

Natural Language Processing IN2361

Prof. Dr. Georg Groh

Chapter 24 Dialog Systems and Chatbots

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- errors are fully in the responsibility of Georg Groh
- BIG thanks to Dan and James for a great book!

Dialog Systems

- Task-oriented dialog agents:
 - designed for a particular task + short related conversations to get information from the user
 - examples: Siri, Cortana, Alexa, Google Now/Home, etc.
 - o give travel directions, control home appliances, find restaurants, or help make phone calls or send texts, etc.

- Chatbots: designed for extended, casual conversations
 - o examples: Microsoft's Xiaolce (小冰 Xiǎobīng) (2015), Eliza (1969), ChatGPT (2022)
- characteristic: how many turns can the system handle (one → mostly question answering up to many (e.g. in tutoring agents):

Chatbots: Example: Eliza

```
Men are all alike.
IN WHAT WAY
They're always bugging us about something or other.
CAN YOU THINK OF A SPECIFIC EXAMPLE
Well my boyfriend made me come here.
YOUR BOYFRIEND MADE YOU COME HERE
He says I'm depressed much of the time.
I AM SORRY TO HEAR YOU ARE DEPRESSED
WHO ELSE IN YOUR FAMILY TAKES CARE OF YOU?
My father
YOUR FATHER
You are like my father in some ways.
WHAT RESEMBLANCE DO YOU SEE
You are not very aggressive but I think you don't want me to notice that.
WHAT MAKES YOU THINK I AM NOT AGGRESSIVE
You don't argue with me.
WHY DO YOU THINK I DON'T ARGUE WITH YOU
You are afraid of me.
DOES IT PLEASE YOU TO BELIEVE I'M AFRAID OF YOU
My father is afraid of everybody.
WHAT ELSE COMES TO MIND WHEN YOU THINK OF YOUR FATHER
Bullies.
```

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

Chatbots: Example: Eliza

```
Men are all alike.
IN WHAT WAY
They're alway
CAN YOU THII
Well my boy
YOUR BOYFRII
He says I'm
I AM SORRY
WHO ELSE IN
My father
YOUR FATHER
You are like
WHAT RESEMBI
You are not
WHAT MAKES
You don't an
WHY DO YOU
You are afra
DOES IT PLE
```

My father is

- Rogerian psycho-therapy style
- rule-based: each rule linked to keyword in user response
- main contribution: transformations

```
Find the word w in sentence that has the highest keyword rank

if w exists

Choose the highest ranked rule r for w that matches sentence
response ← Apply the transform in r to sentence
if w = 'my'
future ← Apply a transformation from the 'memory' rule list to sentence
Push future onto memory stack

else (no keyword applies)
either
response ← Apply the transform for the NONE keyword to sentence
or
response ← Pop the top response from the memory stack
return(response)
```

WHAT ELSE COMES TO MIND WHEN YOU THINK OF YOUR FATHER Bullies.

Chatbots: Example: Eliza

examples:

- (* YOU * ME) [pattern] → (WHAT MAKES YOU THINK I 3 YOU) [transform]
 - You hate me → WHAT MAKES YOU THINK I HATE YOU
- o rule 1: (I *) [pattern] → (YOU SAY YOU 2) [transform]
 - I know everybody laughed at me → YOU SAY YOU KNOW EVERYBODY
 I AUGHED AT YOU
 - keyword I: very general → rank of rule low
- o rule 2: (I * everybody *) [pattern] → WHO IN PARTICULAR ARE YOU THINKING OF?
 - I know everybody laughed at me → WHO IN PARTICULAR ARE YOU THINKING OF?
 - although rule 1 may also be applied, keyword everybody: more specific
 → rank of this second rule higher
- (MEMORY MY
 (* MY * = LETS DISCUSS FURTHER WHY YOUR 3)
 (* MY * = EARLIER YOU SAID YOUR 3)
 (* MY * = DOES THAT HAVE ANYTHING TO DO WITH THE FACT THAT YOUR 3)

Turns & turn-taking patterns $(\leftarrow \rightarrow \text{ endpoint detection})$

Speech acts:

... I need to travel in May.

A₂: And, what day in May did you want to travel?

OK uh I need to be there for a meeting that's from the 12th to the 15th.

And you're flying into what city?

Seattle.

And what time would you like to leave Pittsburgh?

Uh hmm I don't think there's many options for non-stop.

Right. There's three non-stops today.

What are they?

A₁₀: The first one departs PGH at 10:00am arrives Seattle at 12:05 their time

Constatives: committing the speaker to something's being the case (answering, claiming,

confirming, denying, disagreeing, stating)

Directives: attempts by the speaker to get the addressee to do something (advising, ask-

ing, forbidding, inviting, ordering, requesting)

Commissives: committing the speaker to some future course of action (promising, planning,

vowing, betting, opposing)

Acknowledgments: express the speaker's attitude regarding the hearer with respect to some so-

cial action (apologizing, greeting, thanking, accepting an acknowledgment)

A₂₀: OK...OK. On Sunday I have ...

- Turns & turn-taking patterns
 (←→ endpoint detection)
- Speech acts

 Grounding: acknowledge understanding

Subdialogues and Dialogue Structure:

Conversational analysis:

adjacency pairs:

QUESTION - ANSWER

PROPOSAL - ACCEPTANCE / REJECTION

COMPLIMENT - DOWNPLAYER

 C_1 : ... I need to travel in May.

A₂: And, what day in May did you want to travel?

C₃: OK uh I need to be there for a meeting that's from the 12th to the 15th.

A₄: And you're flying into what city?

C5: Seattle.

A₆: And what time would you like to leave Pittsburgh?

C₇: Uh hmm I don't think there's many options for non-stop.

A₈: Right. There's three non-stops today.

C₉: What are they?

A₁₀: The first one departs PGH at 10:00am arrives Seattle at 12:05 their time. The second flight departs PGH at 5:55pm, arrives Seattle at 8pm. And the last flight departs PGH at 8:15pm arrives Seattle at 10:28pm.

C₁₁: OK I'll take the 5ish flight on the night before on the 11th.

A₁₂: On the 11th? OK. Departing at 5:55pm arrives Seattle at 8pm, U.S. Air flight 115.

C13: OK.

A₁₄: And you said returning on May 15th?

 C_{15} : Uh, yeah, at the end of the day.

A₁₆: OK. There's #two non-stops . . . #

 C_{17} : #Act...actually #, what day of the week is the 15th?

A₁₈: It's a Friday.

C₁₉: Uh hmm. I would consider staying there an extra day til Sunday.

A20: OK...OK. On Sunday I have ...

- Turns & turn-taking patterns
 (←→ endpoint detection)
- Speech acts

 Grounding: acknowledge understanding

Subdialogues and Dialogue Structure:

correction subdialogue

C₁: ... I need to travel in May.

A₂: And, what day in May did you want to travel?

C₃: OK uh I need to be there for a meeting that's from the 12th to the 15th.

A₄: And you're flying into what city?

C₅: Seattle.

A₆: And what time would you like to leave Pittsburgh?

C₇: Uh hmm I don't think there's many options for non-stop.

A₈: Right. There's three non-stops today.

C₉: What are they?

A₁₀: The first one departs PGH at 10:00am arrives Seattle at 12:05 their time. The second flight departs PGH at 5:55pm, arrives Seattle at 8pm. And the last flight departs PGH at 8:15pm arrives Seattle at 10:28pm.

C₁₁: OK I'll take the 5ish flight on the night before on the 11th.

A₁₂: On the 11th? OK. Departing at 5:55pm arrives Seattle at 8pm, U.S. Air flight 115.

C₁₃: OK.

A₁₄: And you said returning on May 15th?

C₁₅: Uh, yeah, at the end of the day.

A₁₆: OK. There's #two non-stops . . . #

C₁₇: #Act...actually #, what day of the week is the 15th?

A₁₈: It's a Friday.

C₁₉: Uh hmm. I would consider staying there an extra day til Sunday.

A₂₀: OK...OK. On Sunday I have ...

- Turns & turn-taking patterns
 (←→ endpoint detection)
- Speech acts

- Grounding: acknowledge understanding
- Subdialogues and Dialogue Structure:

clarification question:

C₁: ... I need to travel in May.

A₂: And, what day in May did you want to travel?

C₃: OK uh I need to be there for a meeting that's from the 12th to the 15th.

A₄: And you're flying into what city?

C₅: Seattle.

A₆: And what time would you like to leave Pittsburgh?

C₇: Uh hmm I don't think there's many options for non-stop.

A₈: Right. There's three non-stops today.

C₉: What are they?

A₁₀: The first one departs PGH at 10:00am arrives Seattle at 12:05 their time. The second flight departs PGH at 5:55pm, arrives Seattle at 8pm. And the last flight departs PGH at 8:15pm arrives Seattle at 10:28pm.

C₁₁: OK I'll take the 5ish flight on the night before on the 11th.

A₁₂: On the 11th? OK. Departing at 5:55pm arrives Seattle at 8pm, U.S. Air flight 115.

C₁₃: OK.

A₁₄: And you said returning on May 15th?

 C_{15} : Uh, yeah, at the end of the day.

A₁₆: OK. There's #two non-stops . . . #
C₁₇: #Act. . . actually #, what day of the week is the 15th?

A₁₈: It's a Friday.

C₁₉: Uh hmm. I would consider staying there an extra day til Sunday.

A₂₀: OK... OK. On Sunday I have ...

Figure 24.1 Part of a phone conversation between a human travel agent (A) and human client (C). The passages framed by # in A_{16} and C_{17} indicate overlaps in speech.

User: What do you have going to UNKNOWN_WORD on the 5th?

System: Let's see, going where on the 5th?

User: Going to Hong Kong.

System: OK, here are some flights...

- Turns & turn-taking patterns (←→ endpoint detection)
- Speech acts

 Grounding: acknowledge understanding

Subdialogues and Dialogue Structure:

presequences:

User: Can you make train reservations?

System: Yes I can.

User: Great, I'd like to reserve a seat on the 4pm train to New York.

 C_1 : ... I need to travel in May.

A₂: And, what day in May did you want to travel?

C₃: OK uh I need to be there for a meeting that's from the 12th to the 15th.

A₄: And you're flying into what city?

C₅: Seattle.

A₆: And what time would you like to leave Pittsburgh?

C₇: Uh hmm I don't think there's many options for non-stop.

A₈: Right. There's three non-stops today.

C₉: What are they?

A₁₀: The first one departs PGH at 10:00am arrives Seattle at 12:05 their time. The second flight departs PGH at 5:55pm, arrives Seattle at 8pm. And the last flight departs PGH at 8:15pm arrives Seattle at 10:28pm.

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A₁₂: On the 11th? OK. Departing at 5:55pm arrives Seattle at 8pm, U.S. Air flight 115.

C13: OK.

A₁₄: And you said returning on May 15th?

C₁₅: Uh, yeah, at the end of the day. A₁₆: OK. There's #two non-stops . . . #

C₁₇: #Act...actually #, what day of the week is the 15th?

A₁₈: It's a Friday.

C₁₉: Uh hmm. I would consider staying there an extra day til Sunday.

A20: OK...OK. On Sunday I have ...

- Turns & turn-taking patterns
 (←→ endpoint detection)
- Speech acts

- Grounding: acknowledge understanding
- Subdialogues and Dialogue Structure

Initiative

C₁: ... I need to travel in May.

A₂: And, what day in May did you want to travel?

C₃: OK uh I need to be there for a meeting that's from the 12th to the 15th.

A₄: And you're flying into what city?

C₅: Seattle.

A₆: And what time would you like to leave Pittsburgh?

C₇: Uh hmm I don't think there's many options for non-stop.

A₈: Right. There's three non-stops today.

C₉: What are they?

A₁₀: The first one departs PGH at 10:00am arrives Seattle at 12:05 their time. The second flight departs PGH at 5:55pm, arrives Seattle at 8pm. And the last flight departs PGH at 8:15pm arrives Seattle at 10:28pm.

C₁₁: OK I'll take the 5ish flight on the night before on the 11th.

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C13: OK.

A₁₄: And you said returning on May 15th?

C₁₅: Uh, yeah, at the end of the day.

A₁₆: OK. There's #two non-stops . . . #

 C_{17} : #Act...actually #, what day of the week is the 15th?

A₁₈: It's a Friday.

C₁₉: Uh hmm. I would consider staying there an extra day til Sunday.

A₂₀: OK...OK. On Sunday I have ...

- Turns & turn-taking patterns (←→ endpoint detection)
- Speech acts

- Grounding: acknowledge understanding
- Subdialogues and Dialogue Structure

Initiative

- C₁: ... I need to travel in May.
- A₂: And, what day in May did you want to travel?
- C₃: OK uh I need to be there for a meeting that's from the 12th to the 15th
- A₄: And you're flying into what city?
- C5: Seattle.
- A₆: And what time would you like to leave Pittsburgh?
- C₇: Uh hmm I don't think there's many options for non-stop.
- A₈: Right. There's three non-stops today.
- C₉: What are they?
- A₁₀: The first one departs PGH at 10:00am arrives Seattle at 12:05 their time. The second flight departs PGH at 5:55pm, arrives Seattle at 8pm. And the last flight departs PGH at 8:15pm arrives Seattle at 10:28pm.
- C₁₁: OK I'll take the 5ish flight on the night before on the 11th.
- A₁₂: On the 11th? OK. Departing at 5:55pm arrives Seattle at 8pm, U.S. Air flight 115.
- C13: OK.
- A₁₄: And you said returning on May 15th?
- C₁₅: Uh, yeah, at the end of the day.
- A₁₆: OK. There's #two non-stops . . . #
- C₁₇: #Act...actually #, what day of the week is the 15th?
- A₁₈: It's a Friday.
- C₁₉: Uh hmm. I would consider staying there an extra day til Sunday.
- A20: OK...OK. On Sunday I have ...

Chatbots

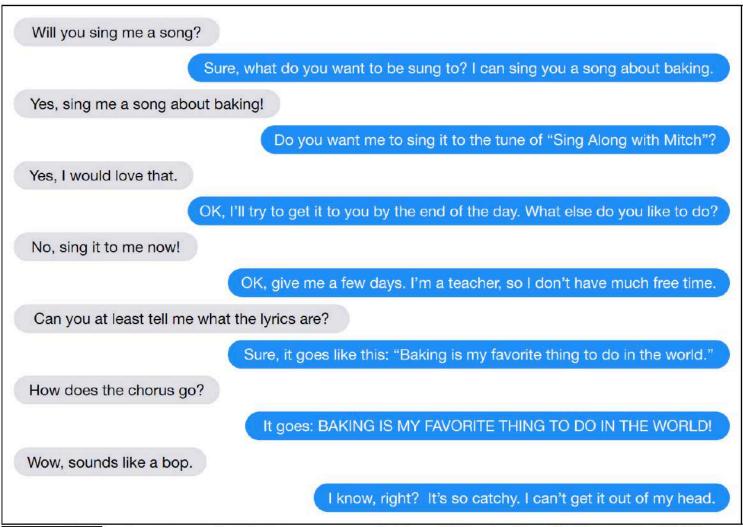


Figure 24.2 A conversation between a user (left) and BlenderBot (Roller et al., 2021).

Corpus-Based Chatbots

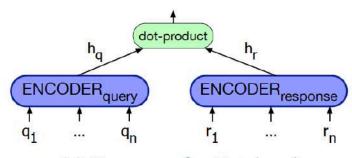
Response by retrieval

response by retrieval
$$\int_{r \in C}^{\rho \cup \rho \cup r} \int_{r \in S}^{\rho \cup \rho \cup r} \int_{r \in C}^{\rho \cup r} \int_{r \in C$$

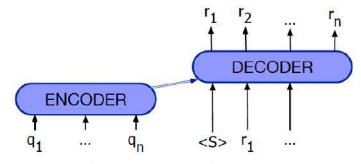
Response by generation

$$\hat{r}_t = \operatorname{argmax}_{w \in V} P(w|q, r_1...r_{t-1})$$

constructed by the decoder



(a) Response by Retrieval



(b) Response by Generation

Corpus-Based Chatbots

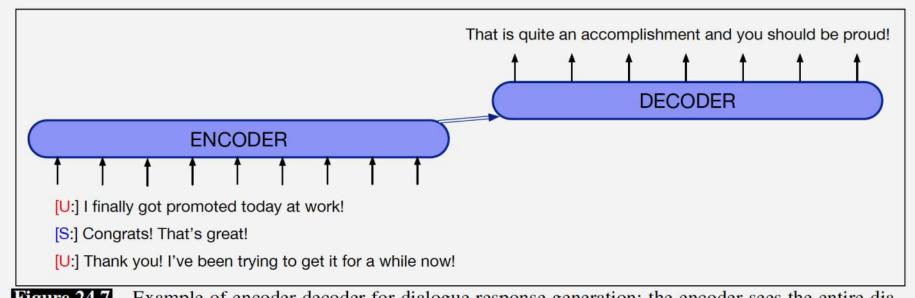
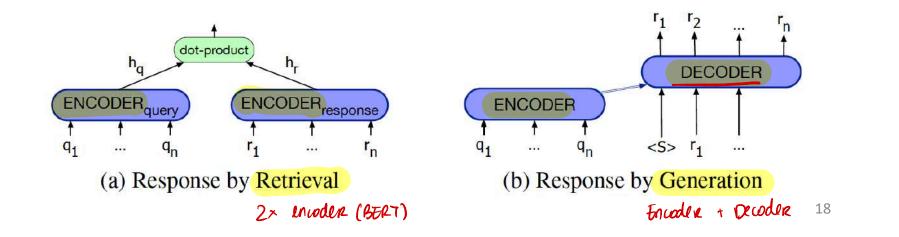


Figure 24.7 Example of encoder decoder for dialogue response generation; the encoder sees the entire dialogue context.



Hybrid Architectures

• Examples: Alexa, Siri: combine neural approaches (e.g. involving GPT-x (fine-tuned on conversational corpora)), entity linking, dialogue classification, slot filling etc.

#_	Utterance	Entity	Commentary
1	User: let's chat	None	
	Bot: Hi, this is an Alexa Prize Socialbot. I'd love to get to know you a bit better before we chat! Is it all right if I ask for your name? [Launch]	None	Launch gives FORCE_START response to begin the conversation.
2	User: my name is chris	None	
	Bot: Well it's nice to meet you, Chris! I'm excited to chat with you today. [Launch] I hope your afternoon is going well. What are your plans for the rest of today? [Neural Chat]	None	Launch gives a STRONG_CONTINUE response that needs a prompt, which is supplied by Neural Chat with FORCE_START priority (scripted transition).
3	User: hang out with my friends	None	
	Bot: That sounds great, I love spending time with friends. What will you do together? [Neural Chat]	None	Neural Chat generates a GPT-2 response with STRONG_CONTINUE priority.
4	User: maybe watch a movie	None	
	Bot: Me too! I love watching movies; I get to learn so much about what the world is like outside of the cloud! Have you seen any movies recently? [Movies]	Film	Movies detects the 'movie' keyword in the user's utterance and gives a FORCE_START response (overriding Neural Chat), setting current entity to Film.
5	User: i saw the matrix	The Matrix	The Entity Linker and Entity Tracker identify <i>The Matrix</i> as the current entity.
	Bot: Nice! Did you like The Matrix? [Movies]	The Matrix	
6	User: i loved it neo is amazing	The Matrix	
	Bot: Oooh, yeah, I agree. Hey, isn't Keanu Reeves in that movie? What do you think about Keanu Reeves? [Movies]	Keanu Reeves	Movies sets current entity to Keanu Reeves.
7	User: i want to talk about something else	None	Navigational Intent detects negative intent, so Entity Tracker rejects the current entity.

8 Part of a conversation with Chirpy Cardinal (Paranjape et al., 2020).

Task-based dialogue: typical case. GUS architecture (1977):
 dialogue state (state machine), frames, slots + values, domain ontology

MONTH: NAME

GUS: Hello. My name is GUS. I can help you plan a simple want to go?

Client: I want to go to San Diego on May 28

Types in GUS, as in modern traine-based dialogue agents, have increased structure; for example the *date* type in GUS is itself a frame with slots with types like *integer* or members of sets of weekday names:

DATE

GUS: What time do you want to leave?

Client: I must be in San Diego before 10 am

GUS: Would you like P.S.A. flight 102 that arrives at 9.15 am?

Client: What is the next flight?

GUS: Air California flight 310 that leaves at 8.30am and arrives at 10.00am

Client: I'll take the first one

GUS: In what name should I make a reservation, please?

Client: Dan Bobrow

GUS: I have confirmed the following flight: P.S.A. flight 102 on Wednesday May 28

from San Jose to San Diego that leaves at 7.30 am and arrives at 9.15 am.

GUS: What date do you want to return on?

Client: On Friday in the evening.

GUS: Would you like the flight that leaves at 7.45 pm?

Client: That's fine.

GUS: I have confirmed the following flight: San Diego to San Jose that leaves at 7

for calling. Goodbye

Slot	Type	Question Template	
ORIGIN CITY	city	"From what city are you leaving?"	
DESTINATION CITY	city	"Where are you going?"	
DEPARTURE TIME	time	"When would you like to leave?"	
DEPARTURE DATE	date	"What day would you like to leave?"	
ARRIVAL TIME	time	"When do you want to arrive?"	
ARRIVAL DATE	date	"What day would you like to arrive?"	

YEAR: INTEGER

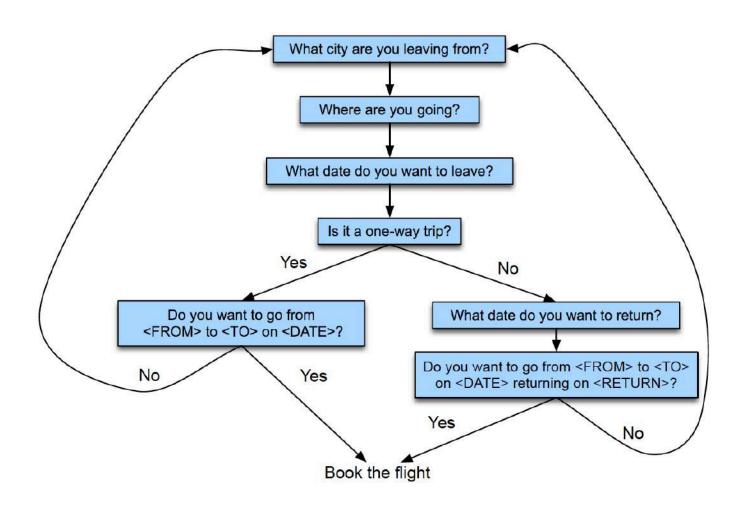
WEEKDAY: (MEMBER (Sunday Monday Tuesday Wednesday

Types in GUS, as in modern frame-based dialogue agents, have hierarchical

DAY: (BOUNDED-INTEGER 1 31)

Figure 24.10 A frame in a frame-based dialogue system, showing the type of each slot and a question used to fill the slot.

- GUS (also Siri, Alexa etc.): control structure ←→ slot filling in frames
- GUS: production rules determine state transitions



- Determining Domain, Intent, Slot-Filling from user utterance:
 - o domain: what is the user talking about? (→ classifier)
 - intent: what is the task or goal of the user? (→ classifier)
 - o slot filling: (→ hand-written rules)

Show me morning flights from Boston to San Francisco on Tuesday

DOMAIN: AIR-TRAVEL INTENT: SHOW-FLIGHTS

ORIGIN-CITY: Boston
ORIGIN-DATE: Tuesday
ORIGIN-TIME: morning

DEST-CITY: San Francisco

Wake me tomorrow at 6

DOMAIN: ALARM-CLOCK
INTENT: SET-ALARM

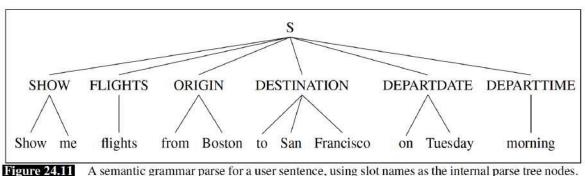
TIME: 2017-07-01 0600-0800

- hand-written rules for slot filling
 - Reg-ex for SET_ALARM intent:

```
wake me (up) | set (the|an) alarm | get me up
```

Semantic grammar (Phoenix system, 1994)

```
SHOW
                            \rightarrow show me | i want | can i see|...
DEPART_TIME_RANGE \rightarrow (after around before) HOUR
                                morning | afternoon | evening
                            → one two three four... twelve (AMPM)
HOUR
FLIGHTS
                            \rightarrow (a) flight | flights
AMPM
                            \rightarrow am | pm
ORIGIN
                            \rightarrow from CITY
DESTINATION
                            \rightarrow to CITY
CITY
                            → Boston | San Francisco | Denver | Washington
```



A semantic grammar parse for a user sentence, using slot names as the internal parse tree nodes.

Other components

- make components (e.g. speech to text, output language model)
 dependent on dialogue state (e.g. use special restricted grammar)
- simple systems: system utterances: fixed hand-written templates
 What time do you want to leave CITY-ORIG?
 Will you return to CITY-ORIG from CITY-DEST?
- o use grounding:

System: Did you want to review some more of your personal profile?

Caller: No.

System: What's next?

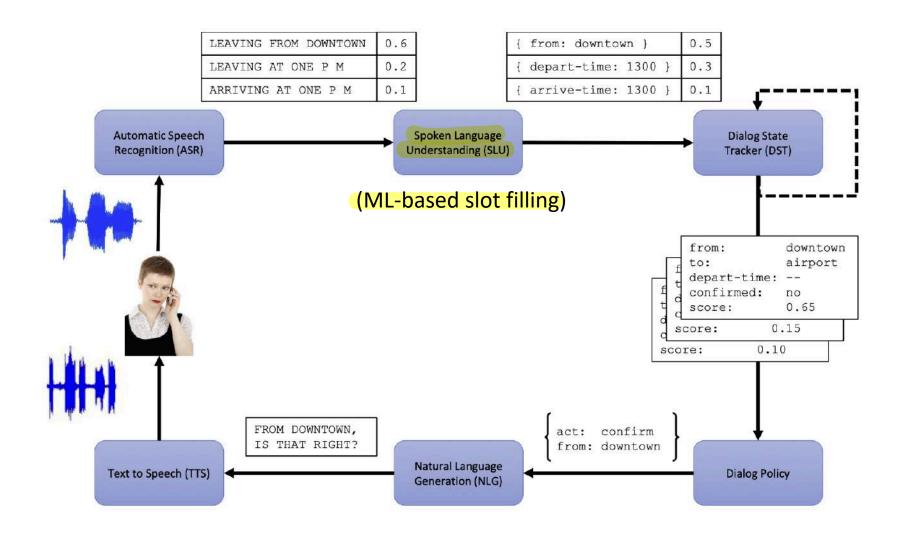
 \prod

System: Did you want to review some more of your personal profile?

Caller: No.

System: *Okay*, what's next?

Task Oriented Dialogue Systems: Dialogue State Architecture



Dialogue State Architecture: Dialogue Acts

Tag	Sys Use	r Description	
$HELLO(\underline{a} = x, \underline{b} = y,)$	√ ✓	Open a dialogue and give info $a = x, b = y,$	
$\overline{\text{INFORM}(a=x,b=y,)}$	√ ✓	Give info $a = x, b = y,$	
REQUEST(a, b = x,)	✓ ✓	Request value for a given $b = x,$	
REQALTS(a = x,)	χ ✓	Request alternative with $a = x,$	
CONFIRM(a = x, b = y,)) 🗸 🗸	Explicitly confirm $a = x, b = y,$	
CONFREQ(a = x,, d)	√ χ	Implicitly confirm $a = x,$ and request value of d	
SELECT(a = x, a = y)	√ X	Implicitly confirm $a = x,$ and request value of d	
AFFIRM(a = x, b = y,)	\checkmark \checkmark	Affirm and give further info $a = x, b = y,$	
NEGATE(a = x)	χ ✓	Negate and give corrected value $a = x$	
DENY(a = x)	χ <	Deny that $a = x$	· L'ON
BYE()	✓ ✓	Deny that $a = x$ Close a dialogue	Laura

Utterance	Dialogue act
U: Hi, I am looking for somewhere to eat.	hello(task = find, type=restaurant)
S: You are looking for a restaurant. What	<pre>confreq(type = restaurant, food)</pre>
type of food do you like?	
U: I'd like an Italian somewhere near the	<pre>inform(food = Italian, near=museum)</pre>
museum.	
S: Roma is a nice Italian restaurant near	<pre>inform(name = "Roma", type = restaurant,</pre>
the museum.	<pre>food = Italian, near = museum)</pre>
U: Is it reasonably priced?	<pre>confirm(pricerange = moderate)</pre>
S: Yes, Roma is in the moderate price	affirm(name = "Roma", pricerange =
range.	moderate)
U: What is the phone number?	request(phone)
S: The number of Roma is 385456.	<pre>inform(name = "Roma", phone = "385456")</pre>
U: Ok, thank you goodbye.	bye()

NN Slot Filling – NN Sequence Labeling Task

I want to fly to San Francisco on Monday afternoon please

```
0 0 0 0 B-DES I-DES 0 B-DEPTIME I-DEPTIME 0
I want to fly to San Francisco on Monday afternoon please
```

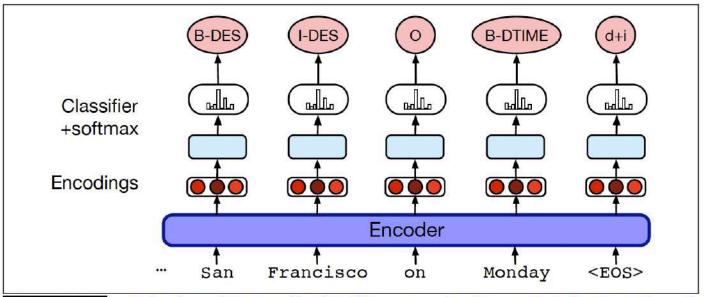


Figure 24.15 A simple architecture for slot filling, mapping the words in the input through contextual embeddings like BERT to an output classifier layer (which can be linear or something more complex), followed by softmax to generate a series of BIO tags (and including a final state consisting of a domain concatenated with an intent).

Dialogue State Tracking

Dialogue <u>state tracker</u>: determine current <u>slot filling status</u> and <u>user's</u>
 <u>dialogue act</u>

User: I'm looking for a cheaper restaurant

inform(price=cheap)

System: Sure. What kind - and where?
User: Thai food, somewhere downtown

inform(price=cheap, food=Thai, area=centre)

System: The House serves cheap Thai food

User: Where is it?

inform(price=cheap, food=Thai, area=centre); request(address)

System: The House is at 106 Regent Street

- State tracking and slot filling: can be done jointly
- Special case: detecting (user) correction acts

features	examples
lexical	words like "no", "correction", "I don't", swear words, utterance length
semantic	similarity (word overlap or embedding dot product) between the candidate
	correction act and the user's prior utterance
phonetic	phonetic overlap between the candidate correction act and the user's prior ut-
	terance (i.e. "WhatsApp" may be incorrectly recognized as "What's up")
prosodic	hyperarticulation, increases in F0 range, pause duration, and word duration,
	generally normalized by the values for previous sentences
ASR	ASR confidence, language model probability

Dialogue Policy

Decide what dialogue act to generate next

$$\hat{A}_i = \underset{A_i \in A}{\operatorname{argmax}} P(A_i | (A_1, U_1, ..., A_{i-1}, U_{i-1})$$

$$\hat{A}_i = \underset{A_i \in A}{\operatorname{argmax}} P(A_i | \operatorname{Frame}_{i-1}, A_{i-1}, U_{i-1})$$

possible approach: reinforcement learning

- Example policy : confirmation and rejection
 - explicit

confirmation:

- S: Which city do you want to leave from?
- U: Baltimore.
- S: Do you want to leave from Baltimore?
- U: Yes.
- U: I'd like to fly from Denver Colorado to New York City on September twenty first in the morning on United Airlines
- S: Let's see then. I have you going from Denver Colorado to New York on September twenty first. Is that correct?
- U: Yes

Dialogue Policy

o implicit confirmation:

U: I want to travel to Berlin

S: When do you want to travel to Berlin?

U2: Hi I'd like to fly to Seattle Tuesday Morning

A3: Traveling to Seattle on Tuesday, August eleventh in the morning.

Your full name?

rejection: progressive prompting: System: When would you like to leave?

Caller: Well, um, I need to be in New York in time for the first World Series game.

System: <reject>. Sorry, I didn't get that. Please say the month and day you'd like

to leave.

Caller: I wanna go on October fifteenth.

o rejection:

rapid re-prompting: system rejects an utterance just by saying "I'm sorry?" or "What was that?"

confidence based:

 $< \alpha$ low confidence reject

 $\geq \alpha$ above the threshold confirm explicitly

 $\geq \beta$ high confidence confirm implictly

 $\geq \gamma$ very high confidence don't confirm at all

Dialogue State Model: Language Generation

Content planning, sentence realisation:

```
recommend(restaurant name= Au Midi, neighborhood = midtown,
cuisine = french
```

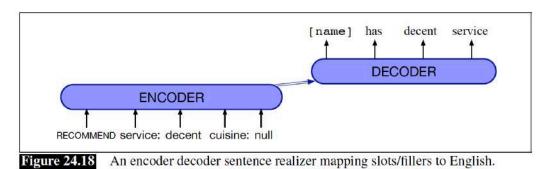
- 1 Au Midi is in Midtown and serves French food.
- 2 There is a French restaurant in Midtown called Au Midi.
 recommend(restaurant name= Loch Fyne, neighborhood = city
 centre, cuisine = seafood)
- 3 Loch Fyne is in the City Center and serves seafood food.
- 4 There is a seafood restaurant in the City Centre called Loch Fyne.

Figure 24.16 Two examples of inputs to the sentence realization phase of NLG, showing the dialogue act and attributes prespecified by the content planner. Line 1-2 and 3-4 show different possible output sentences to be generated by the sentence realizer. From the restaurant recommendation system of Nayak et al. (2017).

```
recommend(restaurant name= Au Midi, neighborhood = midtown,
cuisine = french
```

- 1 restaurant_name is in neighborhood and serves cuisine food.
- 2 There is a cuisine restaurant in neighborhood called restaurant_name.

Figure 24.17 Delexicalized sentences that can be used for generating many different relexicalized sentences. From the restaurant recommendation system of Nayak et al. (2017).



31

Dialogue System Evaluation

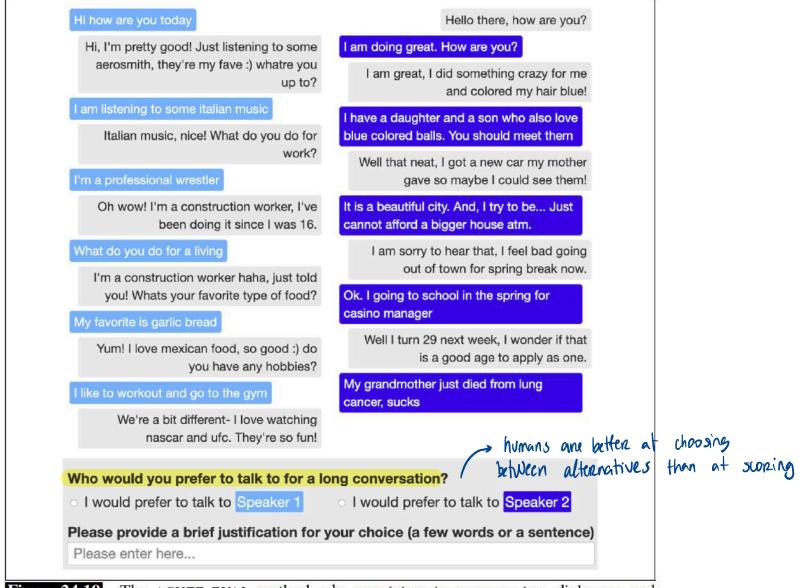


Figure 24.19 The ACUTE-EVAL method asks annotators to compare two dialogues and choose between Speaker 1 (light blue) and Speaker 2 (dark blue), independent of the gray speaker. Figure from Li et al. (2019a).

Dialogue System Evaluation: Task-Based Dialogue Systems

TTS Performance	Was the system easy to understand?
ASR Performance	Did the system understand what you said?
Task Ease	Was it easy to find the message/flight/train you wanted?
Interaction Pace	Was the pace of interaction with the system appropriate?
User Expertise	Did you know what you could say at each point?
System Response	How often was the system sluggish and slow to reply to you?
Expected Behavior	Did the system work the way you expected it to?
Future Use	Do you think you'd use the system in the future?
Figure 24.20 User satis	faction survey, adapted from Walker et al. (2001).

Slot Error Rate for a Sentence = $\frac{\text{# of inserted/deleted/subsituted slots}}{\text{# of total reference slots for sentence}}$



Bibliography

(1) Dan Jurafsky and James Martin: Speech and Language Processing (3rd ed. draft, version Jan 2023); Online: https://web.stanford.edu/~jurafsky/slp3/ (URL, Oct 2023)

Recommendations for Studying

minimal approach:

work with the slides and understand their contents! Think beyond instead of merely memorizing the contents

standard approach:

minimal approach + read the corresponding pages in Jurafsky [1]

interested students

== standard approach