

# Statistical Natural Language Processing

## N-gram Language Models

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# N-gram language models

- A **language model** answers the question *how likely is a sequence of words in a given language?*
- They assign scores, typically probabilities, to sequences (of words, letters, ...)
- **n-gram** language models are the ‘classical’ approach to language modeling
- The main idea is to estimate probabilities of sequences, using the probabilities of words given a limited history
- As a bonus we get the answer for *what is the most likely word given previous words?*

# N-grams in practice: spelling correction

- How would a spell checker know that there is a spelling error in the following sentence?

*I like pizza wit spinach*

- Or this one?

*Zoo animals on the lose*

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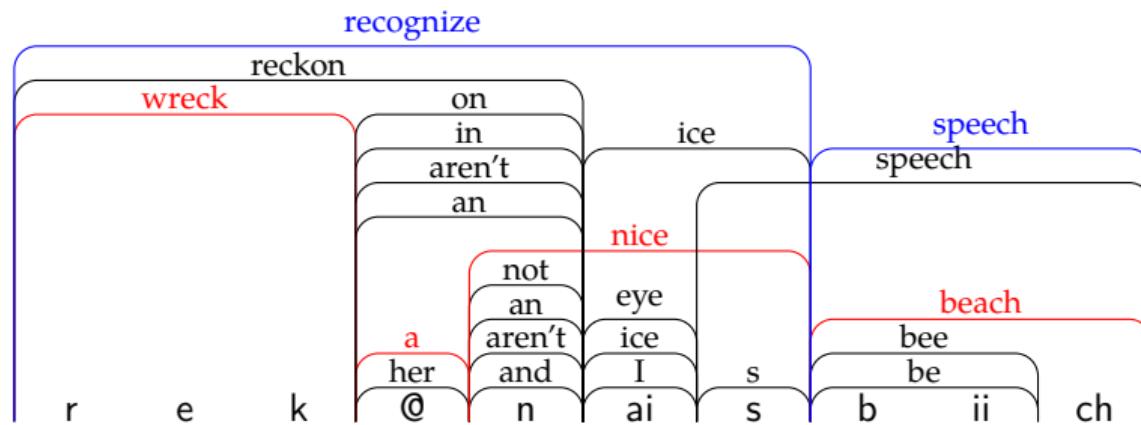
*Zoo animals on the lose*

We want:

$$P(\text{I like pizza with spinach}) > P(\text{I like pizza wit spinach})$$

$$P(\text{Zoo animals on the loose}) > P(\text{Zoo animals on the lose})$$

# N-grams in practice: speech recognition

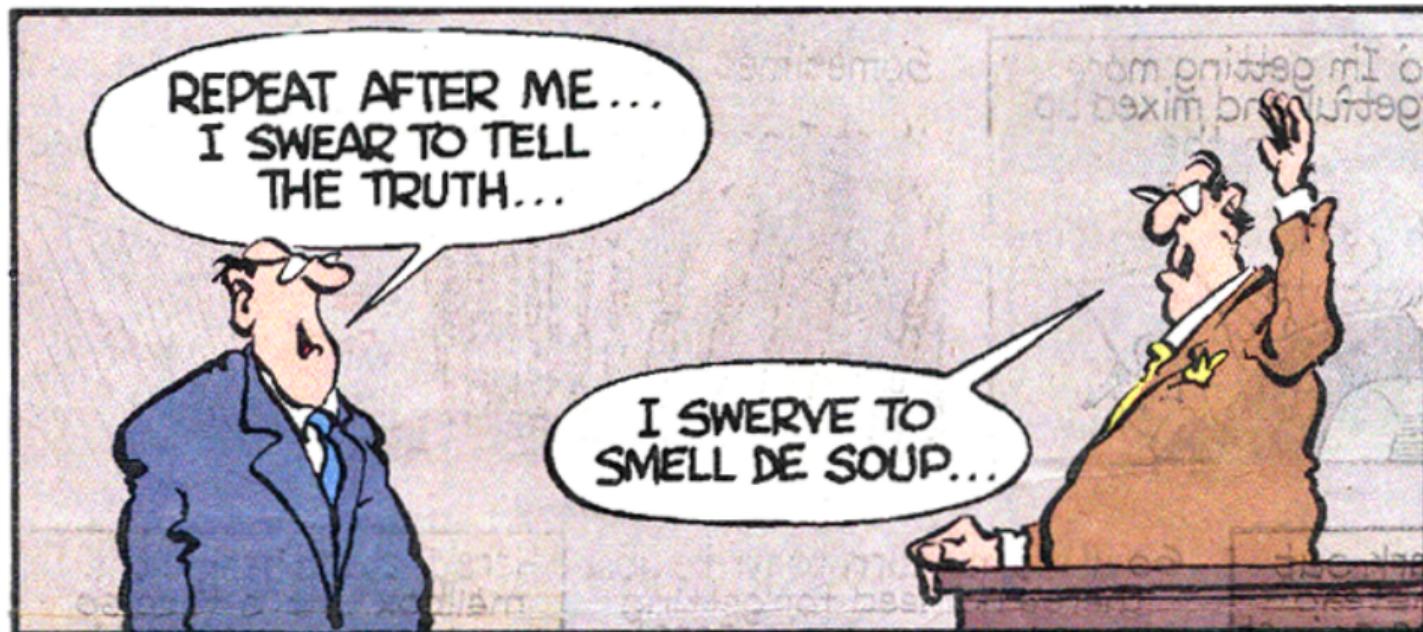


We want:

$$P(\text{recognize speech}) > P(\text{wreck a nice beach})$$

\* Reproduced from Shillcock (1995)

# Speech recognition gone wrong



# Speech recognition gone wrong



# Speech recognition gone wrong



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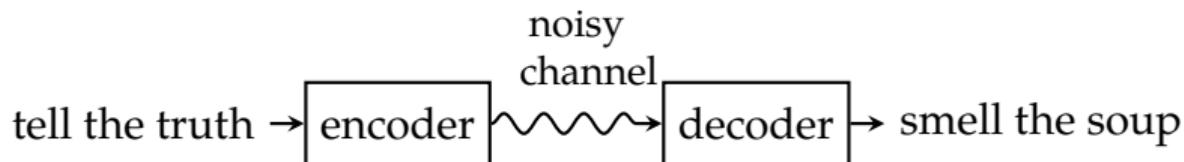


# Speech recognition gone wrong



# What went wrong?

Recap: noisy channel model



- We want  $P(u | A)$ , probability of the utterance given the acoustic signal
- The model of the noisy channel gives us  $P(A | u)$
- We can use Bayes' formula

$$P(u | A) = \frac{P(A | u)P(u)}{P(A)}$$

- $P(u)$ , probabilities of utterances, come from a language model

# More applications for language models

- Spelling correction
- Speech recognition
- Machine translation
- Predictive text
- Text recognition (OCR, handwritten)
- Information retrieval
- Question answering
- Text classification
- ...

# Our aim

We want to solve two related problems:

- Given a sequence of words  $w = (w_1 w_2 \dots w_m)$ ,  
what is the probability of the sequence  
 $P(w)$ ?  
(machine translation, automatic speech recognition, spelling correction)
- Given a sequence of words  $w_1 w_2 \dots w_{m-1}$ ,  
what is the probability of the next word  $P(w_m | w_1 \dots w_{m-1})$ ?  
(predictive text)

# Assigning probabilities to sentences

count and divide?

How do we calculate the probability a sentence like  
 $P(\text{I like pizza with spinach})$

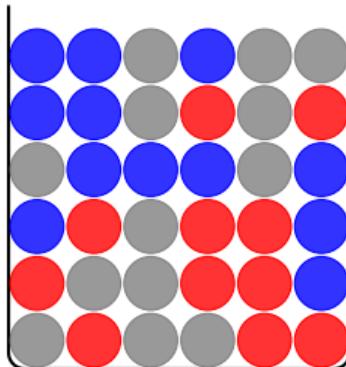
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$$P(\bullet) = ?$$



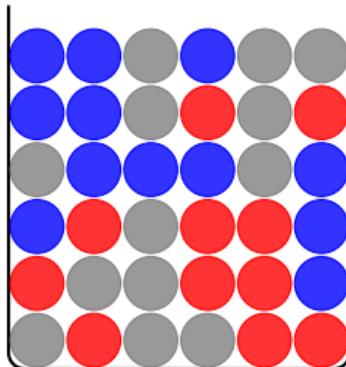
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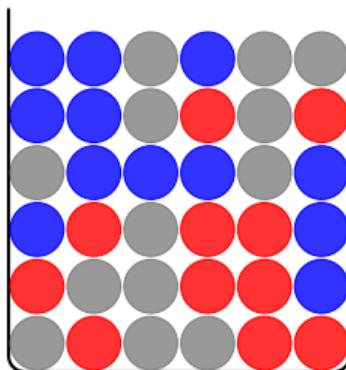
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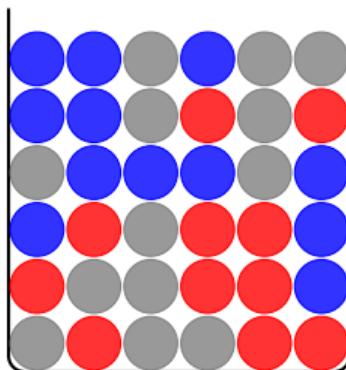
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- Can we count the occurrences of the sentence, and divide it by the total number of sentences (in a large corpus)?
- Short answer: No.
  - Many sentences are not observed even in very large corpora
  - For the ones observed in a corpus, probabilities will not reflect our intuitions, or will not be useful in most applications

$$P(\bullet) = ?$$





# Assigning probabilities to sentences

applying the chain rule

- The solution is to *decompose*

We use probabilities of parts of the sentence (words) to calculate the probability of the whole sentence

- Using the chain rule of probability (without loss of generality), we can write

$$\begin{aligned} P(w_1, w_2, \dots, w_m) = & \quad P(w_2 | w_1) \\ & \times P(w_3 | w_1, w_2) \\ & \times \dots \\ & \times P(w_m | w_1, w_2, \dots, w_{m-1}) \end{aligned}$$

# Example: applying the chain rule

$$\begin{aligned} P(\text{I like pizza with spinach}) = & \quad P(\text{like} \mid \text{I}) \\ & \times P(\text{pizza} \mid \text{I like}) \\ & \times P(\text{with} \mid \text{I like pizza}) \\ & \times P(\text{spinach} \mid \text{I like pizza with}) \end{aligned}$$

- Did we solve the problem?

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- Did we solve the problem?
- Not really, the last term is equally difficult to estimate

# Example: bigram probabilities of a sentence

$$\begin{aligned} P(\text{I like pizza with spinach}) = & \quad P(\text{like} \mid \text{I}) \\ & \times P(\text{pizza} \mid \text{I like}) \\ & \times P(\text{with} \mid \text{I like pizza}) \\ & \times P(\text{spinach} \mid \text{I like pizza with}) \end{aligned}$$

# Example: bigram probabilities of a sentence

with first-order Markov assumption

$$\begin{aligned} P(\text{I like pizza with spinach}) = & \quad P(\text{like} \mid \text{I}) \\ & \times P(\text{pizza} \mid \text{like}) \\ & \times P(\text{with} \mid \text{pizza}) \\ & \times P(\text{spinach} \mid \text{with}) \end{aligned}$$

- Now, hopefully, we can count them in a corpus

# Maximum-likelihood estimation (MLE)

- The MLE of n-gram probabilities is based on their frequencies in a corpus
- We are interested in conditional probabilities of the form:  
 $P(w_i | w_1, \dots, w_{i-1})$ , which we estimate using

$$P(w_i | w_{i-n+1}, \dots, w_{i-1}) = \frac{C(w_{i-n+1} \dots w_i)}{C(w_{i-n+1} \dots w_{i-1})}$$

where,  $C()$  is the frequency (count) of the sequence in the corpus.

- For example, the probability  $P(\text{like} | \text{I})$  would be

$$\begin{aligned} P(\text{like} | \text{I}) &= \frac{C(\text{I like})}{C(\text{I})} \\ &= \frac{\text{number of times I like occurs in the corpus}}{\text{number of times I occurs in the corpus}} \end{aligned}$$

# MLE estimation of an n-gram language model

An n-gram model conditioned on  $n - 1$  previous words.

unigram                     $P(w_i) = \frac{C(w_i)}{N}$

bigram                     $P(w_i) = P(w_i | w_{i-1}) = \frac{C(w_{i-1}w_i)}{C(w_{i-1})}$

trigram                     $P(w_i) = P(w_i | w_{i-2}w_{i-1}) = \frac{C(w_{i-2}w_{i-1}w_i)}{C(w_{i-2}w_{i-1})}$

Parameters of an n-gram model are these conditional probabilities.



# Unigrams

Unigrams are simply the single words (or tokens).

A small corpus

I'm sorry, Dave.

I'm afraid I can't do that.



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Unigrams are simply the single words (or tokens).

## A small corpus

I 'm sorry , Dave .  
I 'm afraid I can 't do that .

When tokenized, we have 15  
*tokens*, and 11 *types*.

## Unigram counts

I	3	,	1	afraid	1	do	1
'm	2	Dave	1	can	1	that	1
sorry	1	.	2	't	1		

Traditionally, *can't* is tokenized as *ca<sub>n</sub>n't* (similar to *have<sub>n</sub>n't*, *is<sub>n</sub>n't* etc.), but for our purposes *can<sub>n</sub>t* is more readable.

# Unigram probability of a sentence

## Unigram counts

I	3	,	1	afraid	1	do	1
'm	2	Dave	1	can	1	that	1
sorry	1	.	2	't	1		

$$P(I \text{ 'm sorry , Dave .})$$

$$\begin{aligned}
 &= P(I) \times P('m) \times P(sorry) \times P(,) \times P(Dave) \times P(.) \\
 &= \frac{3}{15} \times \frac{2}{15} \times \frac{1}{15} \times \frac{1}{15} \times \frac{1}{15} \times \frac{2}{15} \\
 &= 0.000\,001\,05
 \end{aligned}$$

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- $P(, \text{ 'm I . sorry Dave}) = ?$
- Where did all the probability mass go?
- What is the most likely sentence according to this model?

# N-gram models define probability distributions

- An n-gram model defines a probability distribution over words

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

- They also define probability distributions over word sequences of equal size. For example (length 2),

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

word	prob
I	0.200
'm	0.133
.	0.133
't	0.067
,	0.067
Dave	0.067
afraid	0.067
can	0.067
do	0.067
sorry	0.067
that	0.067
	1.000

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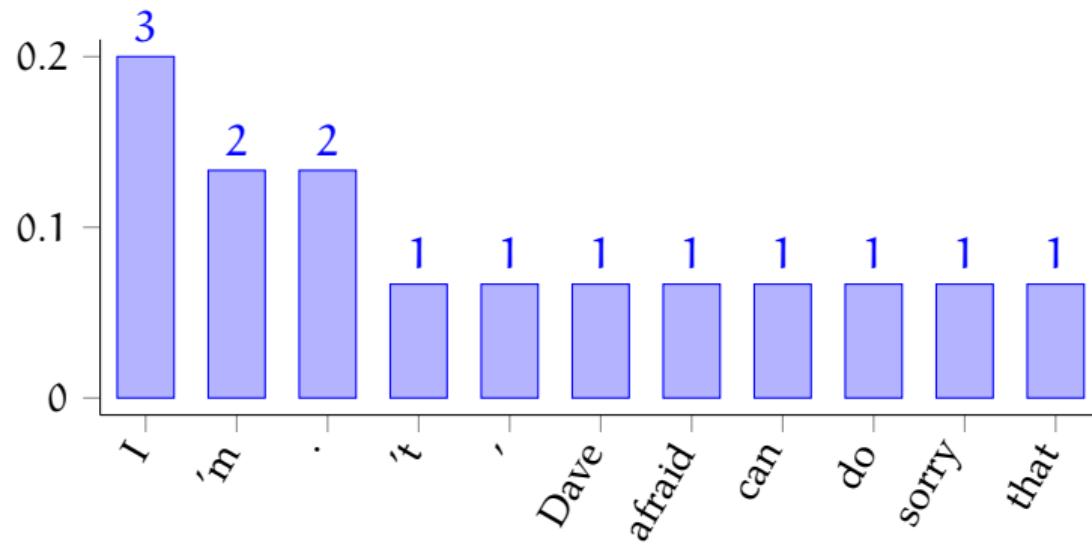
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$$\sum_{w \in V} \sum_{v \in V} P(w)P(v) = 1$$

- What about sentences?

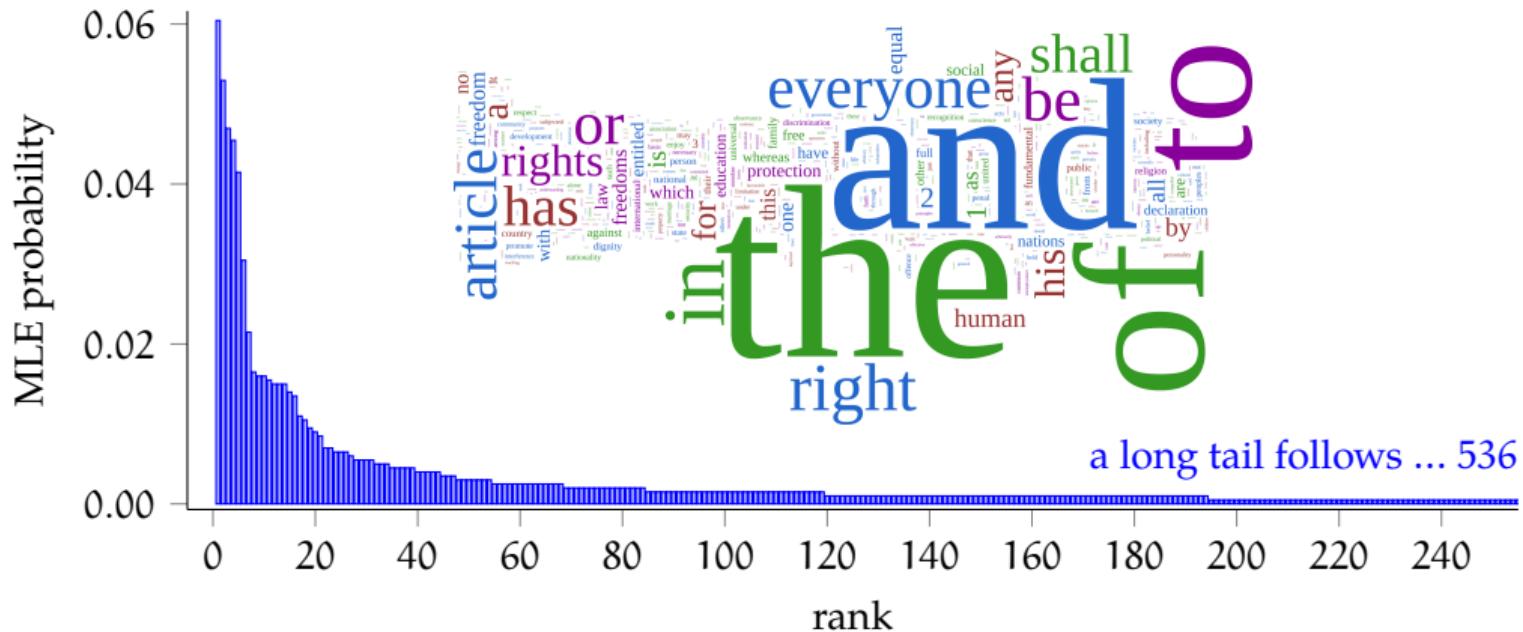
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do	0.067
sorry	0.067
that	0.067
	1.000

# Unigram probabilities



# Unigram probabilities in a (slightly) larger corpus

MLE probabilities in the Universal Declaration of Human Rights



# Zipf's law – a short divergence

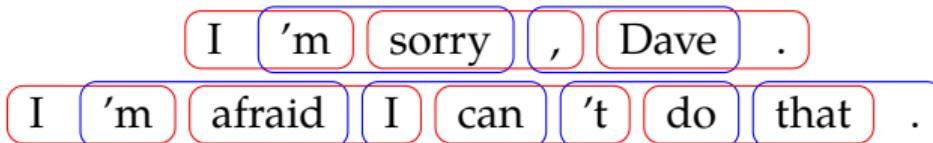
The frequency of a word is inversely proportional to its rank:

$$\text{rank} \times \text{frequency} = k \quad \text{or} \quad \text{frequency} \propto \frac{1}{\text{rank}}$$

- This is a reoccurring theme in (computational) linguistics: most linguistic units follow more-or-less a similar distribution
- Important consequence for us (in this lecture):
  - even very large corpora will *not* contain some of the words (or n-grams)
  - there will be many low-probability events (words/n-grams)

# Bigrams

Bigrams are overlapping sequences of two tokens.

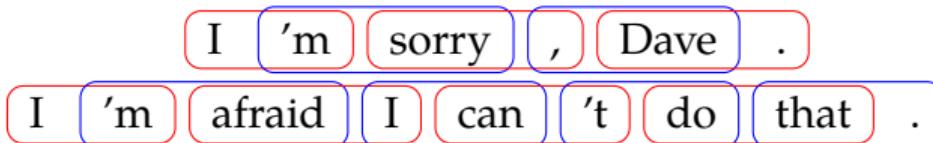


Bigram counts

ngram	freq	ngram	freq	ngram	freq	ngram	freq
I 'm	2	, Dave	1	afraid I	1	n't do	1
'm sorry	1	Dave .	1	I can	1	do that	1
sorry ,	1	'm afraid	1	can 't	1	that .	1

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- What about the bigram ' . I '?

# Sentence boundary markers

If we want sentence probabilities, we need to mark them.

```
<s> I 'm sorry , Dave . </s>
<s> I 'm afraid I can 't do that . </s>
```

- The bigram ' $\langle s \rangle$  I' is not the same as the unigram 'I'  
Including  $\langle s \rangle$  allows us to predict likely words at the beginning of a sentence
- Including  $\langle /s \rangle$  allows us to assign a proper probability distribution to sentences

# Calculating bigram probabilities

recap with some more detail

We want to calculate  $P(w_2 | w_1)$ . From the chain rule:

$$P(w_2 | w_1) = \frac{P(w_1, w_2)}{P(w_1)}$$

and, the MLE

$$P(w_2 | w_1) = \frac{\frac{C(w_1 w_2)}{N}}{\frac{C(w_1)}{N}} = \frac{C(w_1 w_2)}{C(w_1)}$$

$P(w_2 | w_1)$  is the probability of  $w_2$  given the previous word is  $w_1$

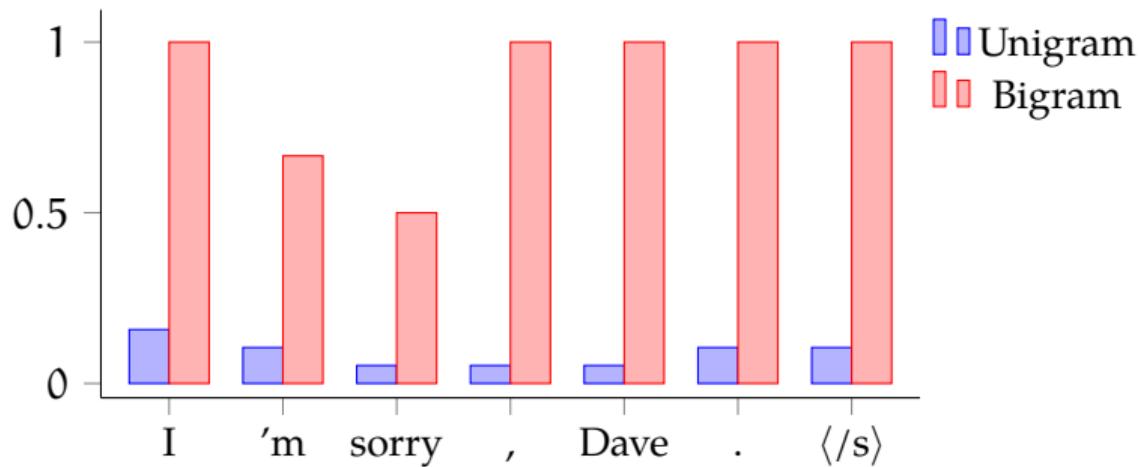
$P(w_1, w_2)$  is the probability of the sequence  $w_1 w_2$

$P(w_1)$  is the probability of  $w_1$  occurring as the first item in a bigram,  
not its unigram probability

## Bigram probabilities

$w_1 w_2$	$C(w_1 w_2)$	$C(w_1)$	$P(w_1 w_2)$	$P(w_1)$	$P(w_2   w_1)$	$P(w_2)$
$\langle s \rangle I$	2	2	0.12	0.12	1.00	0.18
I 'm	2	3	0.12	0.18	0.67	0.12
'm sorry	1	2	0.06	0.12	0.50	0.06
sorry ,	1	1	0.06	0.06	1.00	0.06
, Dave	1	1	0.06	0.06	1.00	0.06
Dave .	1	1	0.06	0.06	1.00	0.12
'm afraid	1	2	0.06	0.12	0.50	0.06
afraid I	1	1	0.06	0.06	1.00	0.18
I can	1	3	0.06	0.18	0.33	0.06
can 't	1	1	0.06	0.06	1.00	0.06
n't do	1	1	0.06	0.06	1.00	0.06
do that	1	1	0.06	0.06	1.00	0.06
that .	1	1	0.06	0.06	1.00	0.12
. ⟨/s⟩	2	2	0.12	0.12	1.00	0.12

# Sentence probability: bigram vs. unigram



$$P_{\text{uni}}(\langle s \rangle \text{ I } 'm \text{ sorry } , \text{ Dave } . \text{ } \langle /s \rangle) = 2.83 \times 10^{-9}$$

$$P_{\text{bi}}(\langle s \rangle \text{ I } 'm \text{ sorry } , \text{ Dave } . \text{ } \langle /s \rangle) = 0.33$$

# Unigram vs. bigram probabilities

in sentences and non-sentences

w	I	'm	sorry	,	Dave	.	
P <sub>uni</sub>	0.18	0.12	0.06	0.06	0.06	0.12	$4.97 \times 10^{-7}$
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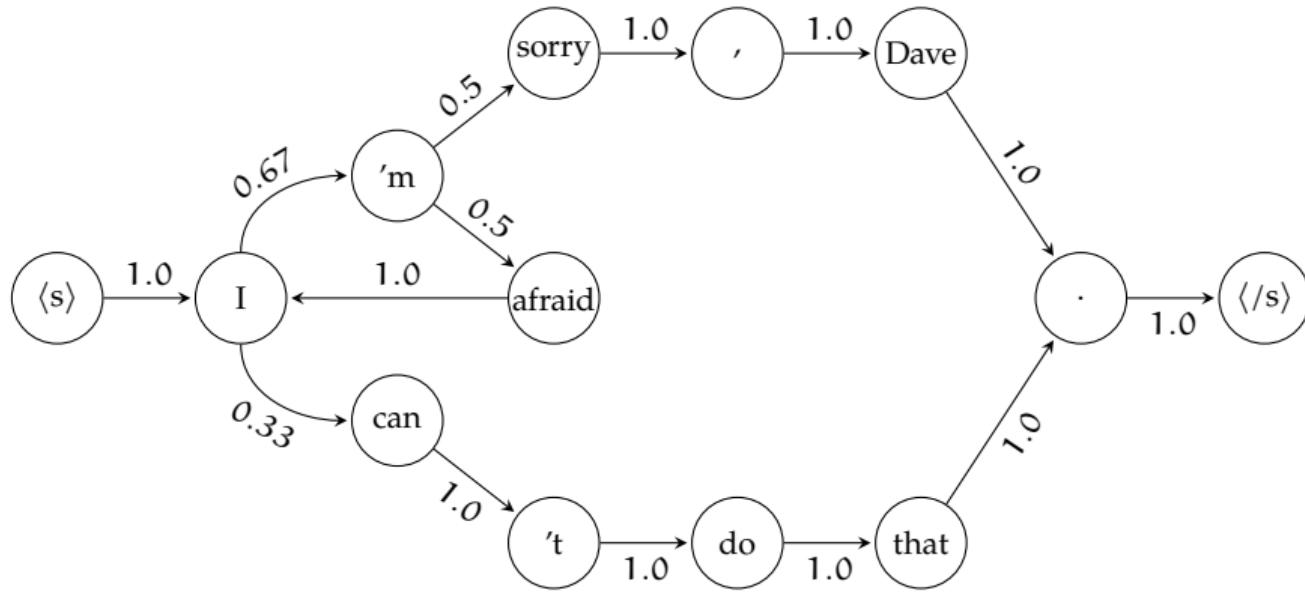
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# Bigram models as weighted finite-state automata



# Trigrams

$\langle s \rangle \langle s \rangle I$  'm sorry , Dave .  $\langle /s \rangle$   
 $\langle s \rangle \langle s \rangle I$  'm afraid I can 't do that .  $\langle /s \rangle$

Trigram counts

ngram	freq	ngram	freq	ngram	freq
$\langle s \rangle \langle s \rangle I$	2	do that .	1	that . $\langle /s \rangle$	1
$\langle s \rangle I$ 'm	2	I 'm sorry	1	'm sorry ,	1
sorry , Dave	1	, Dave .	1	Dave . $\langle /s \rangle$	1
I 'm afraid	1	'm afraid I	1	afraid I can	1
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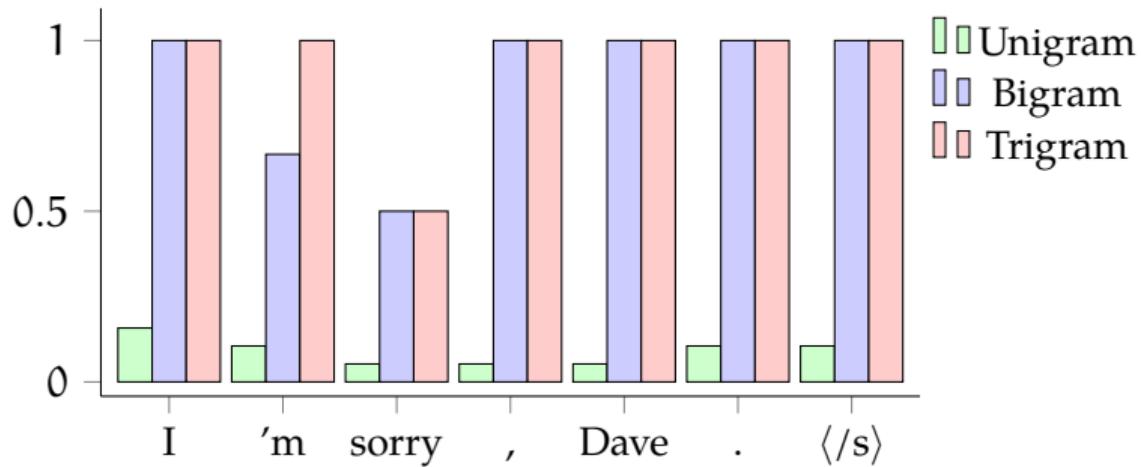
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I 'm afraid	1	'm afraid I	1	afraid I can	1
I can 't	1	can 't do	1	't do that	1

- How many n-grams are there in a sentence of length m?

# Trigram probabilities of a sentence



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$$P_{\text{tri}}(\text{I } \text{'m } \text{sorry} , \text{ Dave} . \langle /s \rangle) = 0.50$$

# Short detour: colorless green ideas

*But it must be recognized that the notion 'probability of a sentence' is an entirely useless one, under any known interpretation of this term. — Chomsky (1968)*

- The following 'sentences' are categorically different:
  - Furiously sleep ideas green colorless
  - Colorless green ideas sleep furiously

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- Can n-gram models model the difference?
- Should n-gram models model the difference?

# What do n-gram models model?

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- Some cultural aspects of everyday language: ‘Chinese food’ is more likely than ‘British food’

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- Some cultural aspects of everyday language: ‘Chinese food’ is more likely than ‘British food’
- more aspects of ‘usage’ of language

# How to test n-gram models?

Extrinsic: improvement of the target application due to the language model:

- Speech recognition accuracy
- BLEU score for machine translation
- Keystroke savings in predictive text applications

Intrinsic: the higher the probability assigned to a test set better the model. A few measures:

- Likelihood
- (cross) entropy
- perplexity

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Like any ML method, test set has to be different than training set.

# Intrinsic evaluation metrics: likelihood

- Likelihood of a model  $M$  is the probability of the (test) set  $w$  given the model

$$\mathcal{L}(M | w) = P(w | M) = \prod_{s \in w} P(s)$$

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- Likelihood is sensitive to the test set size

# Intrinsic evaluation metrics: likelihood

- Likelihood of a model  $M$  is the probability of the (test) set  $w$  given the model

$$\mathcal{L}(M | w) = P(w | M) = \prod_{s \in w} P(s)$$

- The higher the likelihood (for a given test set), the better the model
- Likelihood is sensitive to the test set size
- Practical note: (minus) log likelihood is used more commonly, because of ease of numerical manipulation

# Intrinsic evaluation metrics: cross entropy

- Cross entropy of a language model on a test set  $\mathbf{w}$  is

$$H(\mathbf{w}) = -\frac{1}{N} \sum_{w_i} \log_2 \hat{P}(w_i)$$

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Reminder: Cross entropy is the bits required to encode the data coming from  $P$  using another (approximate) distribution  $\hat{P}$ .

$$H(P, Q) = - \sum_x P(x) \log \hat{P}(x)$$

# Intrinsic evaluation metrics: perplexity

- Perplexity is a more common measure for evaluating language models

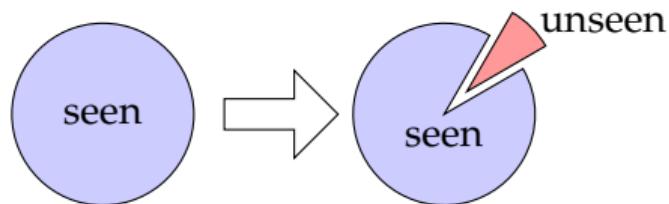
$$\text{PP}(\mathbf{w}) = 2^{H(\mathbf{w})} = P(\mathbf{w})^{-\frac{1}{N}} = \sqrt[N]{\frac{1}{P(\mathbf{w})}}$$

- Perplexity is the average branching factor
- Similar to cross entropy
  - lower better
  - not sensitive to test set size

# What do we do with unseen n-grams?

...and other issues with MLE estimates

- Words (and word sequences) are distributed according to the Zipf's law: *many words are rare.*
- MLE will assign 0 probabilities to unseen words, and sequences containing unseen words
- Even with non-zero probabilities, MLE *overfits* the training data
- One solution is **smoothing**: take some probability mass from known words, and assign it to unknown words



# Laplace smoothing

(Add-one smoothing)

- The idea (from 1790): add one to all counts
- The probability of a word is estimated by

$$P_{+1}(w) = \frac{C(w)+1}{N+V}$$

N number of word tokens

V number of word types - the size of the vocabulary

- Then, probability of an unknown word is:

$$\frac{0+1}{N+V}$$

# Laplace smoothing

for n-grams

- The probability of a bigram becomes

$$P_{+1}(w_i w_{i-1}) = \frac{C(w_i w_{i-1}) + 1}{N + V^2}$$

- and, the conditional probability

$$P_{+1}(w_i | w_{i-1}) = \frac{C(w_{i-1} w_i) + 1}{C(w_{i-1}) + V}$$

- In general

$$P_{+1}(w_{i-n+1}^i) = \frac{C(w_{i-n+1}^i) + 1}{N + V^n}$$

$$P_{+1}(w_{i-n+1}^i | w_{i-n+1}^{i-1}) = \frac{C(w_{i-n+1}^i) + 1}{C(w_{i-n+1}^{i-1}) + V}$$

# Bigram probabilities

## MLE vs. Laplace smoothing

$w_1 w_2$	$C_{+1}$	$P_{\text{MLE}}(w_1 w_2)$	$P_{+1}(w_1 w_2)$	$P_{\text{MLE}}(w_2   w_1)$	$P_{+1}(w_2   w_1)$
$\langle s \rangle I$	3	0.118	0.019	1.000	0.188
I 'm	3	0.118	0.019	0.667	0.176
'm sorry	2	0.059	0.012	0.500	0.125
sorry ,	2	0.059	0.012	1.000	0.133
, Dave	2	0.059	0.012	1.000	0.133
Dave .	2	0.059	0.012	1.000	0.133
'm afraid	2	0.059	0.012	0.500	0.125
afraid I	2	0.059	0.012	1.000	0.133
I can	2	0.059	0.012	0.333	0.118
can 't	2	0.059	0.012	1.000	0.133
n't do	2	0.059	0.012	1.000	0.133
do that	2	0.059	0.012	1.000	0.133
that .	2	0.059	0.012	1.000	0.133
. ⟨ /s ⟩	3	0.118	0.019	1.000	0.188
$\sum$		1.000	0.193		

# MLE vs. Laplace probabilities

probabilities of sentences and non-sentences (based on the bigram model)

w	I	'm	sorry	,	Dave	.	$\langle /s \rangle$	
$P_{\text{MLE}}$	1.00	0.67	0.50	1.00	1.00	1.00	1.00	0.33
$P_{+1}$	0.19	0.18	0.13	0.13	0.13	0.13	0.19	$1.84 \times 10^{-6}$

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w	,	'm	I	.	sorry	Dave	$\langle /s \rangle$	
$P_{\text{MLE}}$	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
$P_{+1}$	0.03	0.03	0.03	0.03	0.03	0.03	0.03	$1.17 \times 10^{-12}$

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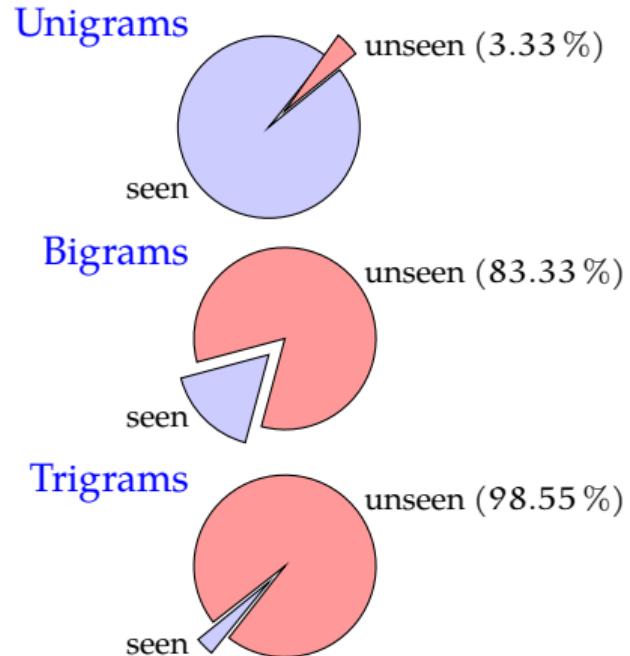
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w	,	'm	I	.	sorry	Dave	$\langle /s \rangle$	
$P_{\text{MLE}}$	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
$P_{+1}$	0.03	0.03	0.03	0.03	0.03	0.03	0.03	$1.17 \times 10^{-12}$

w	I	'm	afraid	,	Dave	.	$\langle /s \rangle$	
$P_{\text{MLE}}$	1.00	0.67	0.50	0.00	1.00	1.00	1.00	0.00
$P_{+1}$	0.19	0.18	0.13	0.03	0.13	0.13	0.19	$4.45 \times 10^{-7}$

# How much probability mass does +1 smoothing steal?

- Laplace smoothing reserves probability mass proportional to the size of the vocabulary
- This is just too much for large vocabularies and higher order n-grams
- Note that only very few of the higher level n-grams (e.g., trigrams) are possible



# Lidstone correction

(Add- $\alpha$  smoothing)

- A simple improvement over Laplace smoothing is adding  $\alpha$  instead of 1

$$P_{+\alpha}(w_{i-n+1}^i | w_{i-n+1}^{i-1}) = \frac{C(w_{i-n+1}^i) + \alpha}{C(w_{i-n+1}^{i-1}) + \alpha V}$$

- With smaller  $\alpha$  values, the model behaves similar to MLE, it overfits: it has high variance
- Larger  $\alpha$  values reduce overfitting/variance, but result in large bias

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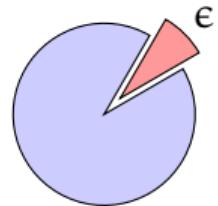
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- With smaller  $\alpha$  values, the model behaves similar to MLE, it overfits: it has high variance
- Larger  $\alpha$  values reduce overfitting/variance, but result in large bias

We need to tune  $\alpha$  like any other hyperparameter.

# Absolute discounting



- An alternative to the additive smoothing is to reserve an explicit amount of probability mass,  $\epsilon$ , for the unseen events
- The probabilities of known events has to be re-normalized
- How do we decide what  $\epsilon$  value to use?

# Good-Turing smoothing

- Estimate the probability mass to be reserved for the novel n-grams using the observed n-grams
- Novel events in our training set is the ones that occur once

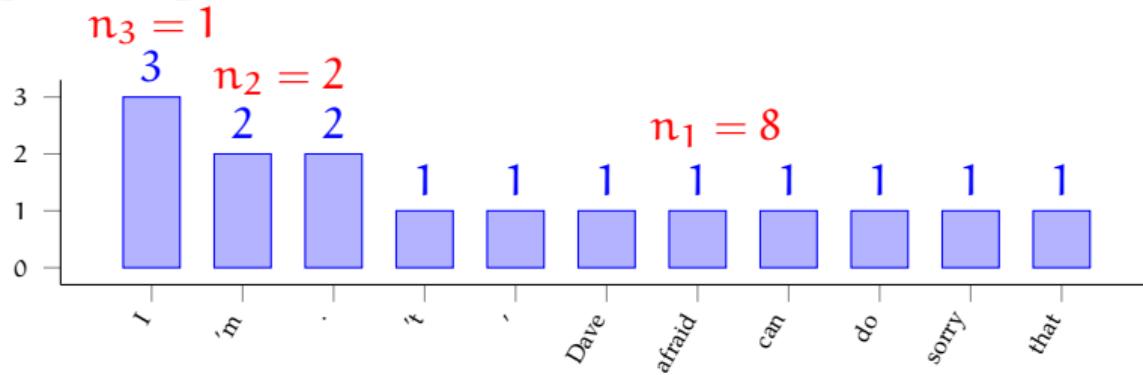
$$p_0 = \frac{n_1}{n}$$

where  $n_1$  is the number of distinct n-grams with frequency 1 in the training data

- Now we need to discount this mass from the higher counts
- The probability of an n-gram that occurred  $r$  times in the corpus is

$$(r + 1) \frac{n_{r+1}}{n_r n}$$

# Good-Turing example



$$P_{GT}(the) + P_{GT}(a) + \dots = \frac{8}{15}$$

$$P_{GT}(that) = P_{GT}(do) = \dots = \frac{2 \times 2}{15 \times 8}$$

$$P_{GT}('m) = P_{GT}(.) = \frac{3 \times 1}{15 \times 2}$$

# Issues with Good-Turing discounting

With some solutions

- Zero counts: we cannot assign probabilities if  $n_{r+1} = 0$
- The estimates of some of the frequencies of frequencies are unreliable
- A solution is to replace  $n_r$  with smoothed counts  $z_r$
- A well-known technique (simple Good-Turing) for smoothing  $n_r$  is to use linear interpolation

$$\log z_r = a + b \log r$$



# Not all (unknown) n-grams are equal

- Let's assume that `black squirrel` is an unknown bigram
- How do we calculate the smoothed probability

$$P_{+1}(\text{squirrel} \mid \text{black}) =$$



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- How about `black wug`?

$$P_{+1}(\text{black wug}) = P_{+1}(\text{wug} \mid \text{black}) = \frac{0 + 1}{C(\text{black}) + V}$$

- Would it make a difference if we used a better smoothing method (e.g., Good-Turing?)

# Back-off and interpolation

The general idea is to fall-back to lower order n-gram when estimation is unreliable

- Even if,

$$C(\text{black squirrel}) = C(\text{black wug}) = 0$$

it is unlikely that

$$C(\text{squirrel}) = C(\text{wug})$$

in a reasonably sized corpus

# Back-off

*Back-off* uses the estimate if it is available, ‘backs off’ to the lower order n-gram(s) otherwise:

$$P(w_i | w_{i-1}) = \begin{cases} P^*(w_i | w_{i-1}) & \text{if } C(w_{i-1}w_i) > 0 \\ \alpha P(w_i) & \text{otherwise} \end{cases}$$

where,

- $P^*(\cdot)$  is the discounted probability
- $\alpha$  makes sure that  $\sum P(w)$  is the discounted amount
- $P(w_i)$ , typically, smoothed unigram probability

# Interpolation

*Interpolation* uses a linear combination:

$$P_{\text{int}}(w_i | w_{i-1}) = \lambda P(w_i | w_{i-1}) + (1 - \lambda) P(w_i)$$

In general (recursive definition),

$$P_{\text{int}}(w_i | w_{i-n+1}^{i-1}) = \lambda P(w_i | w_{i-n+1}^{i-1}) + (1 - \lambda) P_{\text{int}}(w_i | w_{i-n+2}^{i-1})$$

- $\sum \lambda_i = 1$
- Recursion terminates with
  - either smoothed unigram counts
  - or uniform distribution  $\frac{1}{V}$

# Not all contexts are equal

- Back to our example: given both bigrams

- black squirrel
  - wuggy squirrel

are unknown, the above formulations assign the same probability to both bigrams

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- Back to our example: given both bigrams
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are unknown, the above formulations assign the same probability to both bigrams

- To solve this, the back-off or interpolation parameters ( $\alpha$  or  $\lambda$ ) are often conditioned on the context
- For example,

$$\begin{aligned} P_{\text{int}}(w_i | w_{i-n+1}^{i-1}) = & \lambda_{w_{i-n+1}^{i-1}} P(w_i | w_{i-n+1}^{i-1}) \\ & + (1 - \lambda_{w_{i-n+1}^{i-1}}) P_{\text{int}}(w_i | w_{i-n+2}^{i-1}) \end{aligned}$$

# Katz back-off

A popular back-off method is Katz back-off:

$$P_{\text{Katz}}(w_i | w_{i-n+1}^{i-1}) = \begin{cases} P^*(w_i | w_{i-n+1}^{i-1}) & \text{if } C(w_{i-n+1}^i) > 0 \\ \alpha_{w_{i-n+1}^{i-1}} P_{\text{Katz}}(w_i | w_{i-n+2}^{i-1}) & \text{otherwise} \end{cases}$$

- $P^*(\cdot)$  is the Good-Turing discounted probability estimate (only for n-grams with small counts)
- $\alpha_{w_{i-n+1}^{i-1}}$  makes sure that the back-off probabilities sum to the discounted amount
- $\alpha$  is high for frequent contexts. So, hopefully,

$$\begin{aligned} \alpha_{\text{black}} P(\text{squirrel}) &> \alpha_{\text{wuggy}} P(\text{squirrel}) \\ P(\text{squirrel} | \text{black}) &> P(\text{squirrel} | \text{wuggy}) \end{aligned}$$

# Kneser-Ney interpolation: intuition

- Use absolute discounting for the higher order n-gram
- Estimate the lower order n-gram probabilities based on the probability of the target word occurring in a new context
- Example:  
I can't see without my reading \_\_\_\_.

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- Example:

I can't see without my reading glasses.
- It turns out the word Francisco is more frequent than glasses (in *the* typical English corpus, PTB)
- But Francisco occurs only in the context San Francisco
- Assigning probabilities to unigrams based on the number of unique contexts they appear makes glasses more likely

# Kneser-Ney interpolation

for bigrams

$$P_{KN}(w_i | w_{i-1}) = \frac{C(w_{i-1}w_i) - D}{C(w_i)} + \lambda_{w_{i-1}} \frac{|\{v | C(vw_i) > 0\}|}{\sum_w |\{v | C(vw) > 0\}|}$$

Absolute discount
Unique contexts  $w_i$  appears
  
All unique contexts

- $\lambda$ s make sure that the probabilities sum to 1
- The same idea can be applied to back-off as well (interpolation seems to work better)

# Some shortcomings of the n-gram language models

The n-gram language models are simple and successful, but ...

- They cannot handle long-distance dependencies:  
In the last race, the horse he bought last year finally \_\_\_\_.
- The success often drops in morphologically complex languages
- The smoothing methods are often ‘a bag of tricks’
- They are highly sensitive to the training data: you do not want to use an n-gram model trained on business news for medical texts

# Cluster-based n-grams

- The idea is to cluster the words, and fall-back (back-off or interpolate) to the cluster
- For example,
  - a clustering algorithm is likely to form a cluster containing words for food, e.g., {apple, pear, broccoli, spinach}
  - if you have never seen eat your broccoli, estimate

$$P(\text{broccoli} \mid \text{eat your}) = P(\text{FOOD} \mid \text{eat your}) \times P(\text{broccoli} \mid \text{FOOD})$$

- Clustering can be
  - hard a word belongs to only one cluster (simplifies the model)
  - soft words can be assigned to clusters probabilistically (more flexible)

# Skipping

- The contexts
  - boring | the lecture was
  - boring | (the) lecture yesterday wasare completely different for an n-gram model
- A potential solution is to consider contexts with gaps, ‘skipping’ one or more words
- We would, for example model  $P(e | abcd)$  with a combination (e.g., interpolation) of
  - $P(e | abc\_)$
  - $P(e | ab\_d)$
  - $P(e | a\_cd)$
  - ...

# Modeling sentence types

- Another way to improve a language model is to condition on the sentence types
- The idea is different types of sentences (e.g., ones related to different topics) have different behavior
- Sentence types are typically based on clustering
- We create multiple language models, one for each sentence type
- Often a ‘general’ language model is used, as a fall-back

# Caching

- If a word is used in a document, its probability of being used again is high
- Caching models condition the probability of a word, to a larger context (besides the immediate history), such as
  - the words in the document (if document boundaries are marked)
  - a fixed window around the word

# Structured language models

- Another possibility is using a generative parser
- Parsers try to explicitly model (good) sentences
- Parsers naturally capture long-distance dependencies
- Parsers require much more computational resources than the n-gram models
- The improvements are often small (if any)

# Maximum entropy models

- We can fit a logistic regression ‘max-ent’ model predicting  $P(w | \text{context})$
- Main advantage is to be able to condition on arbitrary features

# Neural language models

- Similar to maxent models, we can train a feed-forward network that predicts a word from its context
- (gated) Recurrent networks are more suitable to the task:
  - Train a recurrent network to predict the next word in the sequence
  - The hidden representations reflect what is useful in the history
- Combined with *embeddings*, RNN language models are generally more successful than n-gram models

# Some notes on implementation

- The typical use of n-gram models are on (very) large corpora
- We often need to pay attention to numeric instability issues:
  - It is more convenient to work with ‘log probabilities’
  - Sometimes (log) probabilities are ‘binned’ into integers, stored with small number of bits in memory
- Memory or storage may become a problem too
  - Assuming words below a frequency are ‘unknown’ often helps
  - Choice of correct data structure becomes important,
  - A common data structure is a *trie* or a *suffix tree*

# Summary

- We want to assign probabilities to sentences
- N-gram language models do this by
  - estimating probabilities of parts of the sentence (n-grams)
  - use the n-gram probability and a conditional independence assumption to estimate the probability of the sentence
- MLE estimate for n-gram overfit
- Smoothing is a way to fight overfitting
- Back-off and interpolation yields better ‘smoothing’
- There are other ways to improve n-gram models, and language models without (explicitly) use of n-grams

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Next:

- Tokenization
- Computational morphology

## Additional reading, references, credits

- Textbook reference: Jurafsky and Martin (2009, chapter 4) (draft chapter for the 3rd version is also available). Some of the examples in the slides come from this book.
- Chen and J. Goodman (1998) and Chen and J. Goodman (1999) include a detailed comparison of smoothing methods. The former (technical report) also includes a tutorial introduction
- J. T. Goodman (2001) studies a number of improvements to (n-gram) language models we have discussed. This technical report also includes some introductory material
- Gale and Sampson (1995) introduce the ‘simple’ Good-Turing estimation noted on Slide 14. The article also includes an introduction to the basic method.

## Additional reading, references, credits (cont.)

- The quote from *2001: A Space Odyssey*, 'I'm sorry Dave. I'm afraid I can't do it.' is probably one of the most frequent quotes in the CL literature. It was also quoted, among many others, by Jurafsky and Martin (2009).
- The HAL9000 camera image on page 14 is from Wikipedia, (re)drawn by Wikipedia user Cryteria.
- The Herman comic used in slide 4 is also a popular example in quite a few lecture slides posted online, it is difficult to find out who was the first.
- The smoothing visualization on slide ?? inspired by Julia Hockenmaier's slides.



Chen, Stanley F and Joshua Goodman (1998). *An empirical study of smoothing techniques for language modeling*. Tech. rep. TR-10-98. Harvard University, Computer Science Group. url: <https://dash.harvard.edu/handle/1/25104739>.



— (1999). "An empirical study of smoothing techniques for language modeling". In: *Computer speech & language* 13.4, pp. 359–394.



Chomsky, Noam (1968). "Quine's empirical assumptions". In: *Synthese* 19.1, pp. 53–68. doi: 10.1007/BF00568049.

# Additional reading, references, credits (cont.)



Gale, William A and Geoffrey Sampson (1995). "Good-Turing frequency estimation without tears". In: *Journal of Quantitative Linguistics* 2.3, pp. 217–237.



Goodman, Joshua T (2001). *A bit of progress in language modeling extended version*. Tech. rep. MSR-TR-2001-72. Microsoft Research.



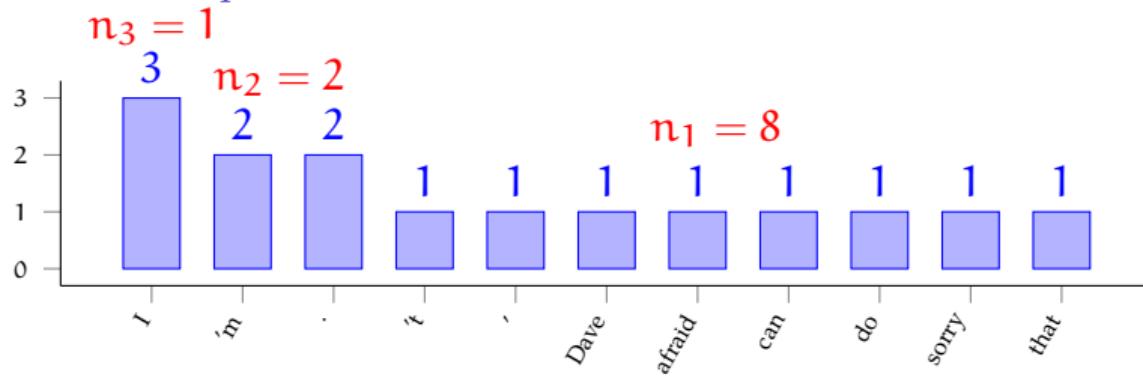
Jurafsky, Daniel and James H. Martin (2009). *Speech and Language Processing: An Introduction to Natural Language Processing, Computational Linguistics, and Speech Recognition*. second. Pearson Prentice Hall. ISBN: 978-0-13-504196-3.



Shillcock, Richard (1995). "Lexical Hypotheses in Continuous Speech". In: *Cognitive Models of Speech Processing*. Ed. by Gerry T. M. Altmann. MIT Press.

# Some terminology

frequencies of frequencies and equivalence classes



- We often put n-grams into equivalence classes
- Good-Turing forms the equivalence classes based on frequency

Note:

$$n = \sum_r r \times n_r$$

# Good-Turing estimation: leave-one-out justification

- Leave each n-gram out
- Count the number of times the left-out n-gram had frequency  $r$  in the remaining data
  - novel n-grams

$$\frac{n_1}{n}$$

- n-grams with frequency 1 (singletons)

$$(1+1) \frac{n_2}{n_1 n}$$

- n-grams with frequency 2 (doubletons)<sup>\*</sup>

$$(2+1) \frac{n_3}{n_2 n}$$

\* Yes, this seems to be a word.

# Adjusted counts

Sometimes it is instructive to see the ‘effective count’ of an n-gram under the smoothing method.

For Good-Turing smoothing, the updated count,  $r^*$  is

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

- novel items:  $n_1$
- singletons:  $\frac{2 \times n_2}{n_1}$
- doubletons:  $\frac{3 \times n_3}{n_2}$
- ...

# A quick summary

## Markov assumption

- Our aim is to assign probabilities to sentences  $P(I \text{ 'm sorry , Dave .}) = ?$

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Problem: We cannot just count & divide

- Most sentences are rare: no (reliable) way to count their occurrences
- Sentence-internal structure tells a lot about its probability

# A quick summary

## Markov assumption

- Our aim is to assign probabilities to sentences  $P(I \text{ 'm sorry , Dave .}) = ?$

Problem: We cannot just count & divide

- Most sentences are rare: no (reliable) way to count their occurrences
- Sentence-internal structure tells a lot about its probability

Solution: Divide up, simplify with a Markov assumption

$$P(I \text{ 'm sorry , Dave}) =$$

$$P(I | \langle s \rangle) P('m | I) P(sorry | 'm) P(, | sorry) P(Dave | ,) P(. | Dave) P(\langle /s \rangle | .)$$

Now we can count the parts (n-grams), and estimate their probability with MLE.

# A quick summary

## Smoothing

Problem The MLE assigns 0 probabilities to unobserved n-grams, and any sentence containing unobserved n-grams. In general, it *overfits*

# A quick summary

## Smoothing

Problem The MLE assigns 0 probabilities to unobserved n-grams, and any sentence containing unobserved n-grams. In general, it *overfits*

Solution Reserve some probability mass for unobserved n-grams  
Additive smoothing add  $\alpha$  to every count

$$P_{+\alpha}(w_{i-n+1}^i | w_{i-n+1}^{i-1}) = \frac{C(w_{i-n+1}^i) + \alpha}{C(w_{i-n+1}^{i-1}) + \alpha V}$$

Discounting

- reserve a fixed amount of probability mass to unobserved n-grams
- normalize the probabilities of observed n-grams

(e.g., Good-Turing smoothing)



# A quick summary

## Back-off & interpolation

Problem if unseen we assign the same probability for

- black squirrel
- black wug



# A quick summary

## Back-off & interpolation

Problem if unseen we assign the same probability for

- black squirrel
- black wug

Solution Fall back to lower-order n-grams when you cannot estimate the higher-order n-gram

Back-off

$$P(w_i | w_{i-1}) = \begin{cases} P^*(w_i | w_{i-1}) & \text{if } C(w_{i-1}w_i) > 0 \\ \alpha P(w_i) & \text{otherwise} \end{cases}$$

Interpolation

$$P_{\text{int}}(w_i | w_{i-1}) = \lambda P(w_i | w_{i-1}) + (1 - \lambda) P(w_i)$$

Now  $P(\text{squirrel})$  contributes to  $P(\text{squirrel} | \text{black})$ , it should be higher than  $P(\text{wug} | \text{black})$ .

# A quick summary

Problems with simple back-off / interpolation

Problem if unseen, we assign the same probability for

- black squirrel
- wuggy squirrel

# A quick summary

Problems with simple back-off / interpolation

Problem if unseen, we assign the same probability for

- black squirrel
- wuggy squirrel

Solution make normalizing constants ( $\alpha, \lambda$ ) context dependent, higher for context n-grams that are more frequent

Back-off

$$P(w_i | w_{i-1}) = \begin{cases} P^*(w_i | w_{i-1}) & \text{if } C(w_{i-1}w_i) > 0 \\ \alpha_{i-1} P(w_i) & \text{otherwise} \end{cases}$$

Interpolation

$$P_{\text{int}}(w_i | w_{i-1}) = P^*(w_i | w_{i-1}) + \lambda_{w_{i-1}} P(w_i)$$

Now  $P(\text{black})$  contributes to  $P(\text{squirrel} | \text{black})$ , it should be higher than  $P(\text{wuggy} | \text{squirrel})$ .

# A quick summary

More problems with back-off / interpolation

Problem if unseen, we assign higher probability to

- reading Francisco
- than
- reading glasses

# A quick summary

More problems with back-off / interpolation

Problem if unseen, we assign higher probability to

- reading Francisco

than

- reading glasses

Solution Assigning probabilities to unigrams based on the number of unique contexts they appear

*Francisco* occurs only in *San Francisco*, but *glasses* occur in more contexts.