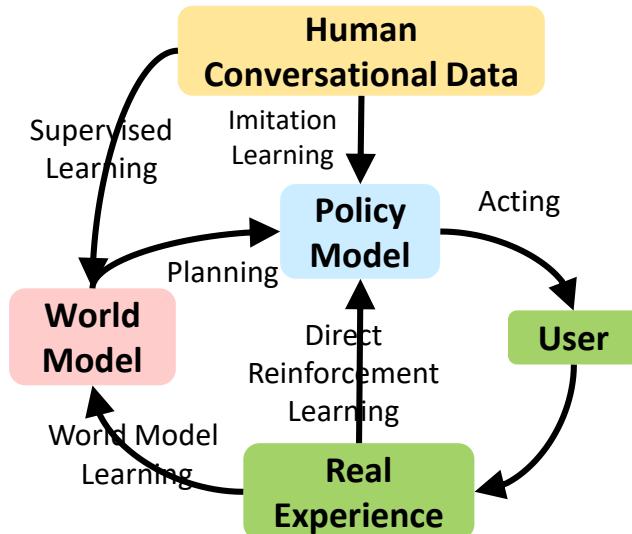


Planning – Deep Dyna-Q (Peng+, 2018)

90

<https://arxiv.org/abs/1801.06176>

- Issues: sample-inefficient, discrepancy between simulator & real user
- Idea: learning with real users with planning



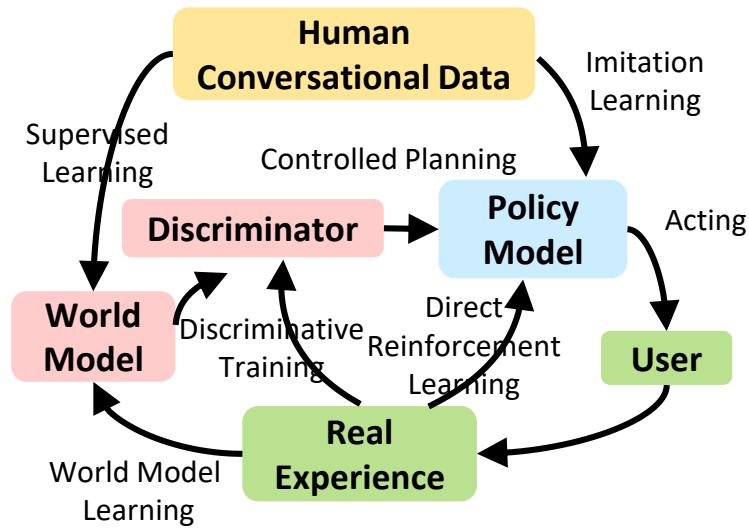
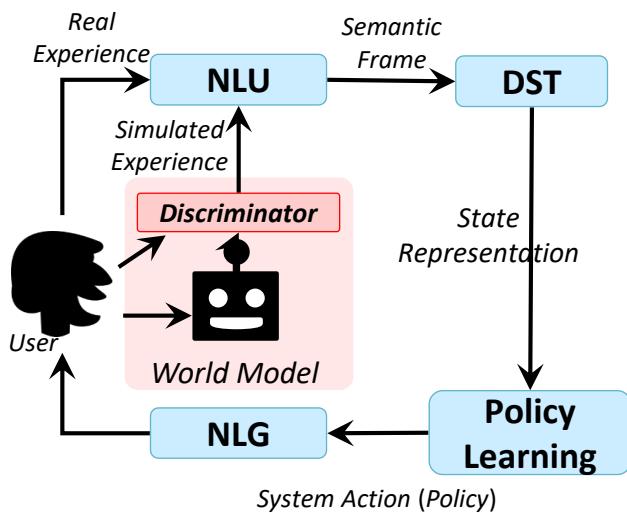
Policy learning suffers from the poor quality of fake experiences

Robust Planning – D3Q: Discriminative Deep Dyna-Q (Su+, 2018)

91

(to appear) EMNLP 2018

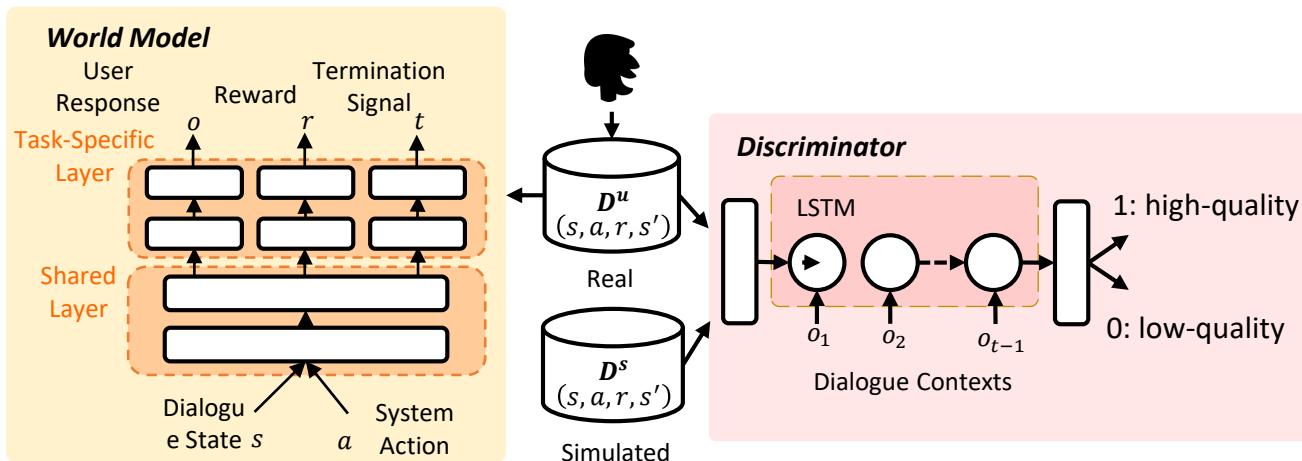
- Idea: add a *discriminator* to filter out the bad experiences



Robust Planning – D3Q: Discriminative Deep Dyna-Q (Su+, 2018)

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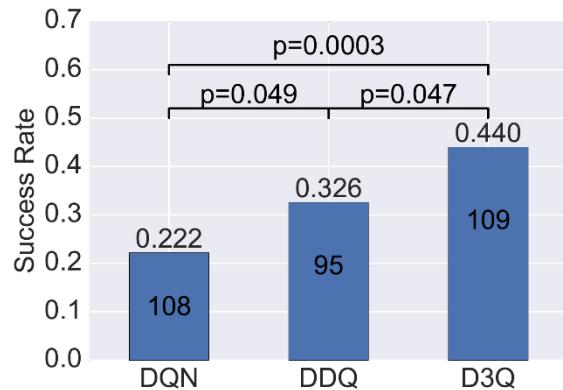
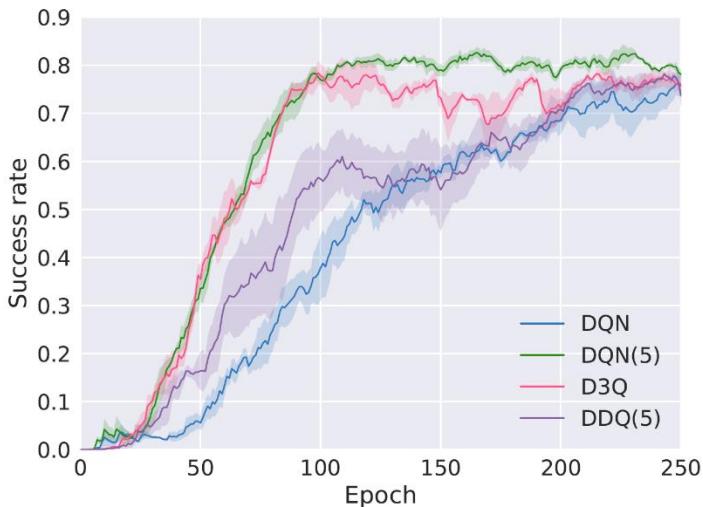
(to appear) EMNLP 2018



Robust Planning – D3Q: Discriminative Deep Dyna-Q (Su+, 2018)

93

(to appear) EMNLP 2018



The policy learning is more robust and shows the improvement in human evaluation

Dialogue Management Evaluation

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- Metrics
 - Turn-level evaluation: system action accuracy
 - Dialogue-level evaluation: task success rate, reward

RL-Based DM Challenge

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- SLT 2018 Microsoft Dialogue Challenge:
End-to-End Task-Completion Dialogue Systems
 - ▣ Domain 1: Movie-ticket booking
 - ▣ Domain 2: Restaurant reservation
 - ▣ Domain 3: Taxi ordering

Outline

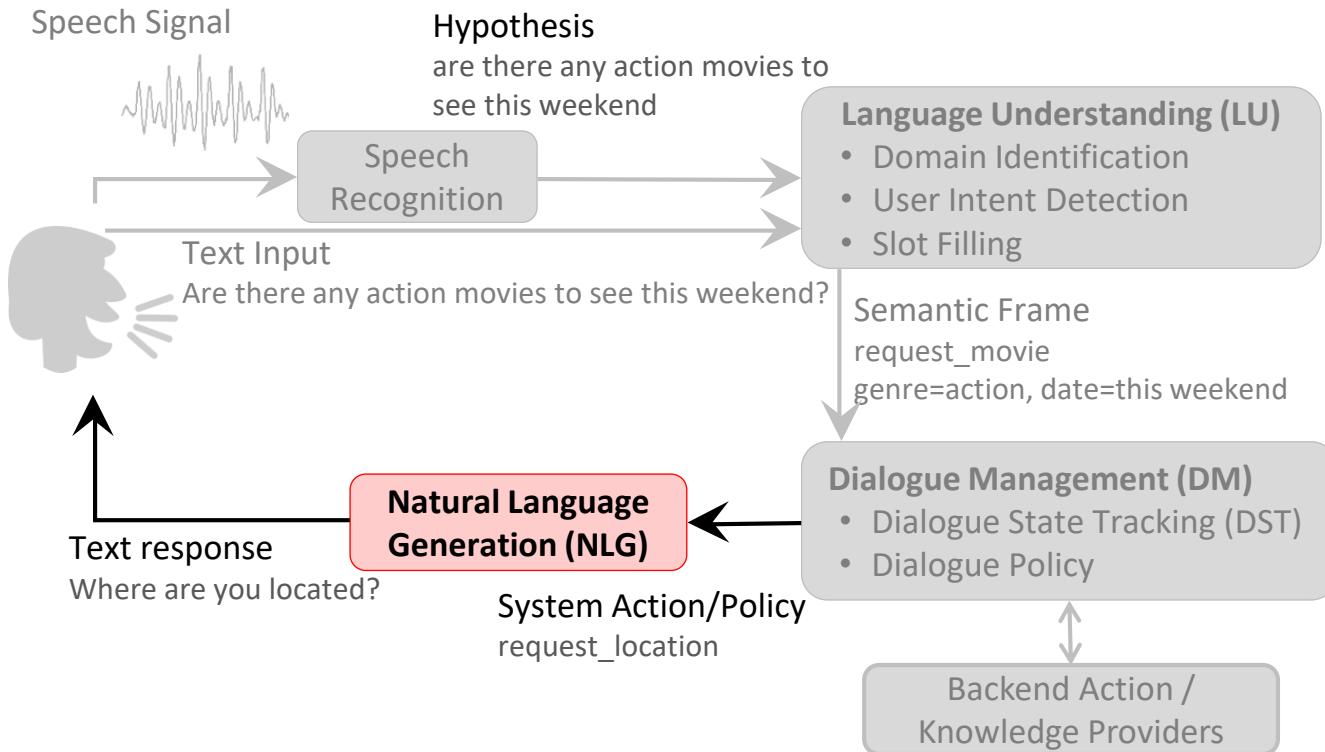
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Task-Oriented Dialogue System (Young, 2000)

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Natural Language Generation (NLG)

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- Mapping dialogue acts into natural language

inform(name=Seven_Days, foodtype=Chinese)



Seven Days is a nice Chinese restaurant

Template-Based NLG

99

- Define a set of rules to map frames to NL

Semantic Frame	Natural Language
confirm()	“Please tell me more about the product your are looking for.”
confirm(area=\$V)	“Do you want somewhere in the \$V?”
confirm(food=\$V)	“Do you want a \$V restaurant?”
confirm(food=\$V,area=\$W)	“Do you want a \$V restaurant in the \$W.”

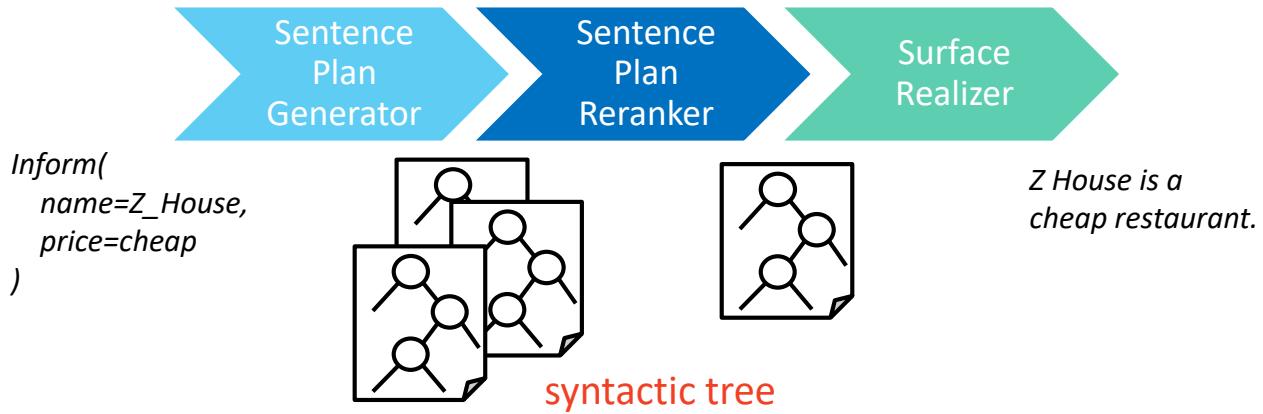
Pros: simple, error-free, easy to control

Cons: time-consuming, un-natural , poor scalability

Plan-Based NLG (Walker+, 2002)

100

- Divide the problem into pipeline



- Statistical sentence plan generator (Stent et al., 2009)
- Statistical surface realizer (Dethlefs et al., 2013; Cuayáhuitl et al., 2014; ...)

Pros: can model complex linguistic structures

Cons: heavily engineered, require domain knowledge

Class-Based LM NLG (Oh & Rudnicky, 2000)

101

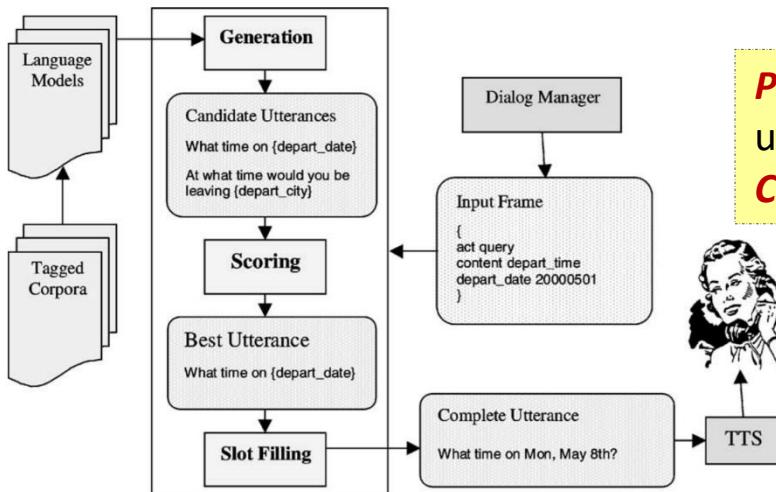
<http://dl.acm.org/citation.cfm?id=1117568>

□ Class-based language modeling

$$P(X \mid c) = \sum_t \log p(x_t \mid x_0, x_1, \dots, x_{t-1}, c)$$

□ NLG by decoding $X^* = \arg \max_X P(X \mid c)$

Classes:
 inform_area
 inform_address
 ...
 request_area
 request_postcode



Pros: easy to implement/
understand, simple rules

Cons: computationally inefficient



RNN-Based LM NLG (Wen+, 2015)

103

<http://www.anthology.aclweb.org/W/W15/W15-46.pdf#page=295>

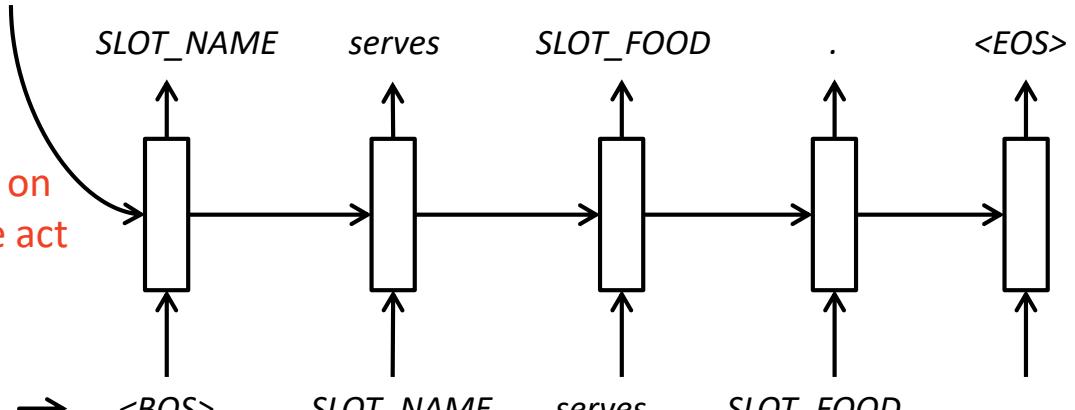
Input

Inform(name=Din Tai Fung, food=Taiwanese)

{ 0, 0, 1, 0, 0, ..., 1, 0, 0, ..., 1, 0, 0, 0, 0, 0, ... }

dialogue act 1-hot representation

conditioned on
the dialogue act



Output

<BOS> Din Tai Fung serves Taiwanese .

delexicalisation

Slot weight tying

Handling Semantic Repetition

104

- Issue: semantic repetition
 - ▣ Din Tai Fung is a great Taiwanese restaurant that serves Taiwanese.
 - ▣ Din Tai Fung is a child friendly restaurant, and also allows kids.
- Deficiency in either model or decoding (or both)
- Mitigation
 - ▣ Post-processing rules (Oh & Rudnicky, 2000)
 - ▣ Gating mechanism (Wen et al., 2015)
 - ▣ Attention (Mei et al., 2016; Wen et al., 2015)

Semantic Conditioned LSTM (Wen+, 2015)

105

□ Original LSTM cell

$$\mathbf{i}_t = \sigma(\mathbf{W}_{wi}\mathbf{x}_t + \mathbf{W}_{hi}\mathbf{h}_{t-1})$$

$$\mathbf{f}_t = \sigma(\mathbf{W}_{wf}\mathbf{x}_t + \mathbf{W}_{hf}\mathbf{h}_{t-1})$$

$$\mathbf{o}_t = \sigma(\mathbf{W}_{wo}\mathbf{x}_t + \mathbf{W}_{ho}\mathbf{h}_{t-1})$$

$$\hat{\mathbf{c}}_t = \tanh(\mathbf{W}_{wc}\mathbf{x}_t + \mathbf{W}_{hc}\mathbf{h}_{t-1})$$

$$\mathbf{c}_t = \mathbf{f}_t \odot \mathbf{c}_{t-1} + \mathbf{i}_t \odot \hat{\mathbf{c}}_t$$

$$\mathbf{h}_t = \mathbf{o}_t \odot \tanh(\mathbf{c}_t)$$

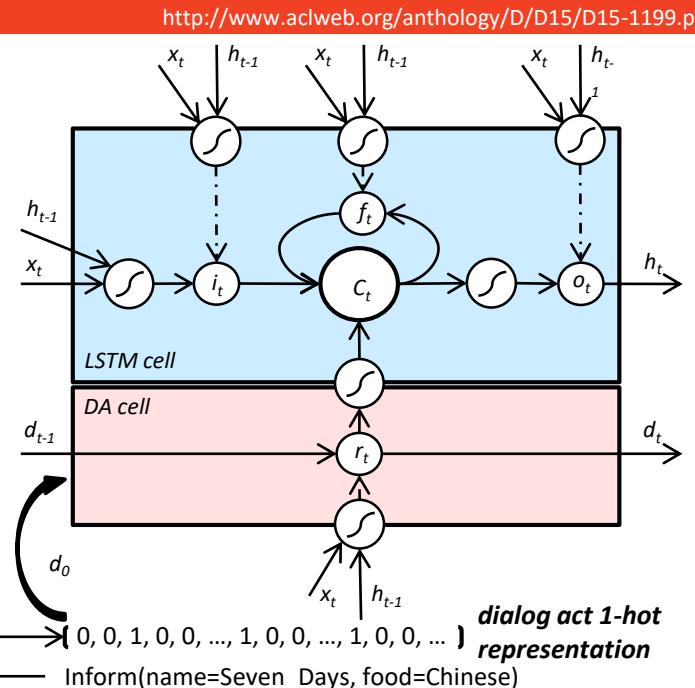
□ Dialogue act (DA) cell

$$\mathbf{r}_t = \sigma(\mathbf{W}_{wr}\mathbf{x}_t + \mathbf{W}_{hr}\mathbf{h}_{t-1})$$

$$\mathbf{d}_t = \mathbf{r}_t \odot \mathbf{d}_{t-1}$$

□ Modify C_t

$$\mathbf{c}_t = \mathbf{f}_t \odot \mathbf{c}_{t-1} + \mathbf{i}_t \odot \hat{\mathbf{c}}_t + \tanh(\mathbf{W}_{dc}\mathbf{d}_t)$$



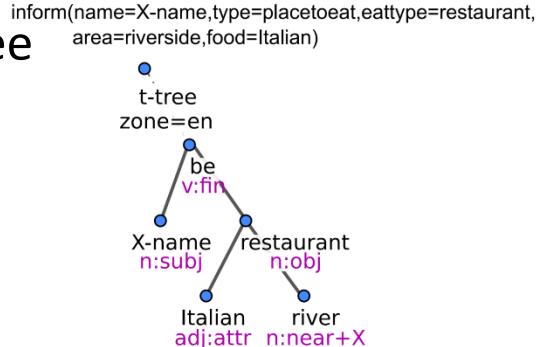
Idea: using gate mechanism to control the generated semantics (dialogue act/slots)

Structural NLG (Dušek & Jurčíček, 2016)

106

<https://www.aclweb.org/anthology/P/P16/P16-2.pdf#page=79>

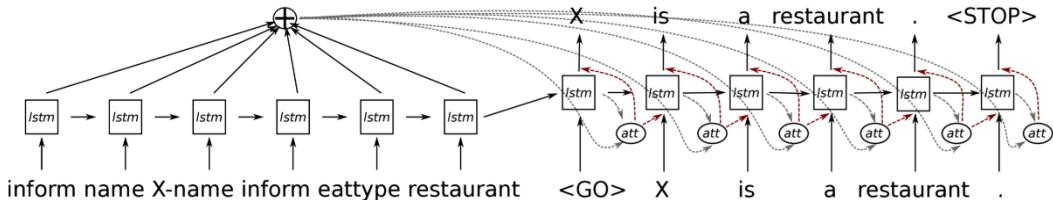
- Goal: NLG based on the syntax tree
 - Encode trees as sequences
 - Seq2Seq model for generation



(<root> <root> ((X-name n:subj) be v:fin ((Italian adj:attr) restaurant n:obj (river n:near+X)))
 X-name n:subj be v:fin Italian adj:attr restaurant n:obj river n:near+X



X is an Italian restaurant near the river.



Structural NLG (Sharma+, 2017; Nayak+, 2017)

107

<https://arxiv.org/pdf/1606.03632.pdf>; <https://ai.google/research/pubs/pub46311>

- Delexicalized slots do not consider the word level information

Generated output: There are no restaurants around which serve INFORM-FOOD food.

Delexicalized slot input:	INFORM-FOOD chinese	✓	INFORM-FOOD pizza	✗
---------------------------	------------------------	---	----------------------	---

- Slot value-informed sequence to sequence models

Mention rep.	Input sequence					
SEQ	x_i	x_{i+1}	x_{i+2}	x_{i+3}	x_{i+4}	...
	decor	decent	service	good	cuisine	...
JOINT	x_i	x_{i+1}		x_{i+2}		
	$\langle \text{decor, decent} \rangle$		$\langle \text{service, good} \rangle$		$\langle \text{cuisine, null} \rangle$	
CONCAT	$x_{i,1}$	$x_{i,2}$	$x_{i+1,1}$	$x_{i+1,2}$	$x_{i+2,1}$	$x_{i+2,2}$
	decor	decent	service	good	cuisine	null

Structural NLG (Nayak+, 2017)

108

<https://ai.google/research/pubs/pub46311>

- Sentence plans as part of the input sequence

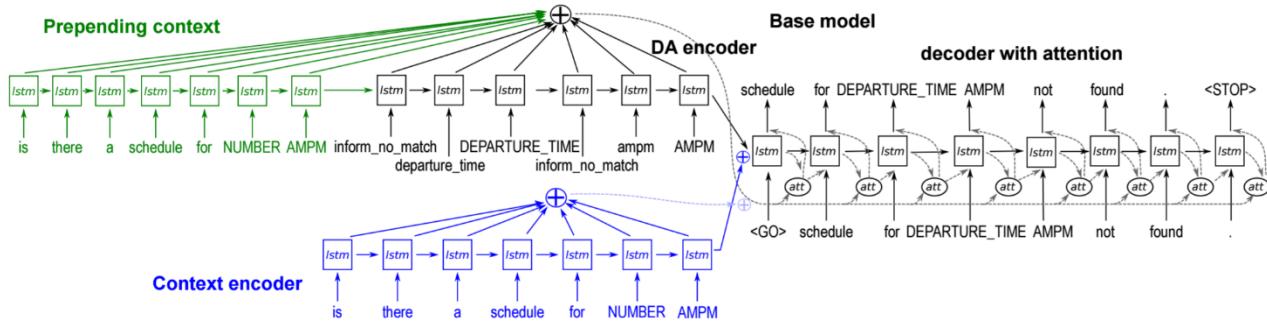
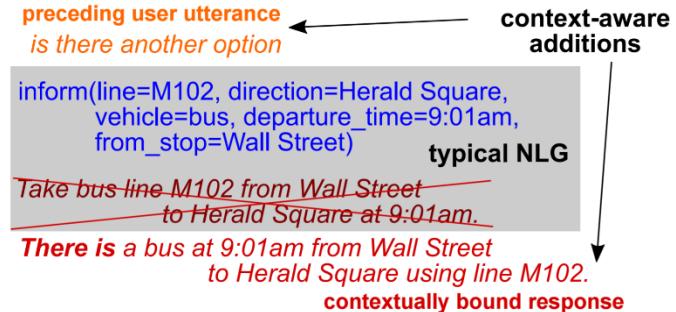
Plan sup.	Input tokens					
NONE	decor	decent	service	decent	quality	good
FLAT	decor	decent	service	decent		
	quality	good				
POSITIONAL		decor	decent	service	decent	
	<I>	quality	good			

Contextual NLG (Dušek & Jurčíček, 2016)

109

<https://www.aclweb.org/anthology/W/W16/W16-36.pdf#page=203>

- Can we do better by using context ?
- Goal: provide context-aware responses
 - ▣ Context encoder
 - ▣ Seq2Seq model



Knowledge-Grounded Conversation Model

(Ghazvininejad+, 2017)

110

 "Consistently the best omakase in San Francisco." (27 Tips)

 "... they were out of the kaisui uni by the time we ate, but the bafun uni is..." (2 Tips)



 Kusakabe

 "Probably the best sushi in San Francisco." (2 Tips)

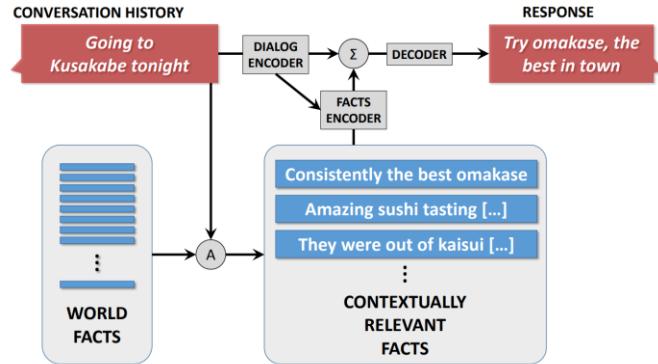
 "Amazing sushi tasting from the chefs of Sushi Ran" (2 Tips)



User input: Going to Kusakabe tonight.

Neural model: Have a great time!

Human: You'll love it! Try omasake, the best in town.



A: Looking forward to trying @pizzalibretto tonight! my expectations are high.

B: Get the rocco salad. Can you eat calamari?

A: Anyone in Chi have a dentist office they recommend? I'm never going back to [...] and would love a reco!

B: Really looved Ora in Wicker Park.

A: I'm at California Academy of Sciences

B: Make sure you catch the show at the Planetarium. Tickets are usually limited.

A: I'm at New Wave Cafe.

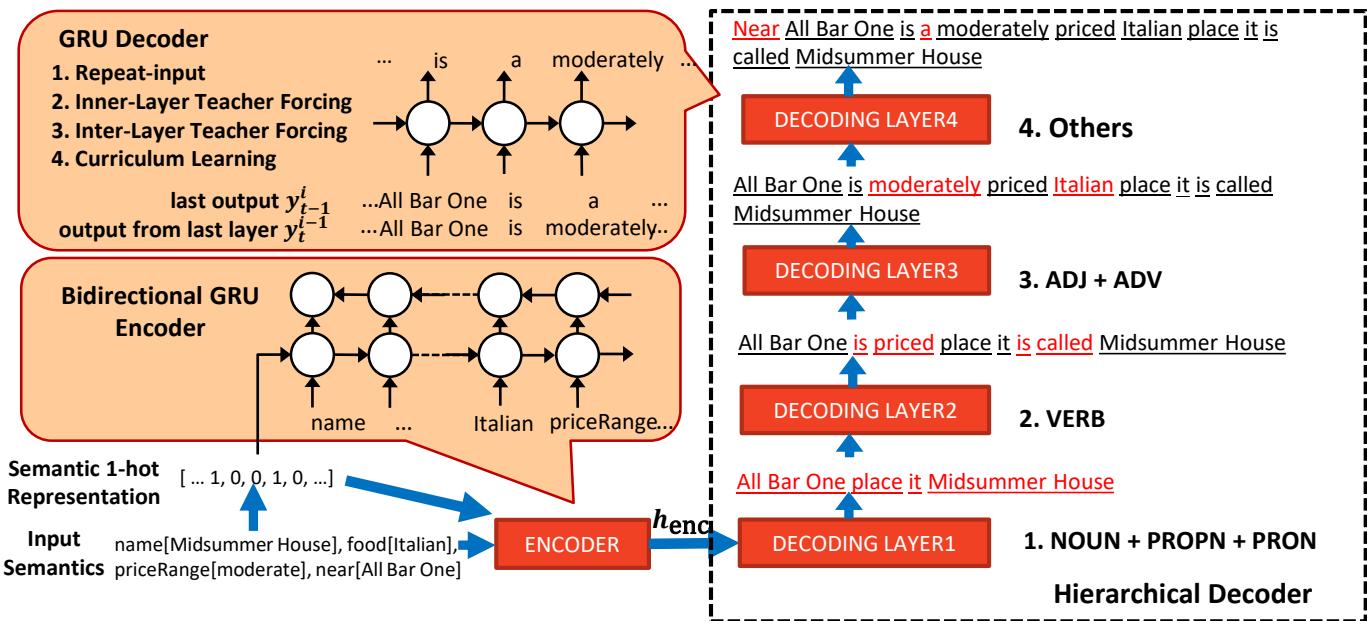
B: Try to get to Dmitri's for dinner. Their pan fried scallops and shrimp scampi are to die for.

A: I just bought: [...] 4.3-inch portable GPS navigator for my wife, shh, don't tell her.

B: I heard this brand loses battery power.

Hierarchical NLG w/ Linguistic Patterns (Su+, 2018)

111

<https://arxiv.org/abs/1808.02747>

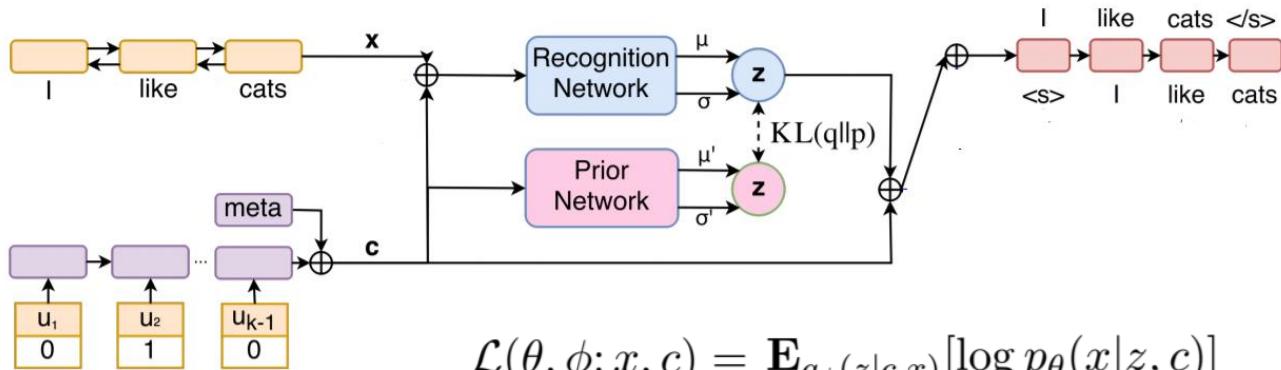
Idea: gradually generate words based on the linguistic knowledge

Learning Discourse-Level Diversity (Zhao+, 2017)

112

<http://aclweb.org/anthology/P/P17/P17-1061.pdf>

- Conditional VAE
- Improves diversity of responses



$$\mathcal{L}(\theta, \phi; x, c) = \mathbf{E}_{q_\phi(z|c,x)} [\log p_\theta(x|z, c)] - KL(q_\phi(z|x, c) \| p_\theta(z|c))$$

Utterance Encoder

Context Encoder

Response Decoder

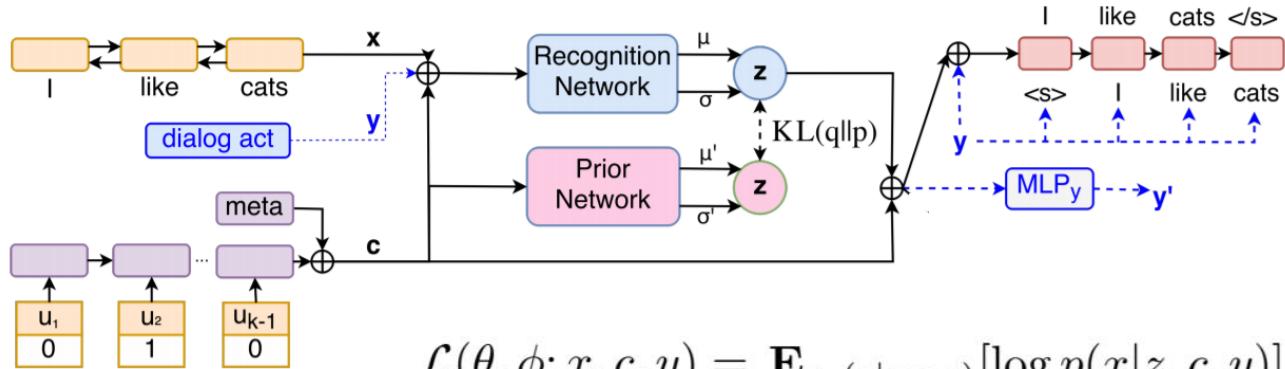
0/1 Conversation Floor

Learning Discourse-Level Diversity (Zhao+, 2017)

113

<http://aclweb.org/anthology/P/P17/P17-1061.pdf>

- Conditional VAE
- Improves diversity of responses with dialogue acts



$$\mathcal{L}(\theta, \phi; x, c, y) = \mathbf{E}_{q_\phi(z|c,x,y)}[\log p(x|z, c, y)]$$

$$+ \mathbf{E}_{q_\phi(z|c,x,y)}[\log p(y|z, c)]$$

$$- KL(q_\phi(z|x, c, y) \| P_\theta(z|c))$$

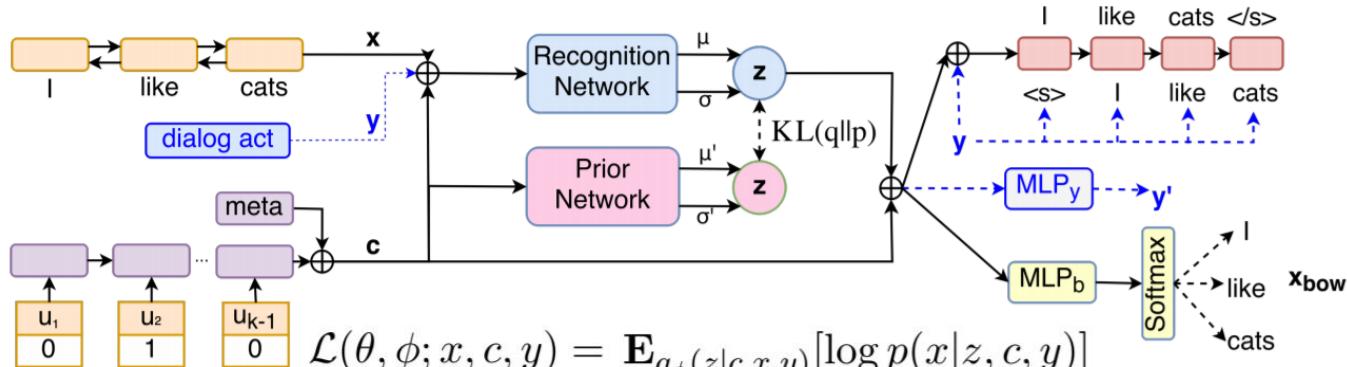
- [Orange Box] Utterance Encoder
- [Purple Box] Context Encoder
- [Red Box] Response Decoder
- [Yellow Box] Conversation Floor

Learning Discourse-Level Diversity (Zhao+, 2017)

114

<http://aclweb.org/anthology/P/P17/P17-1061.pdf>

- Knowledge guided conditional VAE
- Improves diversity of responses with dialogue acts



- Utterance Encoder
- Context Encoder
- Response Decoder
- 0/1 Conversation Floor

NLG Evaluation

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□ Metrics

□ Subjective: human judgement (Stent+, 2005)

- Adequacy: correct meaning
- Fluency: linguistic fluency
- Readability: fluency in the dialogue context
- Variation: multiple realizations for the same concept

□ Objective: automatic metrics

- Word overlap: BLEU (Papineni+, 2002), METEOR, ROUGE
- Word embedding based: vector extrema, greedy matching, embedding average

There is a gap between human perception and automatic metrics

Outline

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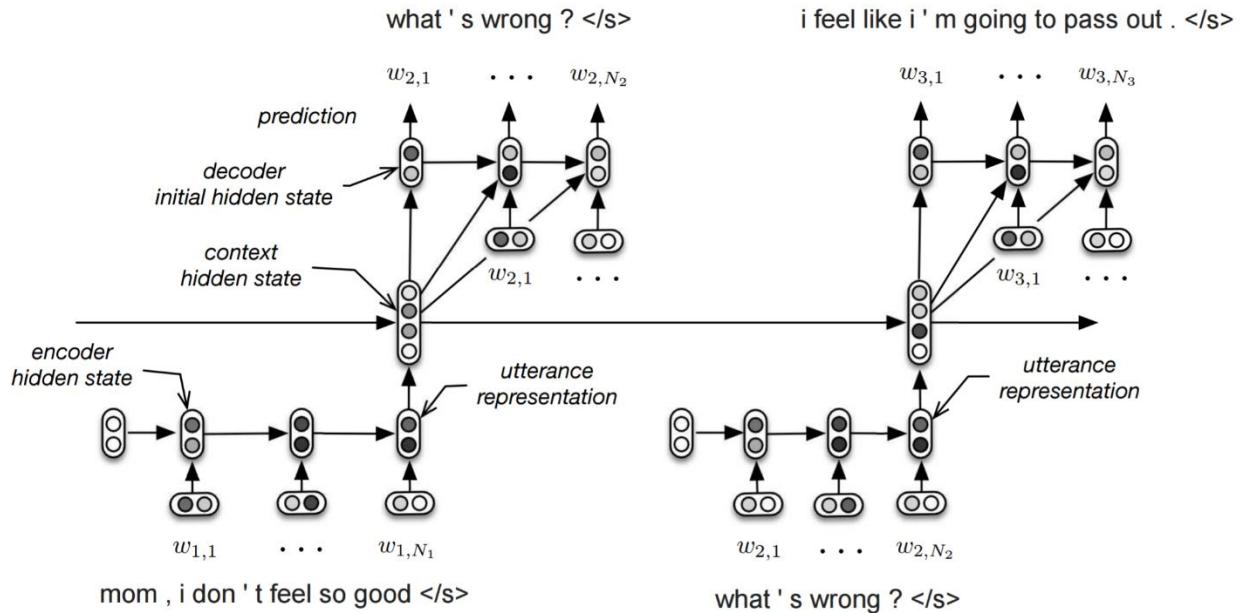
- Introduction & Background
 - ▣ Neural Networks
 - ▣ Reinforcement Learning
- Modular Dialogue System
 - ▣ Spoken/Natural Language Understanding (SLU/NLU)
 - ▣ Dialogue Management (DM)
 - Dialogue State Tracking (DST)
 - Dialogue Policy Optimization
 - ▣ Natural Language Generation (NLG)
 - ▣ **End-to-End Neural Dialogue Systems**
- System Evaluation
- Recent Trends on Learning Dialogues

ChitChat Hierarchical Seq2Seq (Serban+, 2016)

117

<http://www.aaai.org/ocs/index.php/AAAI/AAAI16/paper/view/11957>

- A hierarchical seq2seq model for generating dialogues

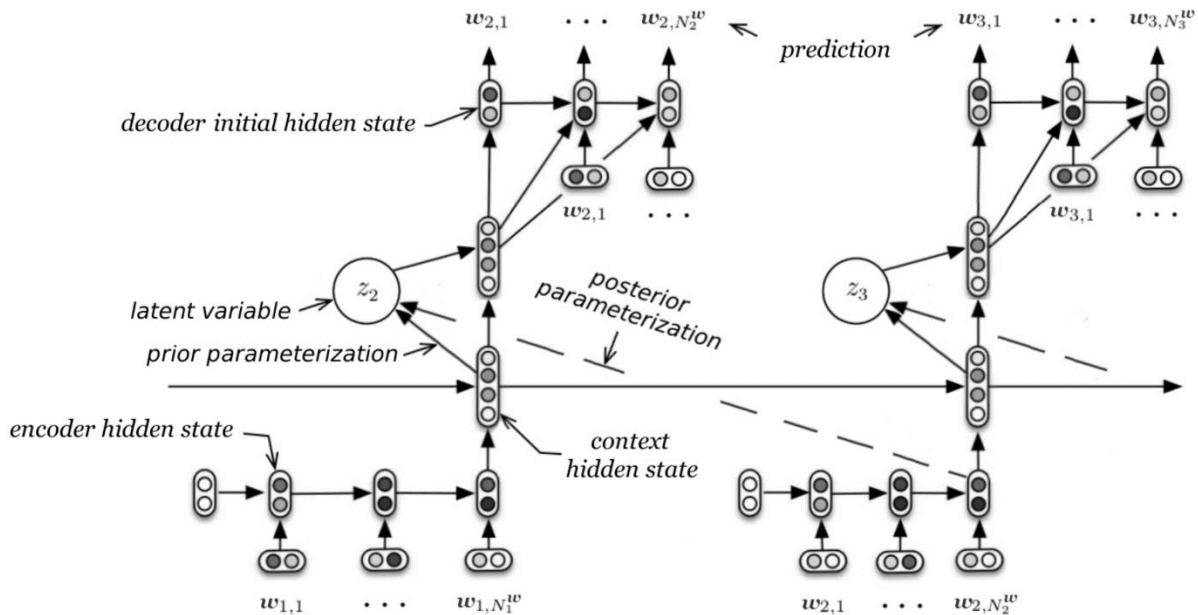


ChitChat Hierarchical Seq2Seq (Serban+, 2017)

118

<https://arxiv.org/abs/1605.06069>

- A hierarchical seq2seq model with **Gaussian latent variable** for generating dialogues



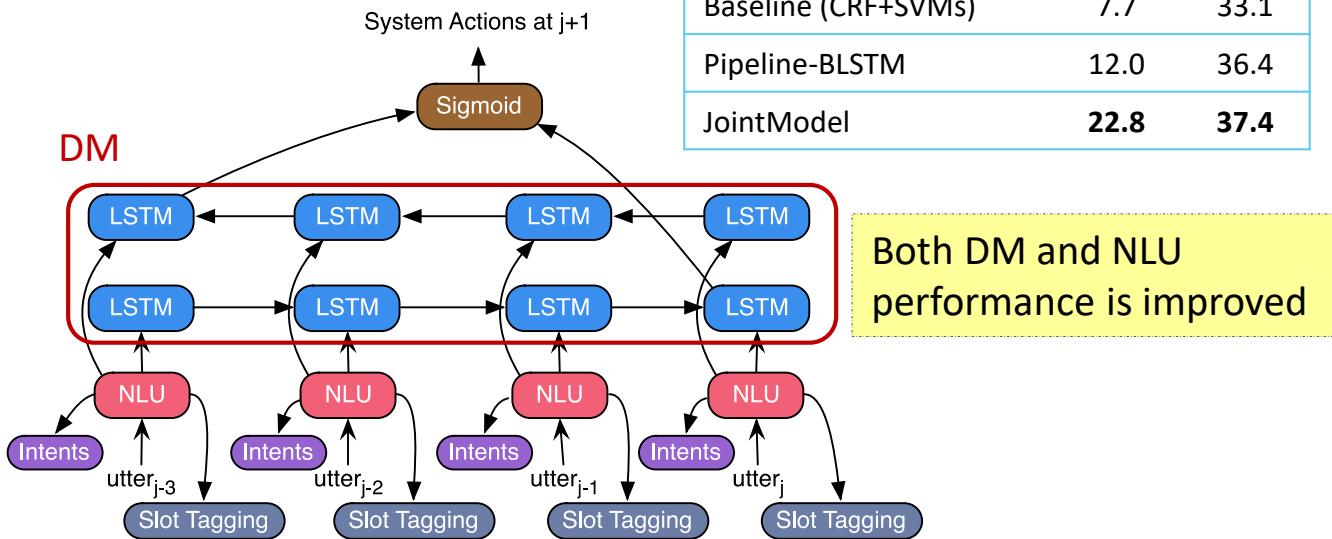
E2E Joint NLU and DM (Yang+, 2017)

119

<https://arxiv.org/abs/1612.00913>

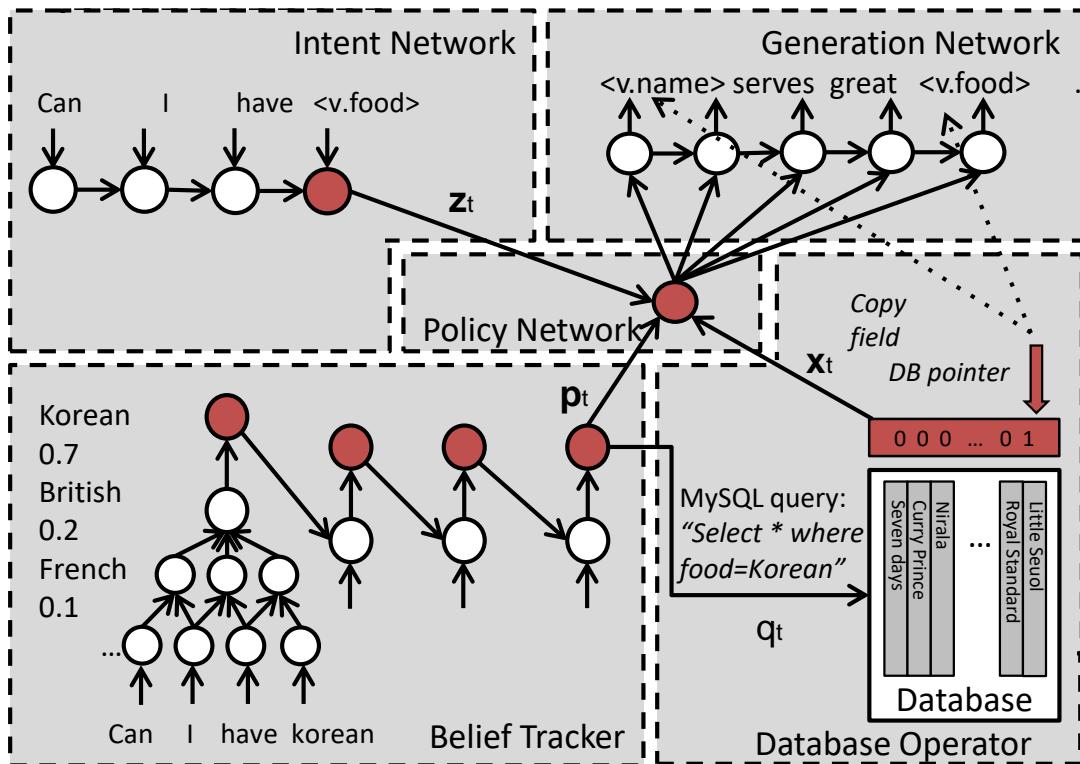
- Idea: errors from DM can be propagated to NLU for better robustness

Model	DM	NLU
Baseline (CRF+SVMs)	7.7	33.1
Pipeline-BLSTM	12.0	36.4
JointModel	22.8	37.4



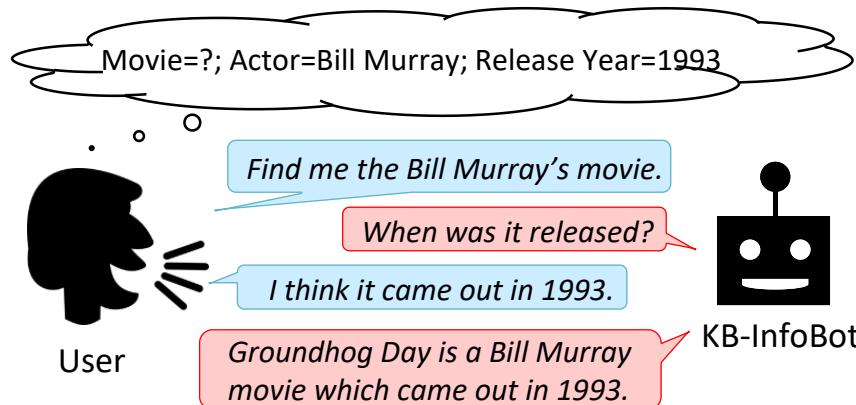
E2E Supervised Dialogue System (Wen+, 2016)

120

<https://arxiv.org/abs/1604.04562>

E2E RL-Based Info-Bot (Dhingra+, 2016)

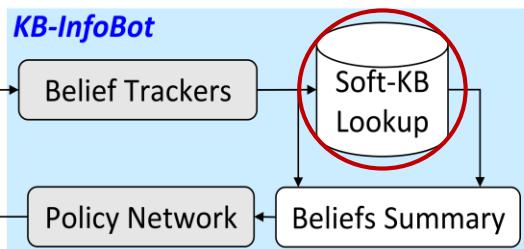
122

<http://www.aclweb.org/anthology/P/P17/P17-1045.pdf>

User

KB-InfoBot

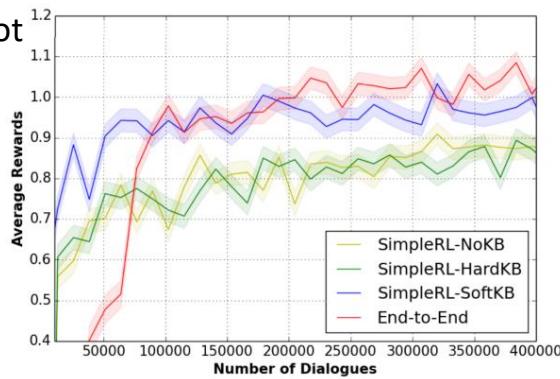
User Utterance
System Action



Idea: differentiable database for propagating the gradients

Entity-Centric Knowledge Base

Movie	Actor	Year
<i>Groundhog Day</i>	Bill Murray	1993
<i>Australia</i>	Nicole Kidman	X
<i>Mad Max: Fury Road</i>	X	2015



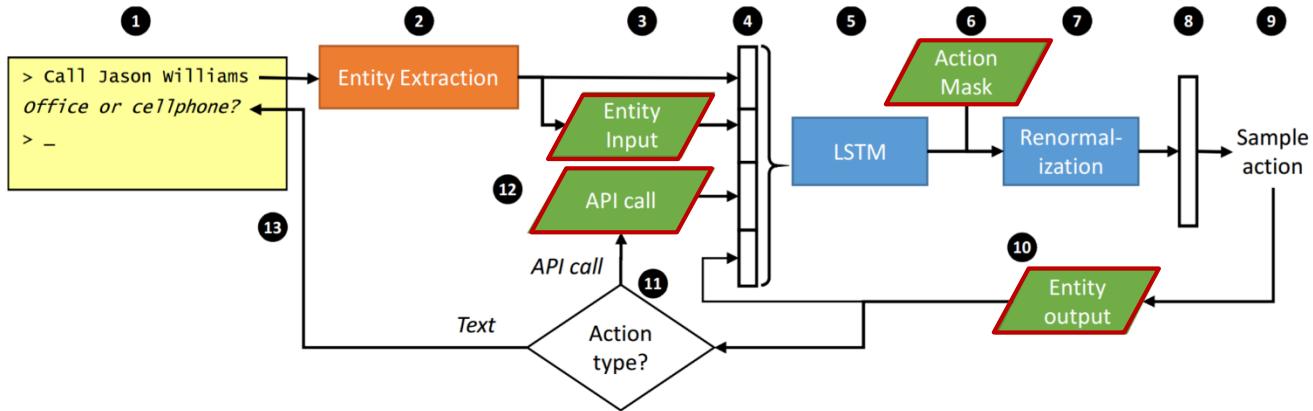
E2E LSTM-Based Dialogue Control

(Williams & Zweig, 2016)

123

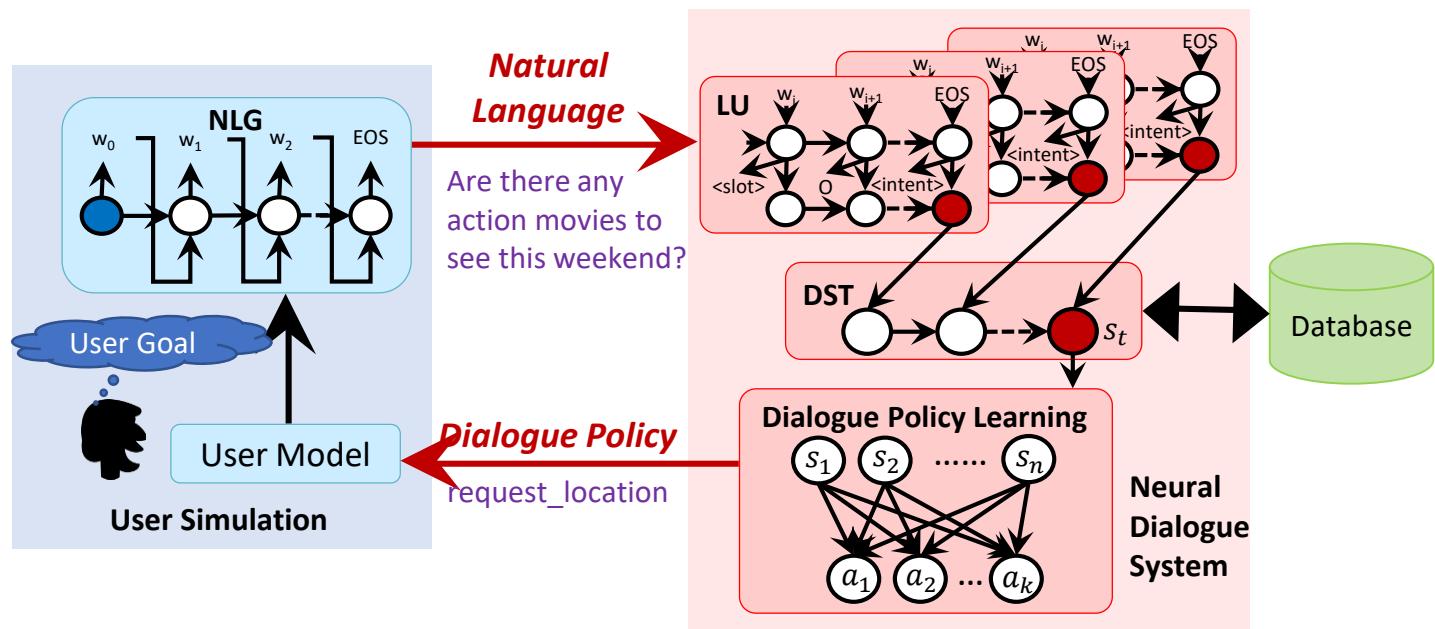
<https://arxiv.org/abs/1606.01269>

- Idea: an LSTM maps from raw dialogue history directly to a distribution over system actions
 - ▣ Developers can provide software including business rules & programmatic APIs
→ LSTM can take actions in the real world on behalf of the user
 - ▣ The LSTM can be optimized using SL or RL



E2E Task-Completion Bot (TC-Bot) (Li+, 2017)

124

<http://www.aclweb.org/anthology/I17-1074>

Idea: SL for each component and RL for end-to-end training

RL TC-Bot (Li+, 2017)

125

<http://www.aclweb.org/anthology/I17-1074>

User goal – ***Two tickets for “Deadpool” tomorrow 9PM at AMC Pacific Place 11 theater, Seattle.***

RULE BASED SYSTEM

User: Do you have any ticket for movie ‘Deadpool’ at 9:00 pm?

Agent: Which theater do you want?

User: AMC pacific place 11 theater, please!

Agent: How many tickets do you want?

User: Two!

Agent: What date?

User: Tomorrow!

Agent: Which city do you want?

User: Seattle!

Agent: Do you have any specification for zip code?

User: No, I do not care.

Agent: Do you have any distance constraint?

User: No, I do not care.

Agent: How about video format? 2d? Imax 3d?

User: Any kind is okay.

Agent: Do you have any constraint to price?

User: No!

Agent: Okay, I will issue 2 tickets for you, tomorrow 9:00 pm at AMC pacific place 11 theater, Seattle, movie ‘Deadpool’.

User: Okay, thanks.

Agent: Thanks!

Skip the requests the user may not care about to improve efficiency

REINFORCEMENT LEARNING SYSTEM

User: I want two tickets for movie ‘Deadpool’.

Agent: What is the starttime you prefer?

User: 9:00 PM

Agent: Which day?

User: Tomorrow

Agent: Which city?

User: Seattle

Agent: Which theater do you prefer?

User: AMC Pacific Place 11 theater.

Agent: Okay, I will issue 2 tickets for you, tomorrow 9:00 pm at AMC pacific place 11 theater, Seattle, movie ‘Deadpool’.

User: Okay, thanks.

Agent: Thanks!

Issue: no notion about what requests can be skipped

E2E Imitation and RL Agent (Liu+, 2018)

126

<http://aclweb.org/anthology/N18-1187>

- Generate distribution over candidate slot values:

$$s_k = \text{LSTM}(s_{k-1}, [U_k, A_{k-1}])$$

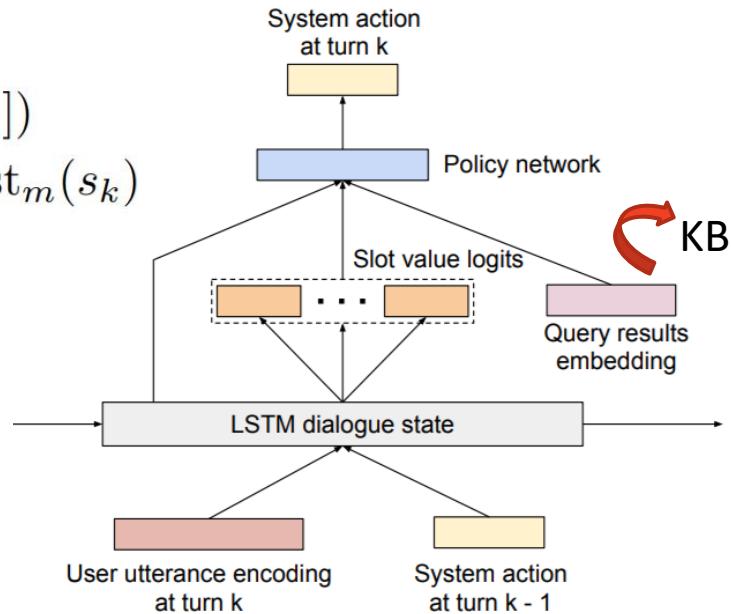
$$P(l_k^m | \mathbf{U}_{\leq k}, \mathbf{A}_{<k}) = \text{SlotDist}_m(s_k)$$

- Generate system action:

$$P(a_k | U_{\leq k}, A_{<k}, E_{\leq k})$$

$$= \text{PolicyNet}(s_k, v_k, E_k)$$

- Train Supervised → REINFORCE



Dialogue Challenge

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- DSTC: Dialog System Technology Challenge

Challenge	Track	Theme
<u>DSTC6</u>	Track 1	End-to-End Goal-Oriented Dialog Learning
	Track 2	End-to-End Conversation Modeling
	Track 3	Dialogue Breakdown Detection
<u>DSTC7</u>	Track 1	Sentence Selection
	Track 2	Sentence Generation
	Track 3	AVSD: Audio Visual Scene-aware Dialog

- SLT 2018 Microsoft Dialogue Challenge:
End-to-End Task-Completion Dialogue Systems
- The Conversation Intelligence Challenge:
ConvAI2 - PersonaChat

System Evaluation

Dialogue System Evaluation

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- Dialogue model evaluation
 - ▣ Crowd sourcing
 - ▣ User simulator
- Response generator evaluation
 - ▣ Word overlap metrics
 - ▣ Embedding based metrics

Crowdsourcing for Evaluation (Yang+, 2012)

130

http://www-scf.usc.edu/~zhaojuny/docs/SDSchapter_final.pdf

Q1 Do you think you understand from the dialog what the user wanted?

- Opt 1) No clue 2) A little bit 3) Somewhat
4) Mostly 5) Entirely

Aim elicit the Worker's confidence in his/her ratings.

Q2 Do you think the system is successful in providing the information that the user wanted?

- Opt 1) Entirely unsuccessful 2) Mostly unsuccessful
3) Half successful/unsuccessful
4) Mostly successful 5) Entirely successful

Aim elicit the Worker's perception of whether the dialog has fulfilled the informational goal of the user.

Q3 Does the system work the way you expect it?

- Opt 1) Not at all 2) Barely 3) Somewhat
4) Almost 5) Completely

Aim elicit the Worker's impression of whether the dialog flow suits general expectations.

Q4 Overall, do you think that this is a good system?

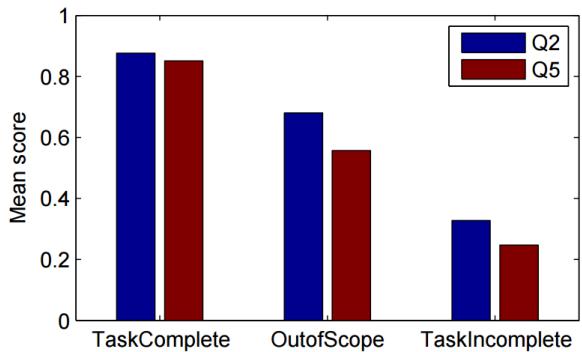
- Opt 1) Very poor 2) Poor 3) Fair 4) Good 5) Very good

Aim elicit the Worker's overall impression of the SDS.

Q5 What category do you think the dialog belongs to?

- Opt 1) Task is incomplete 2) Out of scope
3) Task is complete

Aim elicit the Worker's impression of whether the dialog reflects task completion.

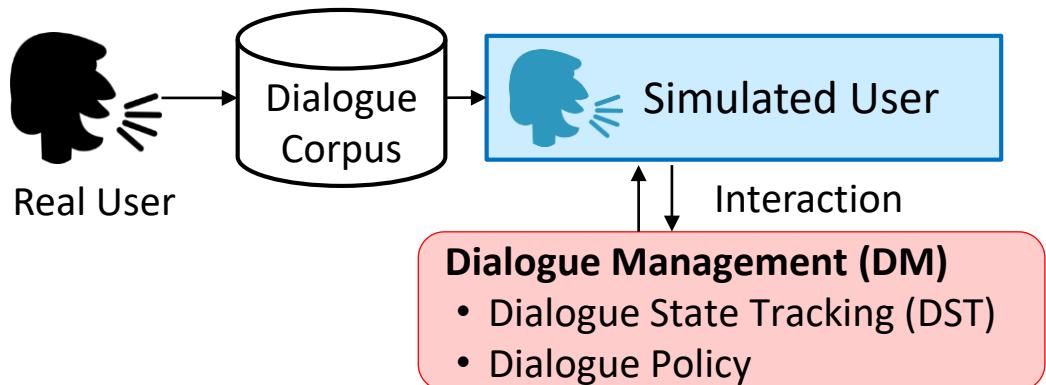


The normalized mean scores of Q2 and Q5 for approved ratings in each category. A higher score maps to a higher level of task success

User Simulation

131

- Goal: Generate natural and reasonable conversations to enable reinforcement learning for exploring the policy space
- Conventional corpora cannot be used to train RL agents.
- Simulator is replaced by crowd users to replicate real environment.



User Simulation

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- First, generate a user goal.
- The user goal contains:
 - ▣ Dialog act
 - ▣ Inform slots
 - ▣ Request slots

start-time="4 pm"
date="today"
city="Birmingham"

Are there any tickets available for 4 pm ?

'Hidden Figures' is playing at 4pm and 6 pm.

What is playing in Birmingham theaters today ?

keeps a list of its goals and actions

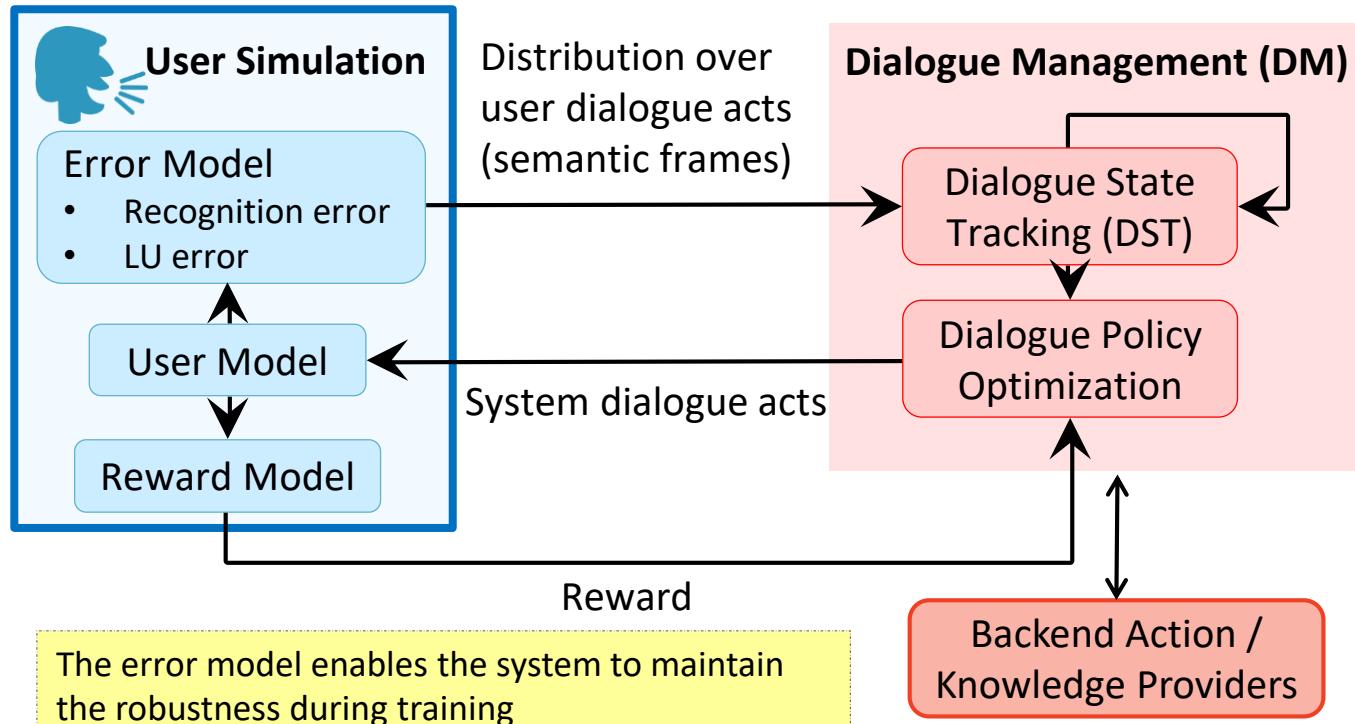
randomly generates an agenda

updates its list of goals and adds new ones

```
{
  "request_slots": {
    "ticket": "UNK",
    "theater": "UNK"
  },
  "diaact": "request",
  "inform_slots": {
    "city": "birmingham",
    "numberofpeople": "2",
    "state": "al",
    "starttime": "4 pm",
    "date": "today",
    "moviename": "deadpool"
  }
}
```

Elements of User Simulation

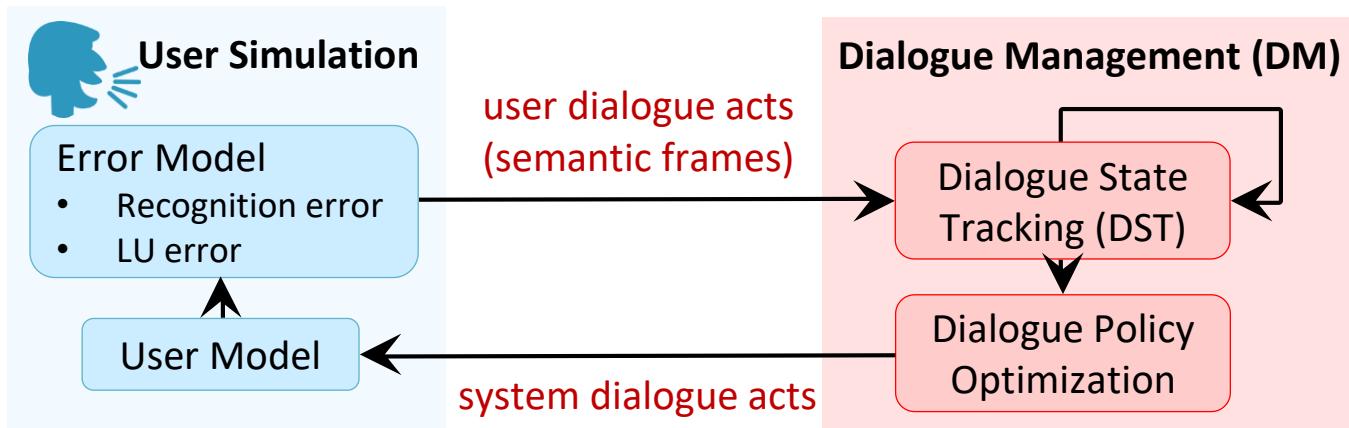
133



Frame-Level Interaction

134

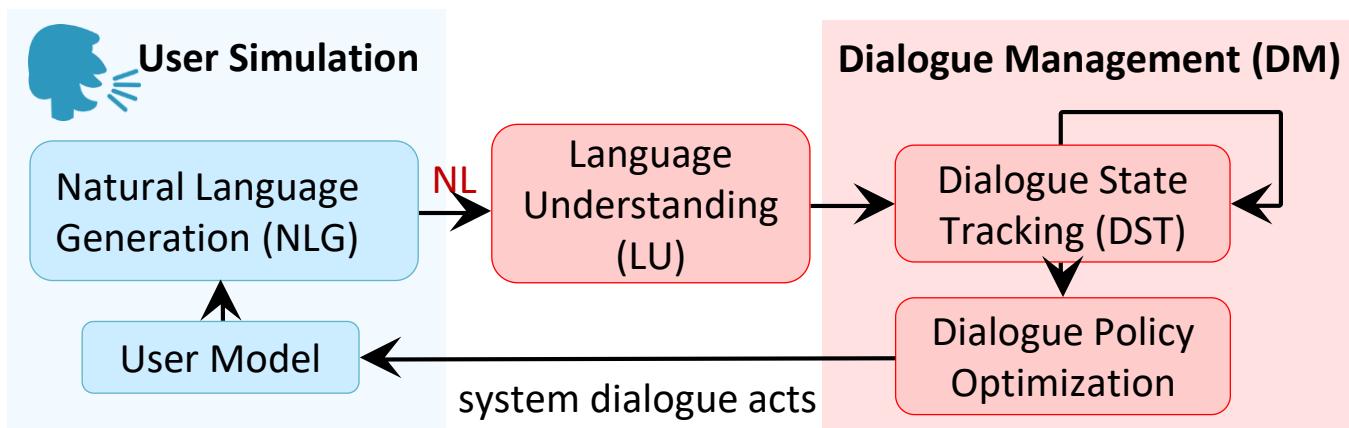
- DM receives frame-level information
 - No error model: perfect recognizer and LU
 - Error model: simulate the possible errors



Natural Language Level Interaction

135

- User simulator sends natural language
 - No recognition error
 - Errors from NLG or LU



Rule-Based Simulator for RL Agent (Li+, 2016)

136

<http://arxiv.org/abs/1612.05688>

- rule-based simulator + collected data
- starts with sets of goals, actions, KB, slot types
- publicly available simulation framework
- movie-booking domain: ticket booking and movie seeking
- provide procedures to add and test own agent

```
1 class AgentDQN(Agent):
2     def run_policy(self, representation):
3         """ epsilon-greedy policy """
4
5         if random.random() < self.epsilon:
6             return random.randint(0, self.num_actions - 1)
7         else:
8             if self.warm_start == 1:
9                 if len(self.experience_replay_pool) > self.experience_replay_pool_size:
10                     self.warm_start = 2
11                     return self.rule_policy()
12             else:
13                 return self.dqn.predict(representation, {}, predict_model=True)
14
15     def train(self, batch_size=1, num_batches=100):
16         """ Train DQN with experience replay """
17
18         for iter_batch in range(num_batches):
19             self.cur_bellman_err = 0
20             for iter in range(len(self.experience_replay_pool)/(batch_size)):
21                 batch = [random.choice(self.experience_replay_pool) for i in xrange(batch_size)]
22                 batch_struct = self.dqn.singleBatch(batch, {'gamma': self.gamma}, self.clone_dqn)
```

Model-Based User Simulators

137

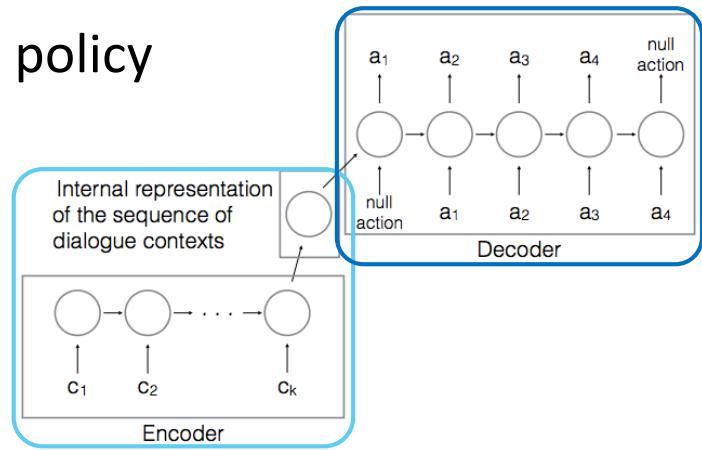
- Bi-gram models (Levin+, 2000)
- Graph-based models (Scheffler & Young, 2000)
- Data Driven Simulator (Jung+, 2009)
- Neural Models (deep encoder-decoder)

Seq2Seq User Simulation (El Asri+, 2016)

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<https://arxiv.org/abs/1607.00070>

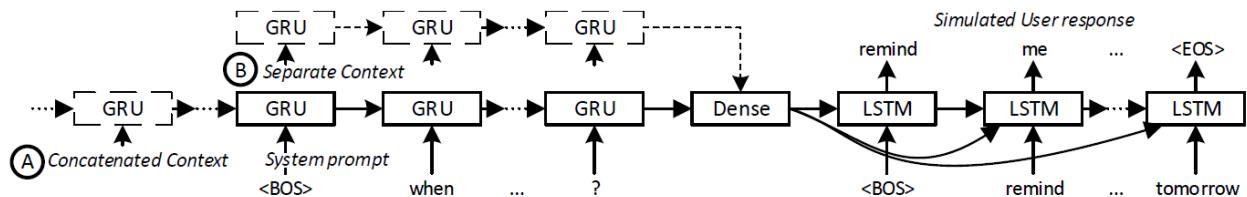
- Seq2Seq trained from dialogue data
 - Input: c_i encodes contextual features, such as the previous system action, consistency between user goal and machine provided values
 - Output: a dialogue act sequence form the user
- Extrinsic evaluation for policy



Seq2Seq User Simulation (Crook & Marin, 2017)

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- Seq2Seq trained from dialogue data
 - No labeled data
 - Trained on just human to machine conversations



User Simulator for Dialogue Evaluation

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Understanding Ability

- whether **constrained values** specified by users can be understood by the system
- agreement percentage of system/user understandings over the entire dialog (averaging all turns)

Efficiency

- Number of dialogue turns
- Dissimilarity between the dialogue turns (larger is better)

Action Appropriateness

- an explicit **confirmation** for an uncertain user utterance is an appropriate system action
- providing information based on misunderstood user requirements

How NOT to Evaluate Dialogue System

(Liu+, 2017)

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<https://arxiv.org/pdf/1603.08023.pdf>

- How to evaluate the quality of the generated response ?
 - ▣ Specifically investigated for chat-bots
 - ▣ Crucial for task-oriented tasks as well
- Metrics:
 - ▣ Word overlap metrics, e.g., BLEU, METEOR, ROUGE, etc.
 - ▣ Embeddings based metrics, e.g., contextual/meaning representation between target and candidate



Dialogue Response Evaluation (Lowe+, 2017)

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- Problems of existing automatic evaluation
 - ▣ can be biased
 - ▣ correlate poorly with human judgements of response quality
 - ▣ using word overlap may be misleading
- Solution
 - ▣ collect a **dataset of accurate human scores** for variety of dialogue responses (e.g., coherent/in-coherent, relevant/irrelevant, etc.)
 - ▣ use this dataset to train an **automatic dialogue evaluation model** – learn to compare **the reference to candidate responses!**
 - ▣ Use RNN to predict scores by comparing against human scores!

Context of Conversation

Speaker A: Hey, what do you want to do tonight?

Speaker B: Why don't we go see a movie?

Model Response

Nah, let's do something active.

Reference Response

Yeah, the film about Turing looks great!

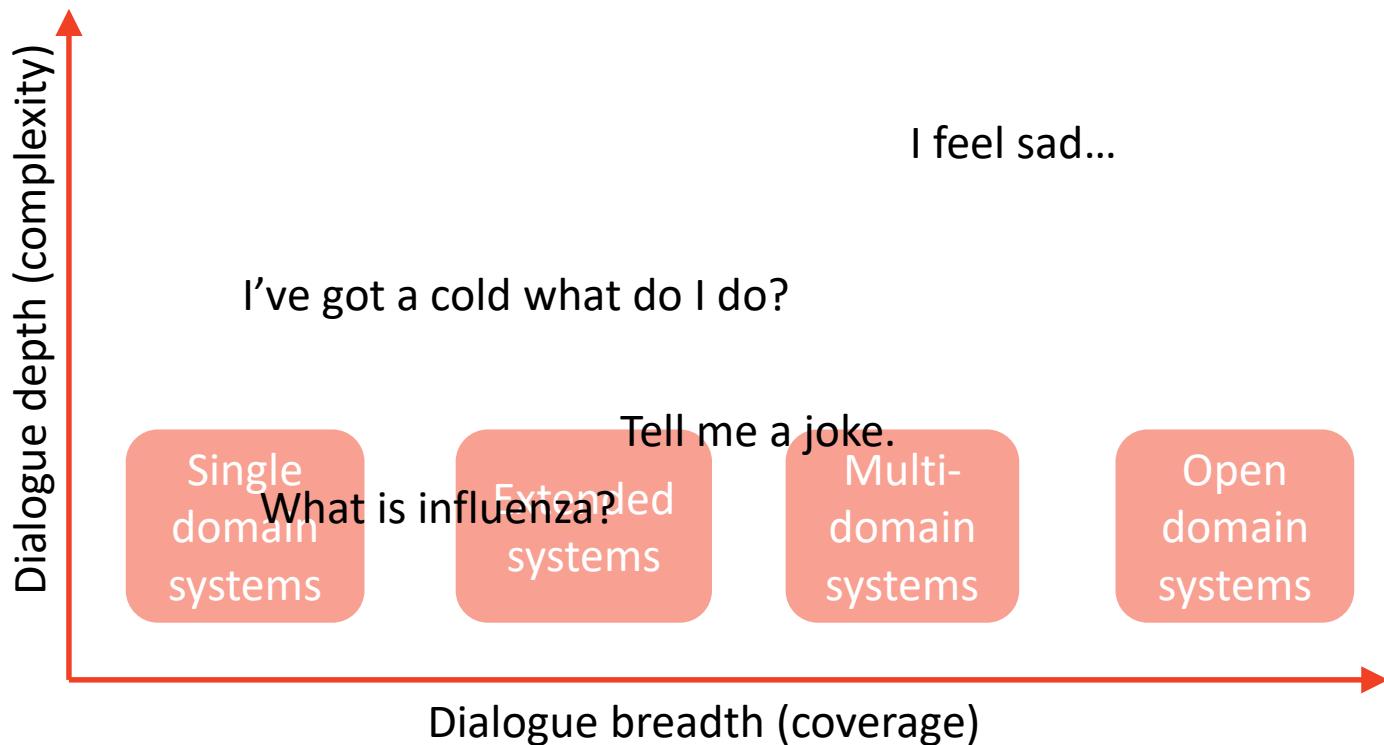
Recent Trends and Challenges

Dialogue Breadth

Dialogue Depth

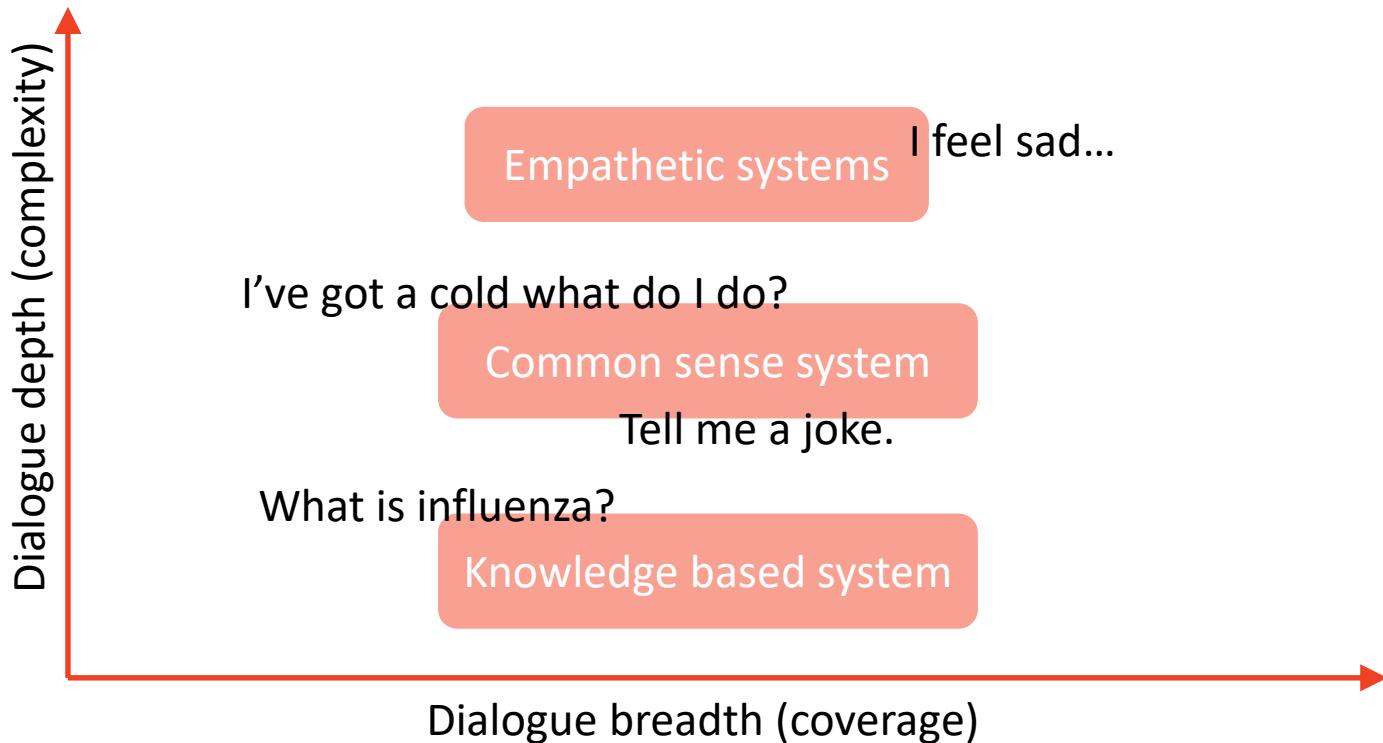
Evolution Roadmap

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Evolution Roadmap

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App Behavior for Understanding (Chen+, 2015)

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<http://dl.acm.org/citation.cfm?id=2820781>

- Task: user intent prediction
- Challenge: language ambiguity



① User preference

- ✓ Some people prefer “Message” to “Email”
- ✓ Some people prefer “Ping” to “Text”

② App-level contexts

- ✓ “Message” is more likely to follow “Camera”
- ✓ “Email” is more likely to follow “Excel”

Considering behavioral patterns in history to model understanding for intent prediction.

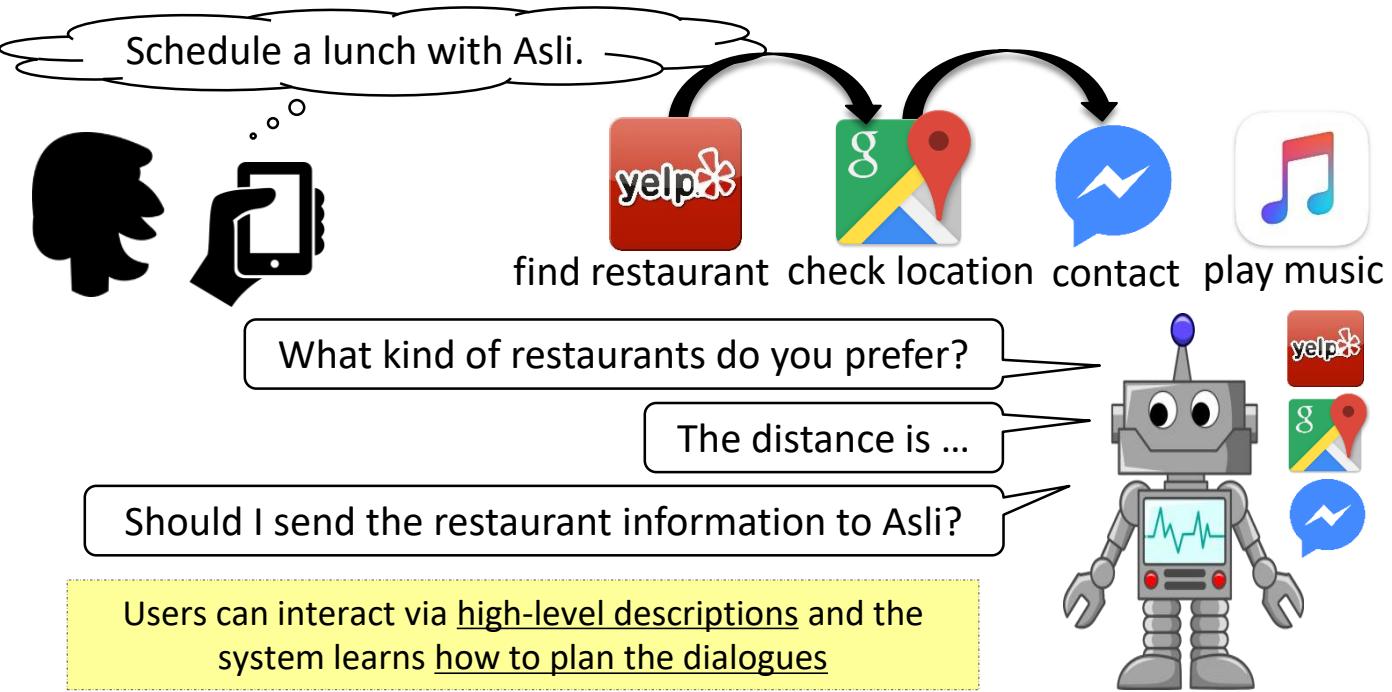
High-Level Intention for Dialogue Planning

(Sun+, 2016; Sun+, 2016)

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<http://dl.acm.org/citation.cfm?id=2856818>; http://www.irec-conf.org/proceedings/irec2016/pdf/75_Paper.pdf

- High-level intention may span several domains



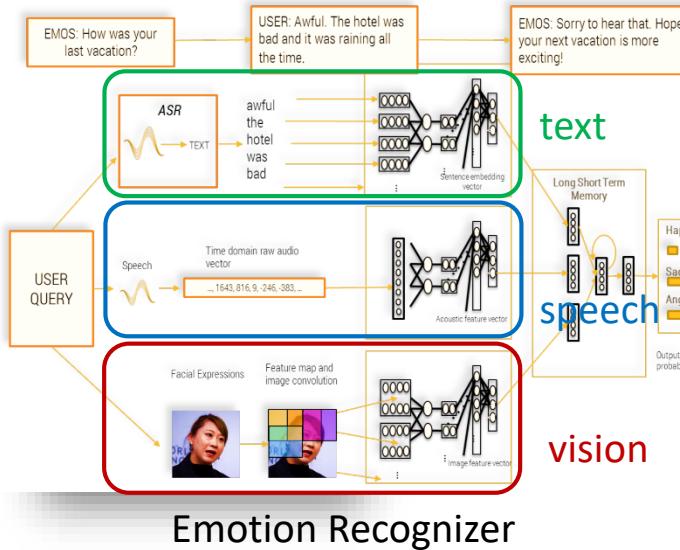
Empathy in Dialogue System (Fung+, 2016)

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<https://arxiv.org/abs/1605.04072>

Zara - The Empathetic Supergirl

- Embed an empathy module
 - Recognize emotion using multimodality
 - Generate emotion-aware responses



Face recognition output

```
{
  "recognition": "Race: Asian Confidence: 65.42750000000001 Smiling: 3.95896 Gender: Female Confidence: 88.9369",
  "race": "Asian",
  "race_confidence": "65.42750000000001",
  "smiling": "3.95896",
  "gender": "Female",
  "gender_confidence": "88.9369"
}
```

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Visual Object Discovery through Dialogues

(Vries+, 2017)

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<https://arxiv.org/pdf/1611.08481.pdf>

- Recognize objects using “Guess What?” game
- Includes “spatial”, “visual”, “object taxonomy” and “interaction”



Is it a person?

No

Is it an item being worn or held?

Yes

Is it a snowboard?

Yes

Is it the red one?

No

Is it the one being held by the person in blue?

Yes



Is it a cow?

Yes

Is it the big cow in the middle?

No

Is the cow on the left?

No

On the right ?

Yes

First cow near us?

Yes

Conclusion

Summary of Challenges

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- HCI is a hot topic but modelling requires dealing with several moving components
- Most state-of-the-art models are based on DNN:
 - ▣ Requires a lot of labeled and unlabeled data
 - ▣ Hyperparameter-tunning
- Reasoning and Interpretability:
 - ▣ To reduce bias
 - ▣ Improve performance

Summary of Challenges

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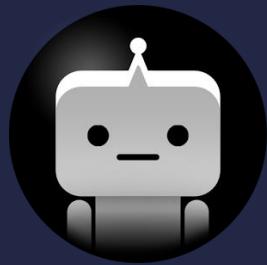
- Data collection is usually from unstructured data
- Most systems have complex cascaded architectures:
 - ▣ Requires high accuracy
 - ▣ Careful hyperparameter tuning
 - ▣ Correct objective function setting/balancing

Brief Conclusions

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- Introduce recent deep learning methods used in dialogue models
- Highlight main components of dialogue systems and new deep learning architectures used for these components
- Talk about challenges and new avenues for current state-of-the-art research
- Provide all materials online!

<http://deepdialogue.miulab.tw>



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THANKS FOR YOUR ATTENTION!