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# 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

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# Introduction & Background

Neural Networks

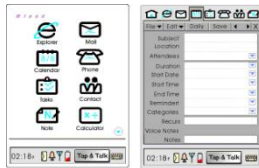
Reinforcement Learning

# Brief History of Dialogue Systems

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## Multi-modal systems

e.g., Microsoft MiPad, Pocket PC



## TV Voice Search

e.g., Bing on Xbox



## Virtual Personal Assistants



Apple Siri (2011)

Google Now (2012)  
Google Assistant (2016)

Microsoft Cortana (2014)

Amazon Alexa/Echo (2014)

Facebook M & Bot (2015)

Google Home (2016)

## Task-specific argument extraction

(e.g., Nuance, SpeechWorks)

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

Early 1990s



Early 2000s



2017



## 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

## Keyword Spotting

(e.g., AT&T)

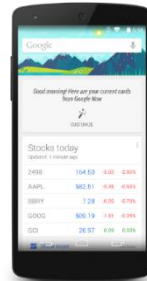
System: "Please say collect, calling card, person, third number, or operator"

# Language Empowering Intelligent Assistant

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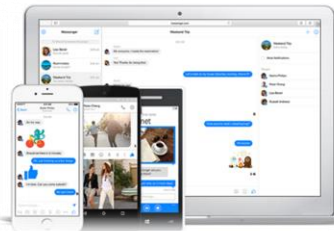
Apple Siri (2011)



Google Now (2012)  
Google Assistant (2016)



Microsoft Cortana (2014)



Amazon Alexa/Echo (2014)

Facebook M & Bot (2015)

Google Home (2016)

Apple HomePod (2017)

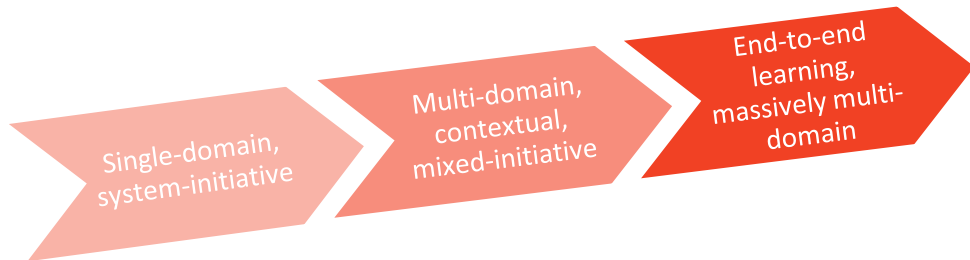
# Conversational Agents

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## Chit-Chat



## Task-Oriented



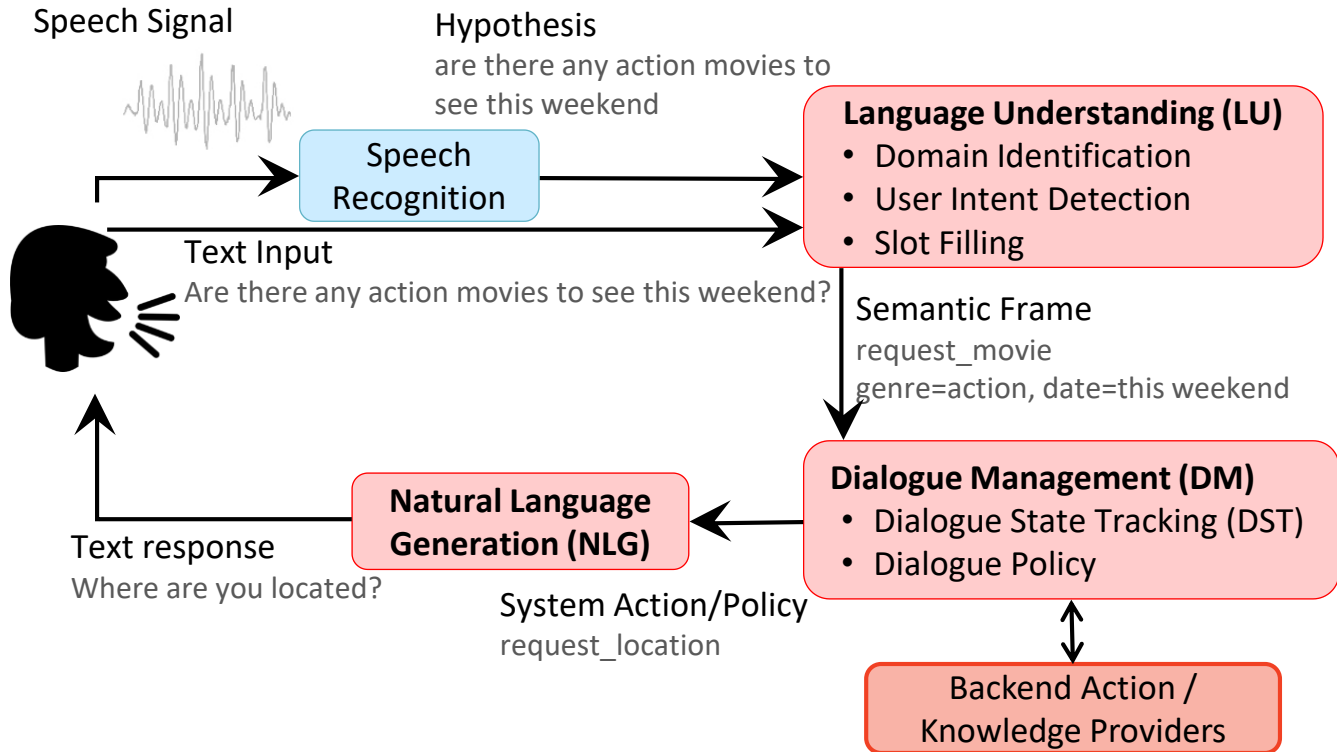
# Challenges

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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>




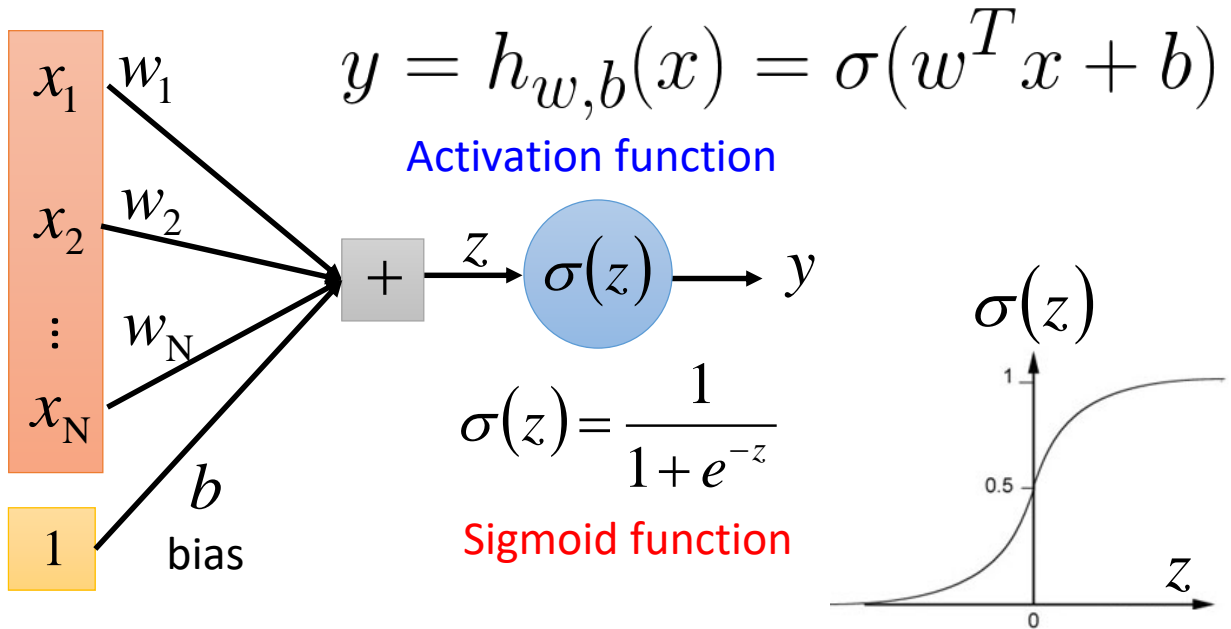
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# A Single Neuron

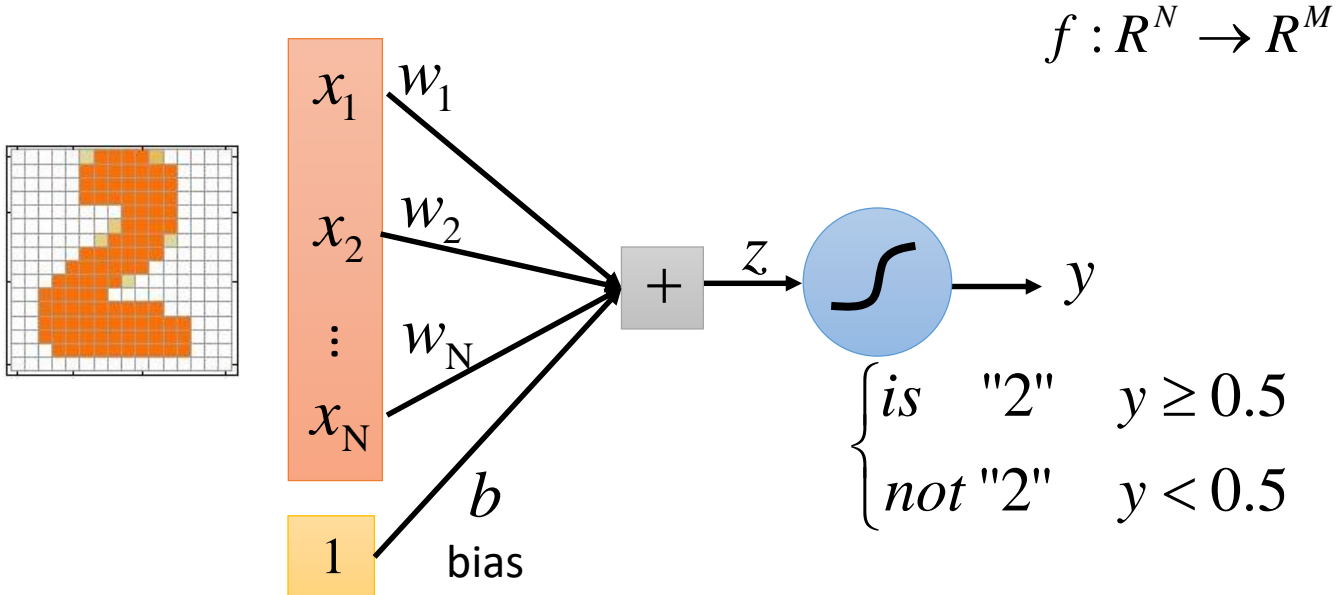
10



$w, b$  are the parameters of this neuron

# A Single Neuron

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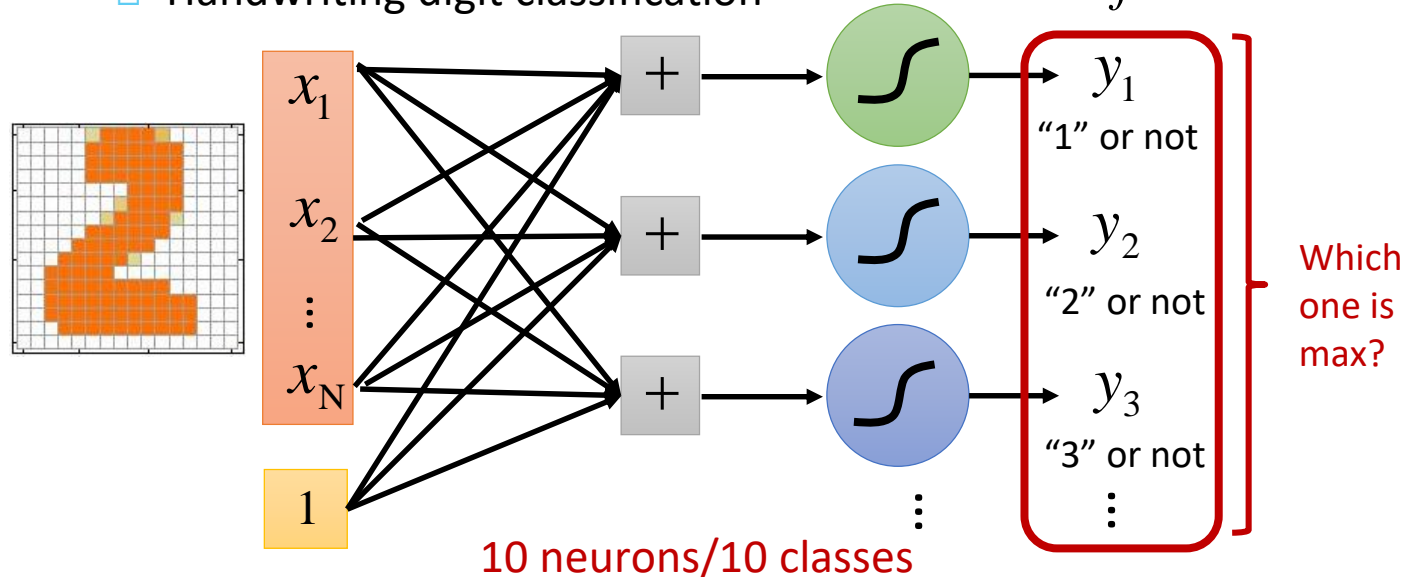
A single neuron can only handle binary classification

# A Layer of Neurons

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- Handwriting digit classification

$$f : \mathbb{R}^N \rightarrow \mathbb{R}^M$$



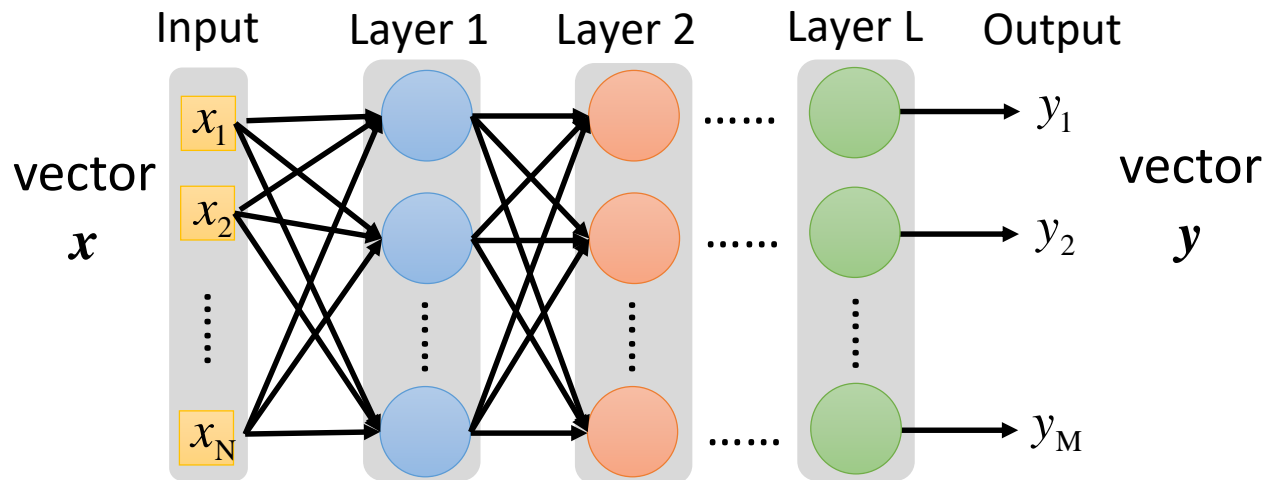
A layer of neurons can handle multiple possible output,  
and the result depends on the max one

# Deep Neural Networks (DNN)

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- Fully connected feedforward network

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



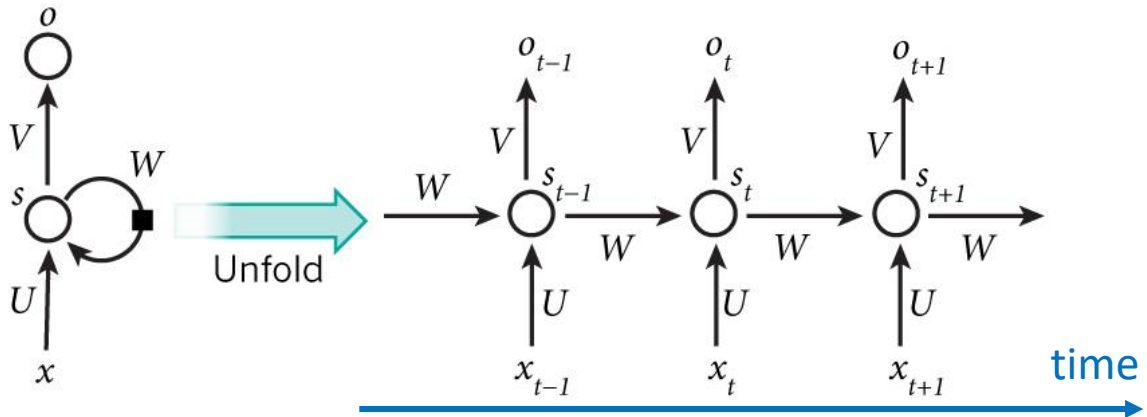
Deep NN: multiple hidden layers

# 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

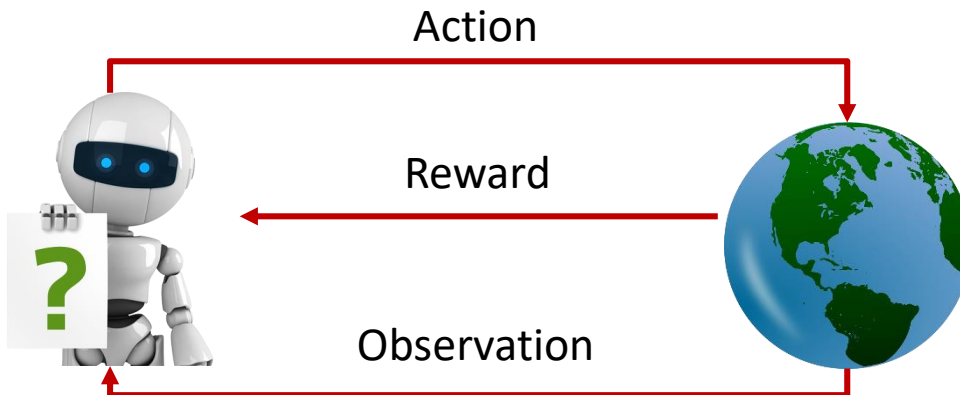
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# Reinforcement Learning

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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*



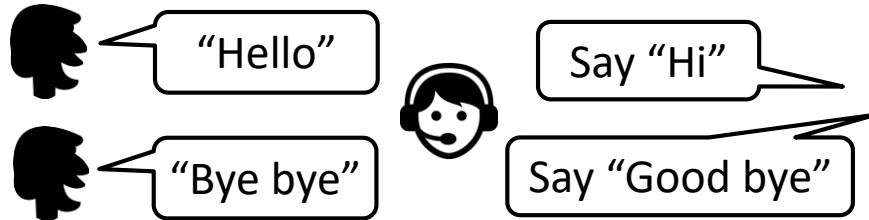


# Supervised v.s. Reinforcement

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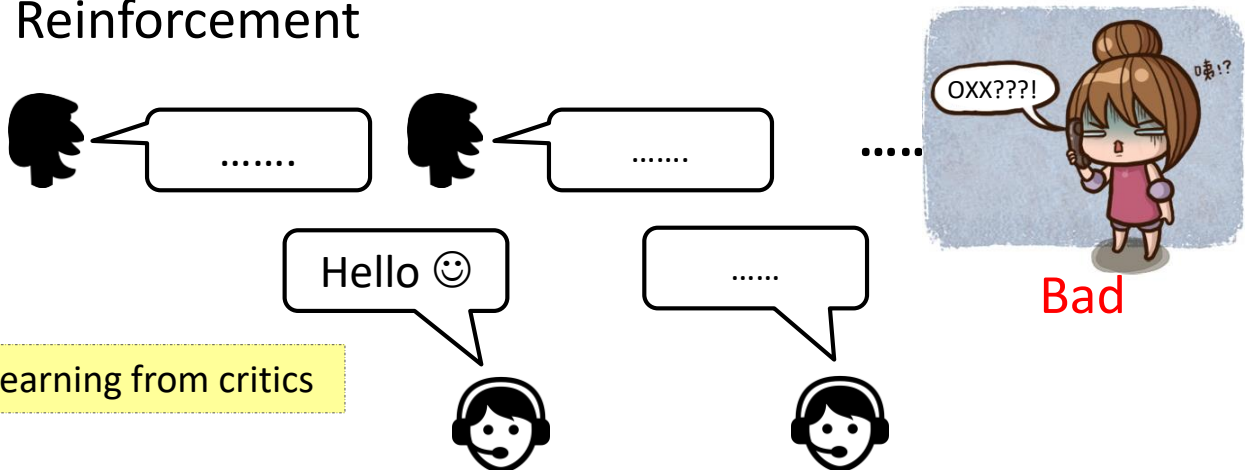
## □ Supervised

Learning from teacher



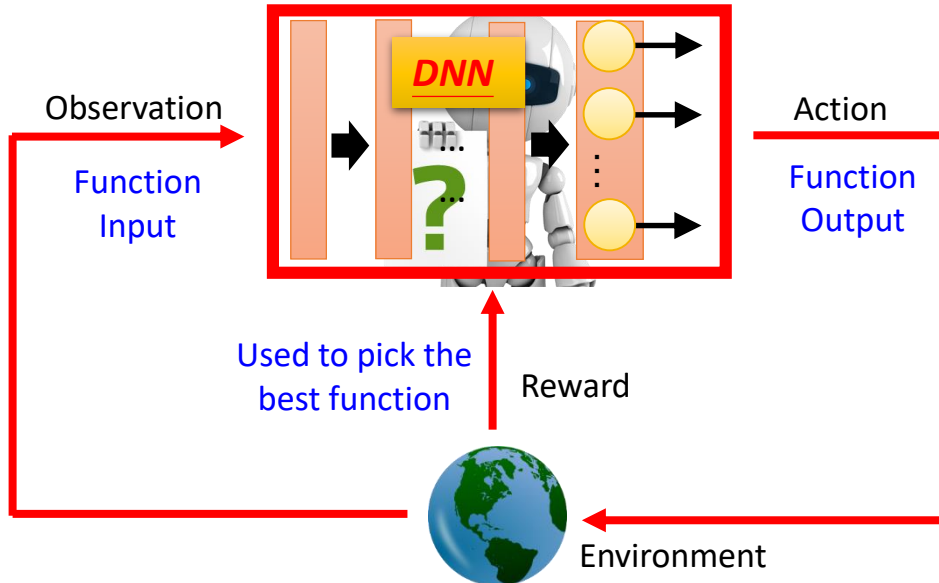
## □ Reinforcement

Learning from critics



# Deep Reinforcement Learning

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**Goal:** select actions that maximize the expected total reward

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

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# Part II

## Modular Dialogue System

# Outline

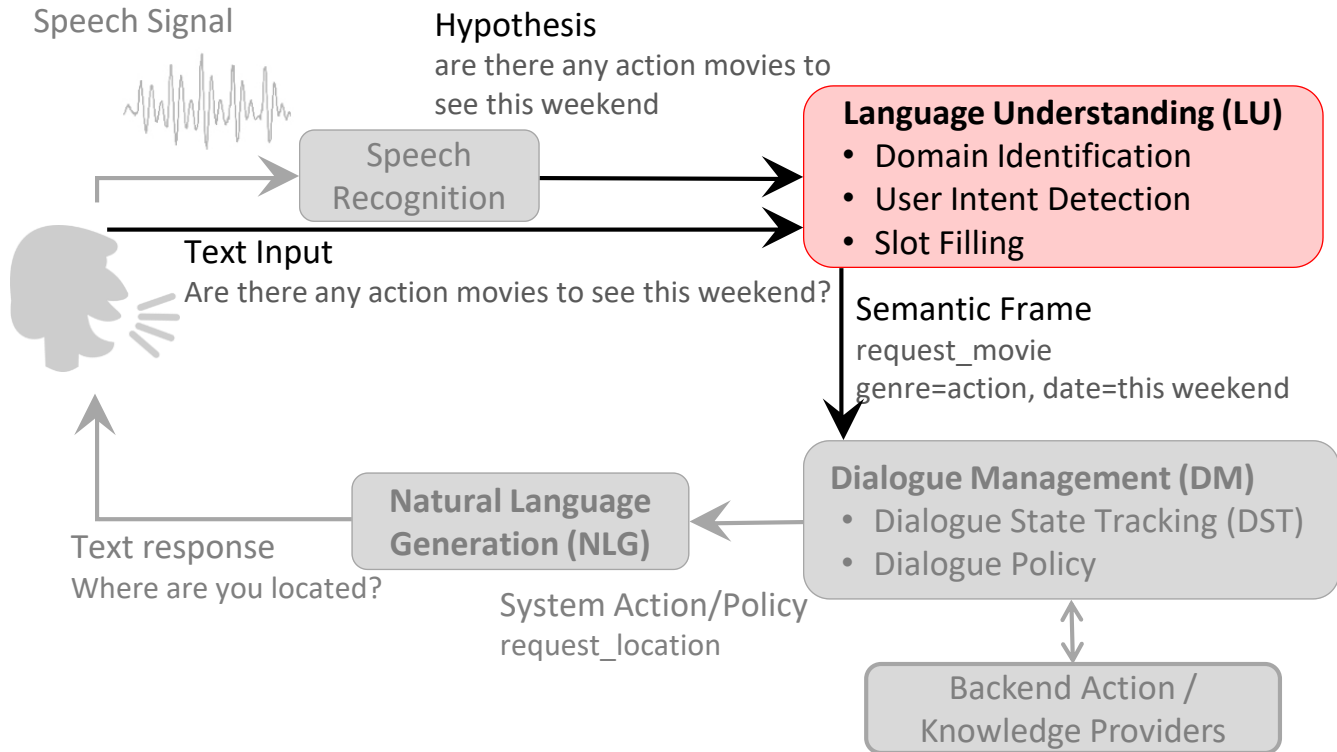
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# Task-Oriented Dialogue System (Young, 2000)

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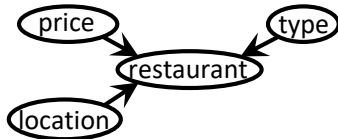
# Semantic Frame Representation

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

## Restaurant Domain

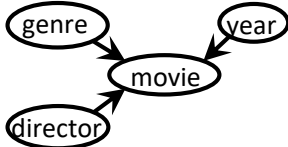
find me a cheap taiwanese restaurant in oakland



find\_restaurant (price="cheap",  
type="taiwanese", location="oakland")

## Movie Domain

show me action movies directed by james cameron

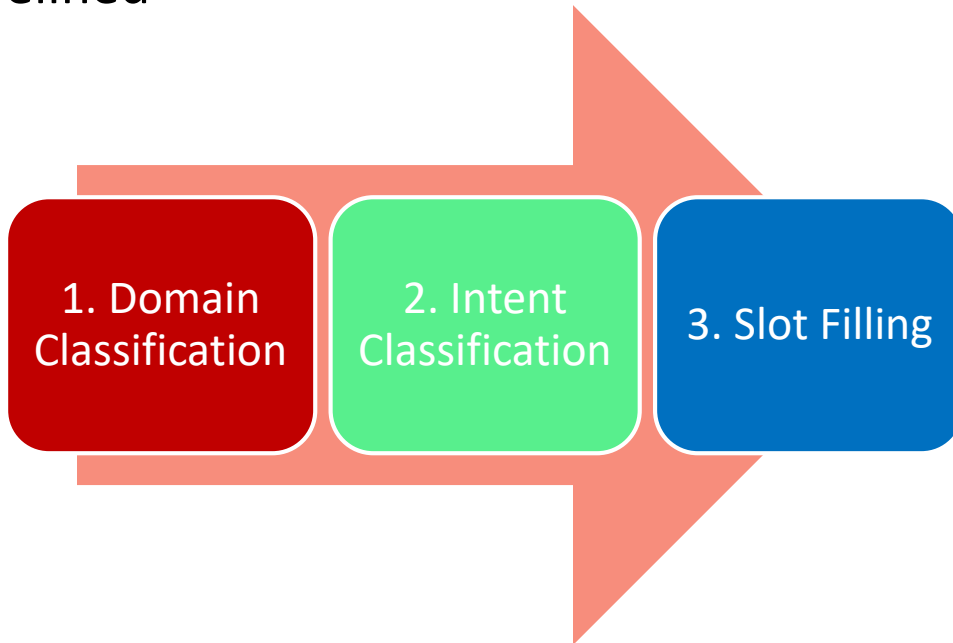


find\_movie (genre="action",  
director="james cameron")

# 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**

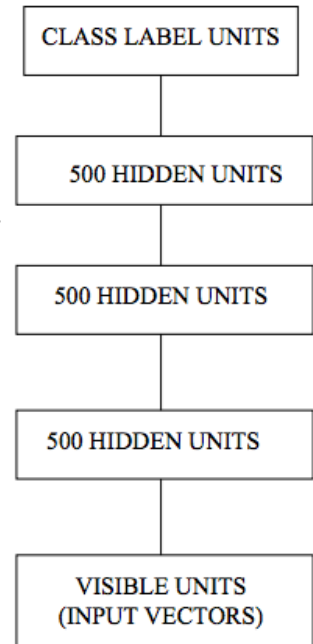


# Domain/Intent Classification (Sarikaya+, 2011)

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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

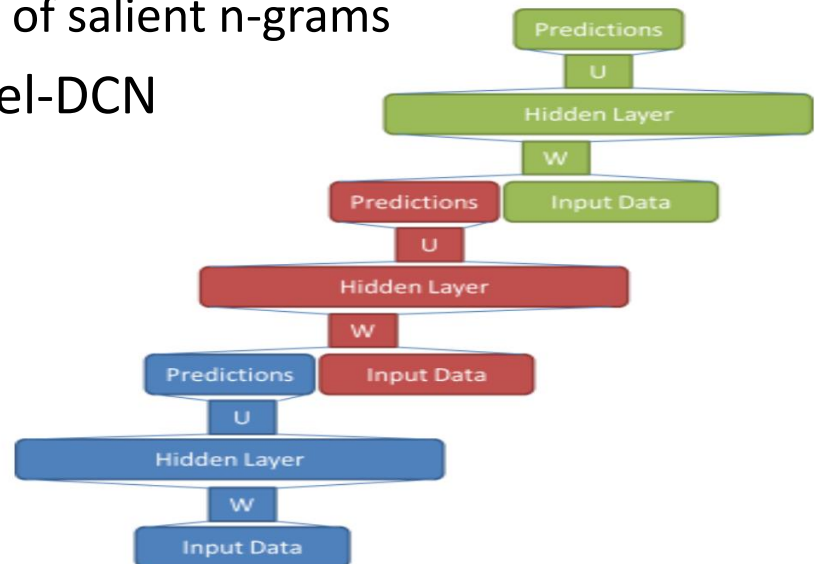


# Domain/Intent Classification (Tur+, 2012; Deng+, 2012)

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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

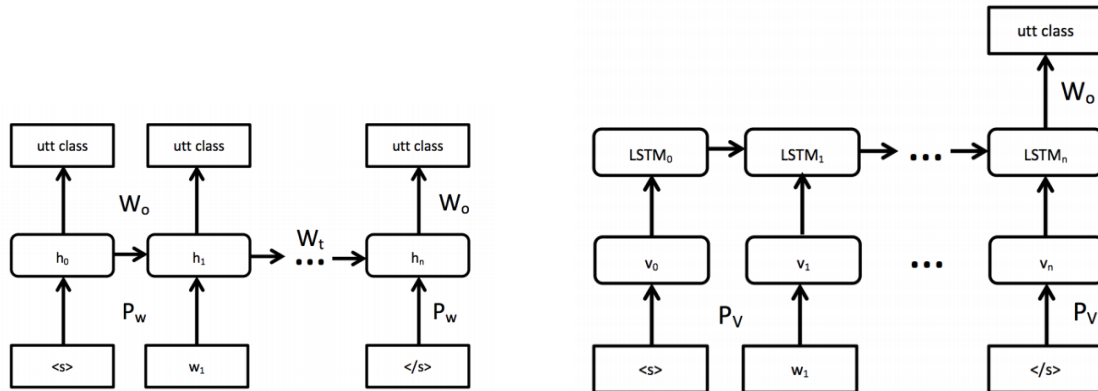


# Domain/Intent Classification (Ravuri & Stolcke, 2015)

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[https://www.microsoft.com/en-us/research/wp-content/uploads/2016/02/RNNLM\\_addressee.pdf](https://www.microsoft.com/en-us/research/wp-content/uploads/2016/02/RNNLM_addressee.pdf)

## □ RNN and LSTMs for utterance classification

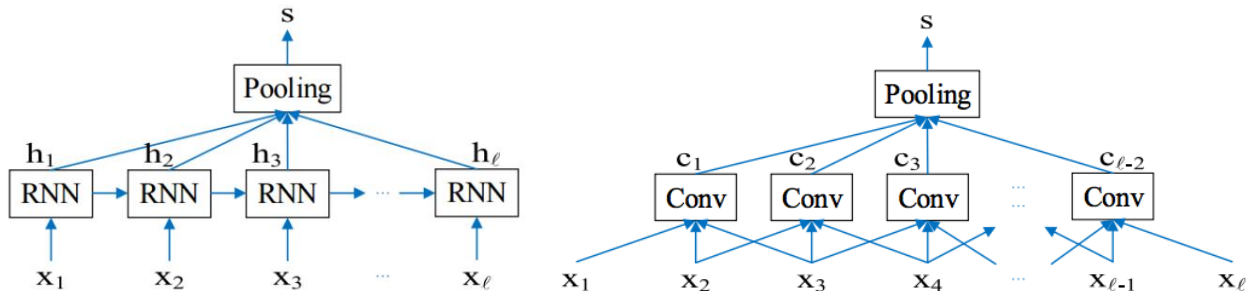


Intent decision after reading all words performs better

# Dialogue Act Classification (Lee & Derroncourt, 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,  
 $S = \{((w_{1,1}, w_{1,2}, \dots, w_{1,n1}), (t_{1,1}, t_{1,2}, \dots, t_{1,n1})), ((w_{2,1}, w_{2,2}, \dots, w_{2,n2}), (t_{2,1}, t_{2,2}, \dots, t_{2,n2})) \dots\}$   
 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 |

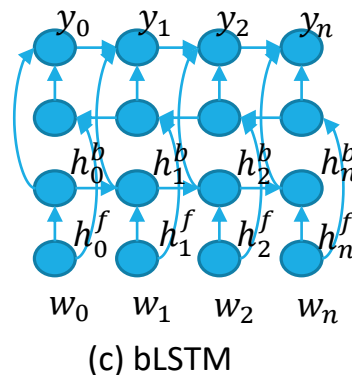
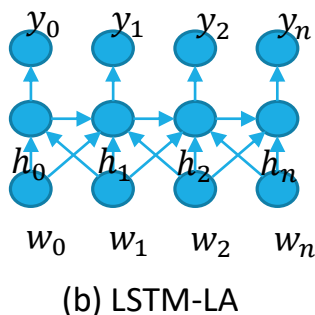
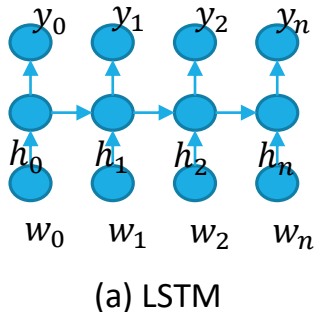
# Slot Tagging (Yao+, 2013; Mesnil+, 2015)

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<http://131.107.65.14/en-us/um/people/gzweig/Pubs/Interspeech2013RNLU.pdf>; <http://dl.acm.org/citation.cfm?id=2876380>

## □ Variations:

- RNNs with LSTM cells
- Input, sliding window of n-grams
- Bi-directional LSTMs



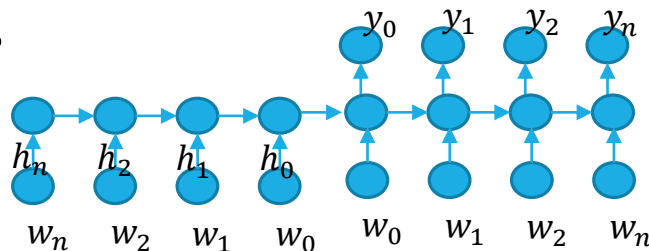
# Slot Tagging (Kurata+, 2016; Simonnet+, 2015)

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

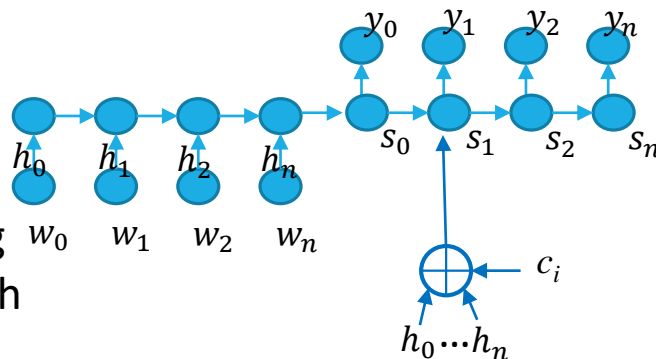
## □ Encoder-decoder networks

- ▣ 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  $t$

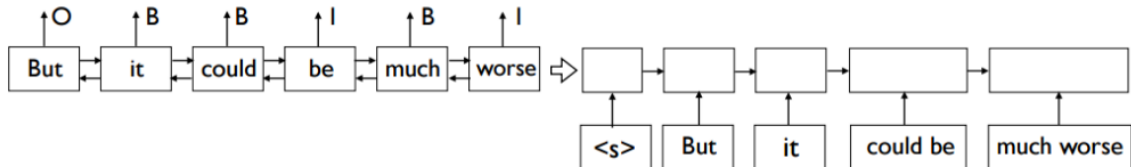


# Joint Segmentation & Slot Tagging (Zhai+, 2017)

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

- Encoder that segments
- Decoder that tags the segments





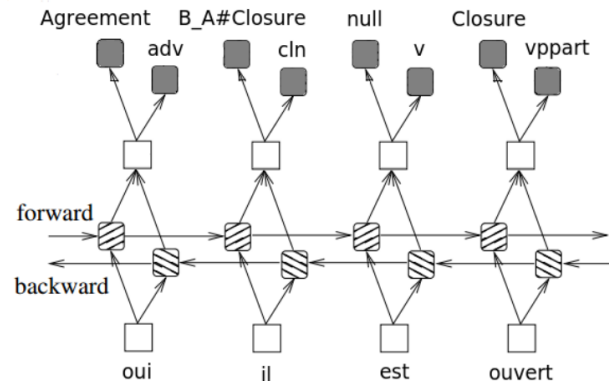
# Multi-Task Slot Tagging (Jaech+, 2016; Tafforeau+, 2016)

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<https://arxiv.org/abs/1604.00117>; [http://www.sensei-conversation.eu/wp-content/uploads/2016/11/favre\\_is2016b.pdf](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

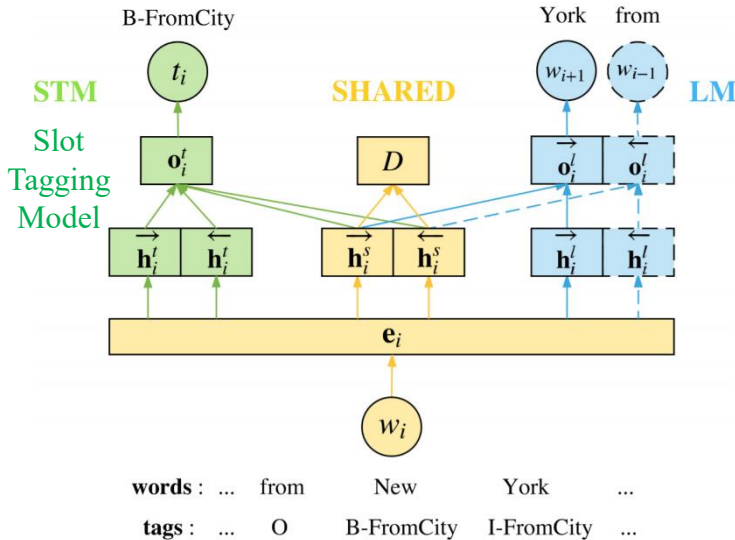


# Semi-Supervised Slot Tagging (Lan+, 2018)

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

Idea: language understanding objective can enhance other tasks




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## Algorithm 1: Adversarial Multi-task Learning for SLU

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**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**
    - /\* Sample from  $\{(\mathbf{w}^l, \mathbf{t}^l)\}$  \*/
    - 3 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

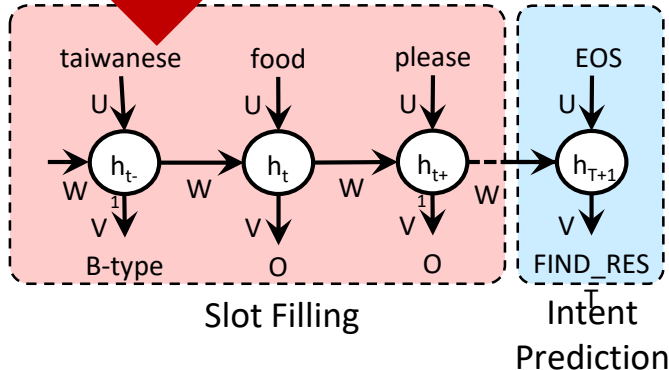
# Joint Semantic Frame Parsing (Hakkani-Tur+, 2016; Liu & Lane, 2016)

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[https://www.microsoft.com/en-us/research/wp-content/uploads/2016/06/IS16\\_MultiJoint.pdf](https://www.microsoft.com/en-us/research/wp-content/uploads/2016/06/IS16_MultiJoint.pdf); <https://arxiv.org/abs/1609.01454>

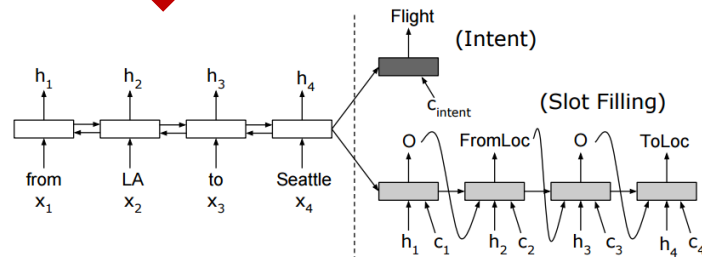
Sequence-based  
(Hakkani-Tur+, 2016)

- Slot filling and intent prediction in the same output sequence



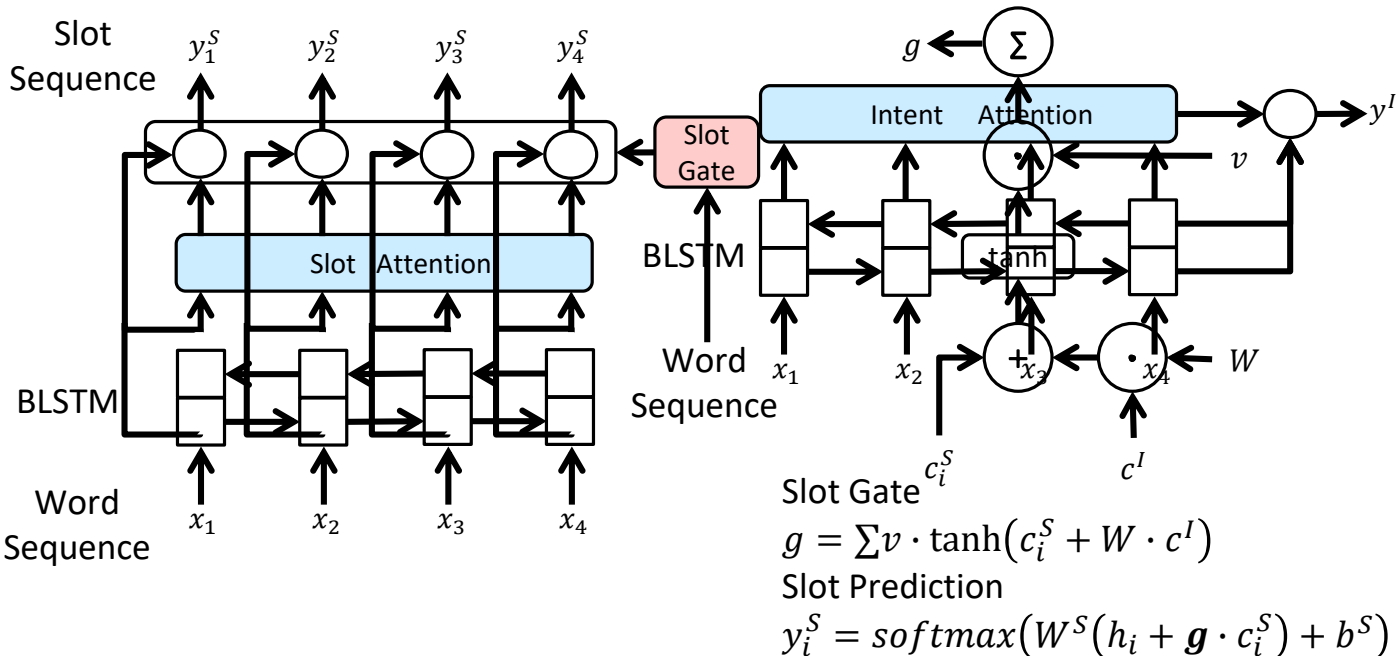
Parallel  
(Liu & Lane, 2016)

- 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    ↓    ↓    ↓

B-contact\_name   B-subject   I-subject   I-subject

→ send\_email(contact\_name="bob", subject="fishing this weekend")

Single Turn

*U*<sub>1</sub> send email to bob

*S*<sub>1</sub>                    B-contact\_name  
→ send\_email(contact\_name="bob")

*U*<sub>2</sub>    are    we    going    to    fish    this    weekend

         ↓        ↓        ↓        ↓        ↓        ↓

*S*<sub>2</sub>   B-message   I-message   I-message   I-message   I-message

         I-message   I-message   I-message

→ send\_email(message="are we going to fish this weekend")

Multi-Turn

# Contextual LU

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- User utterances are highly ambiguous in isolation

Restaurant  
Booking



Book a table for 10 people tonight.



Cascal, for 6.



#people time

Which restaurant would you like to book a table for?

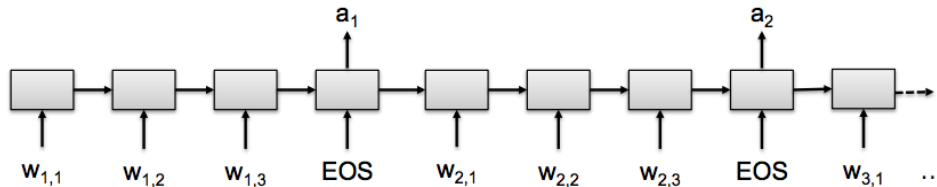


# Contextual LU (Bhargava+, 2013; Hori+, 2015)

40

<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 ?"

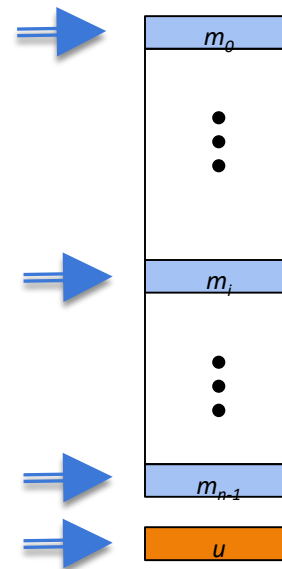
U: "3 tickets for saturday"

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

## 1. Sentence Encoding

$$m_i = \text{RNN}_{\text{mem}}(x_i)$$

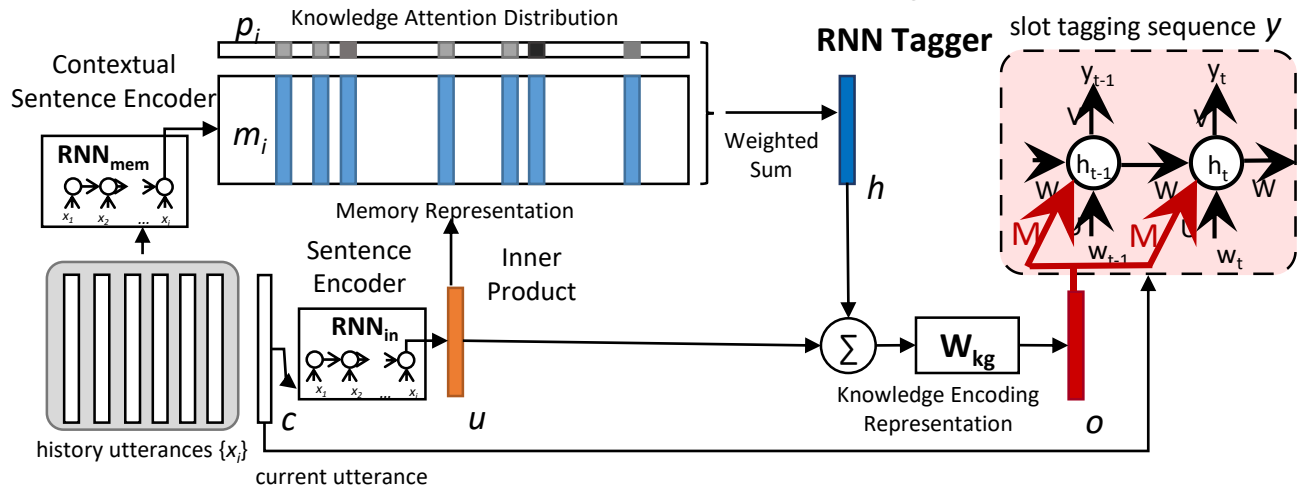
$$u = \text{RNN}_{\text{in}}(c)$$

## 2. Knowledge Attention

$$p_i = \text{softmax}(u^T m_i)$$

## 3. Knowledge Encoding

$$h = \sum_i p_i m_i \quad o = W_{\text{kg}}(h + u)$$



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

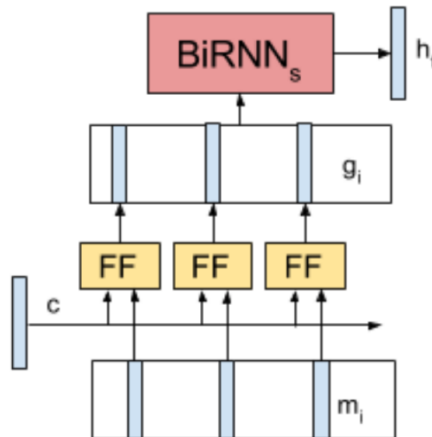
*U: "Let's do 5:40"*

# Dialogue Encoder Network (Bapna+, 2017)

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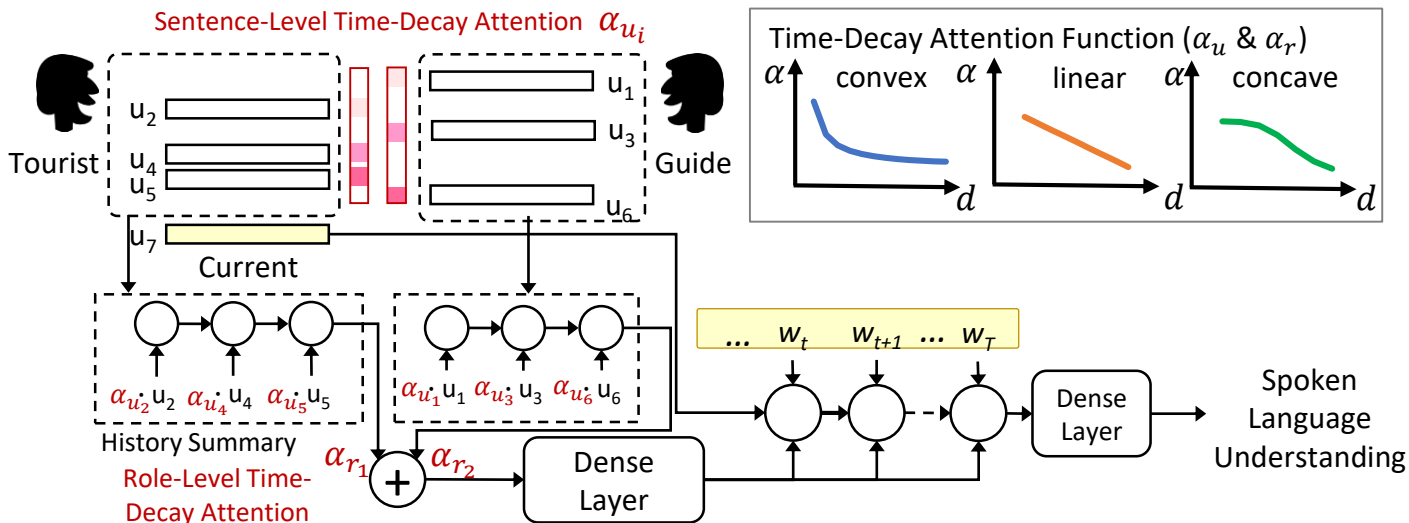
<http://aclweb.org/anthology/W17-5514>

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



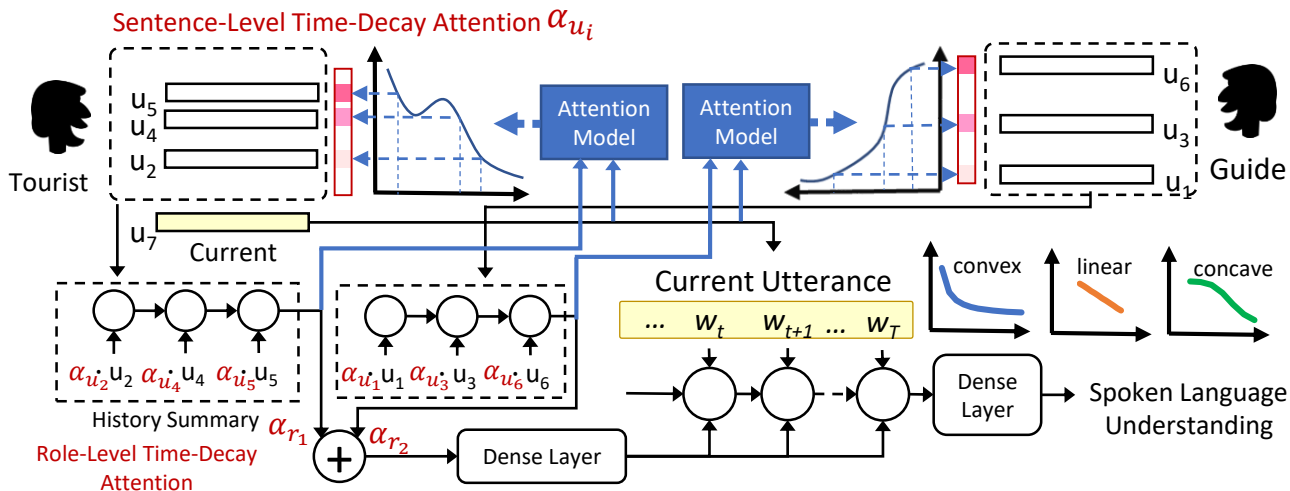
# Role-Based Time-Decay Attention (Su+, 2018)

45

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

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

46



Time-decay attention significantly improves the understanding results

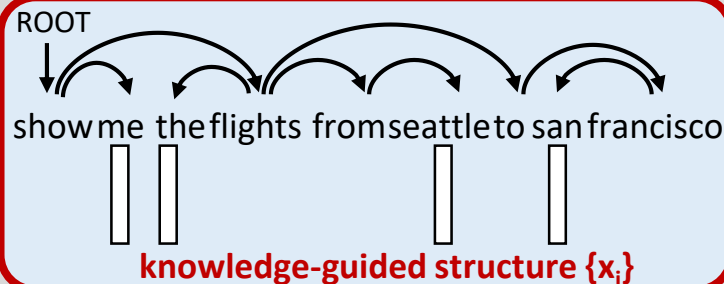
# Structural LU (Chen+, 2016)

47

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

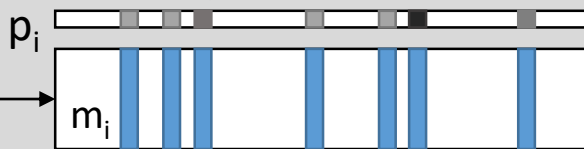
## □ Prior knowledge as a teacher

### Knowledge Encoding Module



Knowledge  
Encoding

Knowledge Attention Distribution



Sentence  
Encoding

Knowledge-  
Guided  
Representation

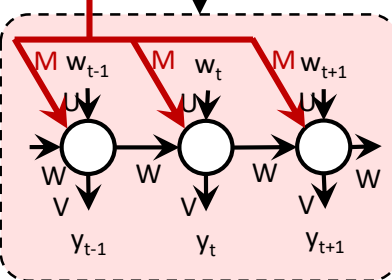


Inner  
Product

Weighted  
Sum

Input Sentence

RNN Tagger



slot tagging sequence

# Structural LU (Chen+, 2016)

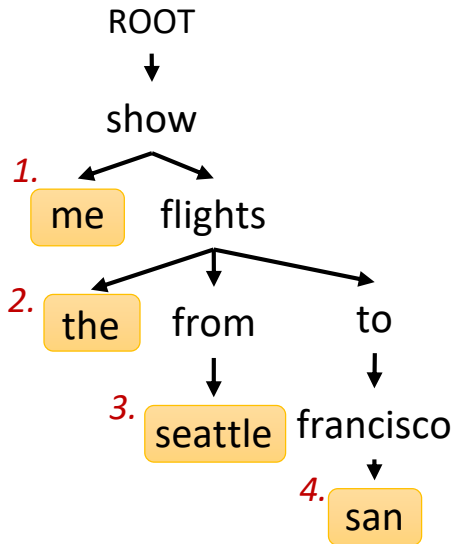
48

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

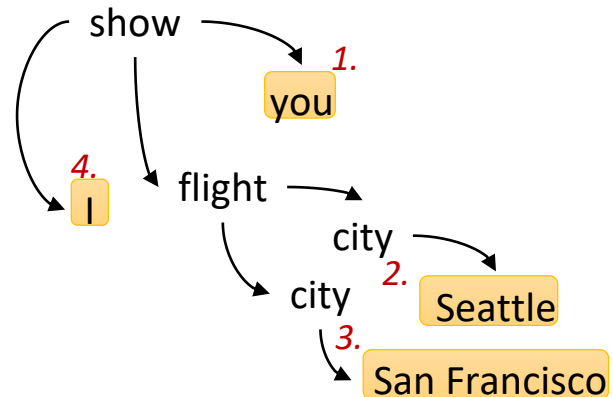
- Sentence structural knowledge stored as memory

**Sentence** *s* show me the flights from seattle to san francisco

Syntax (Dependency Tree)



Semantics (AMR Graph)





# Structural LU (Chen+, 2016)

49

<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

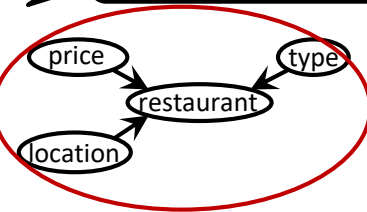
# Semantic Frame Representation

50

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

## Restaurant Domain

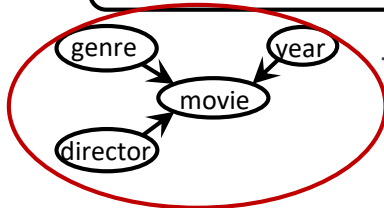
find me a cheap taiwanese restaurant in oakland



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")

# LU – Learning Semantic Ontology (Chen+, 2013)

51

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

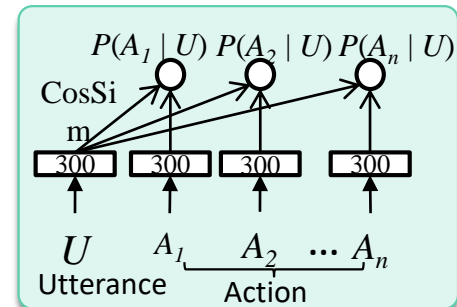
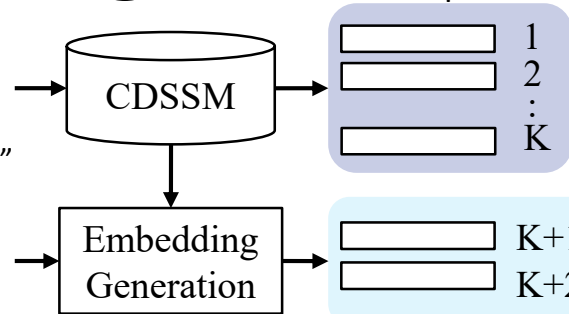
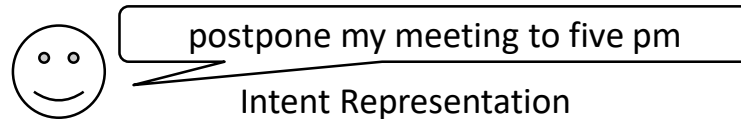
- Learning key domain concepts from goal-oriented human-human conversations
  - ▣ Clustering with mutual information and KL divergence (Chotimongkol & Rudnicky, 2002)
  - ▣ Spectral clustering based slot ranking model (Chen et al., 2013)
    - Use a state-of-the-art frame-semantic parser trained for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



The dialogue act representations can be automatically learned for 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 एकतरफ़ा उड़ाने खोजें

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

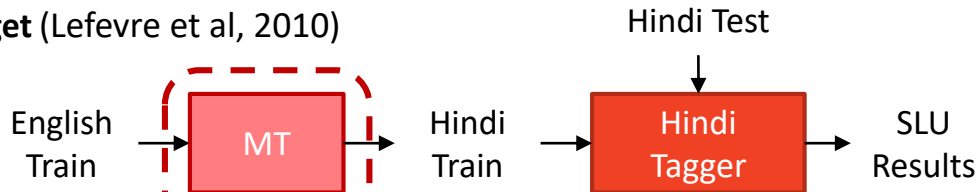
(b) Hindi Utterance

# LU – Language Extension (Upadhyay+, 2018)

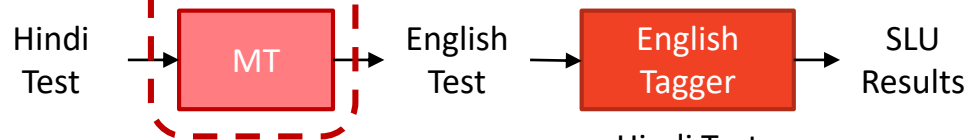
54

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

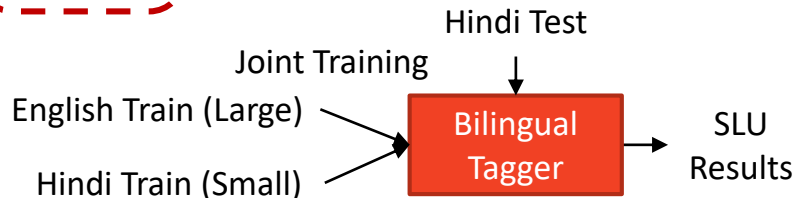
## Train on Target (Lefevre et al, 2010)



## 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

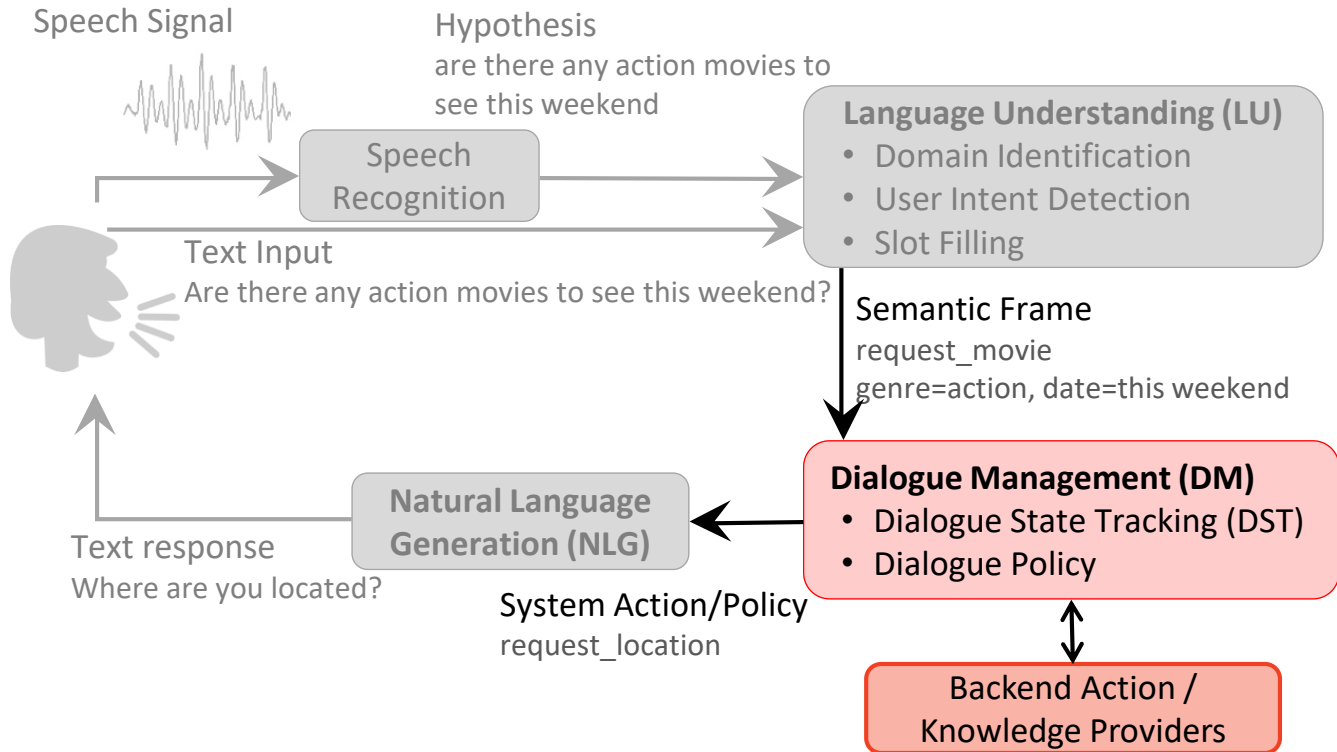
55

- Introduction & Background
  - ▣ Neural Networks
  - ▣ 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



# Task-Oriented Dialogue System (Young, 2000)

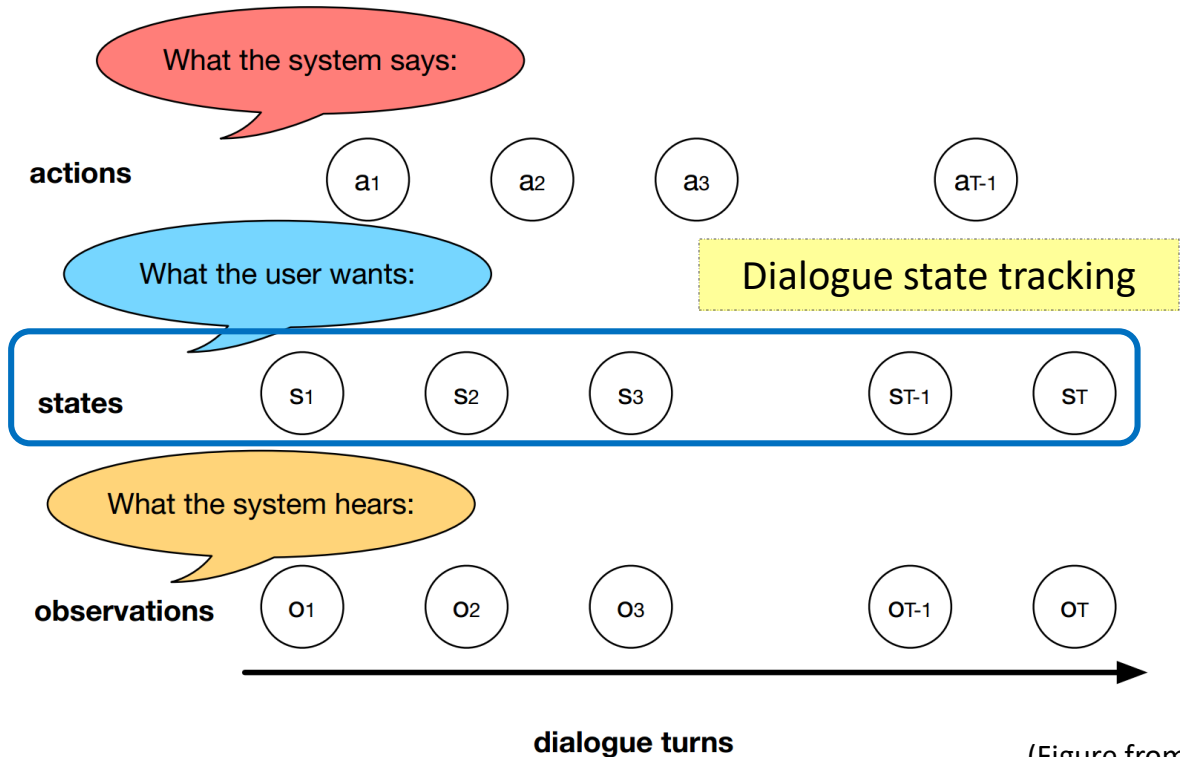
56





# Elements of Dialogue Management

57



(Figure from Gašić)

# 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) |

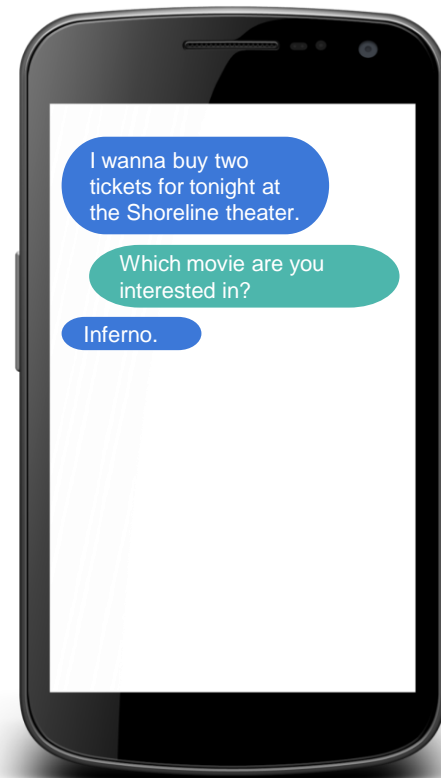
| Slot     | Value   |
|----------|---------|
| # people | 3 (0.8) |
| time     | 5 (0.8) |



# 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



**Movies**

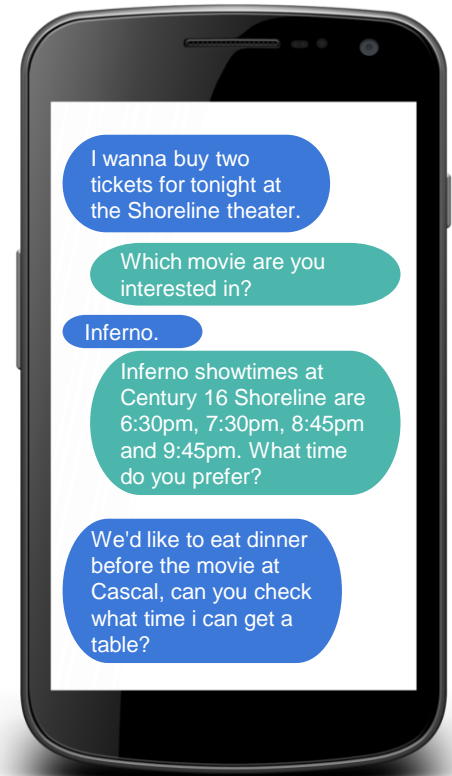
|         |                      |      |      |      |
|---------|----------------------|------|------|------|
| Date    | 11/15/17             |      |      |      |
| Time    | 6 pm                 | 7 pm | 8 pm | 9 pm |
| #People | 2                    |      |      |      |
| Theater | Century 16 Shoreline |      |      |      |
| Movie   | Inferno              |      |      |      |

Less Likely  More Likely

# 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              |         |         |         |

### Restaurants

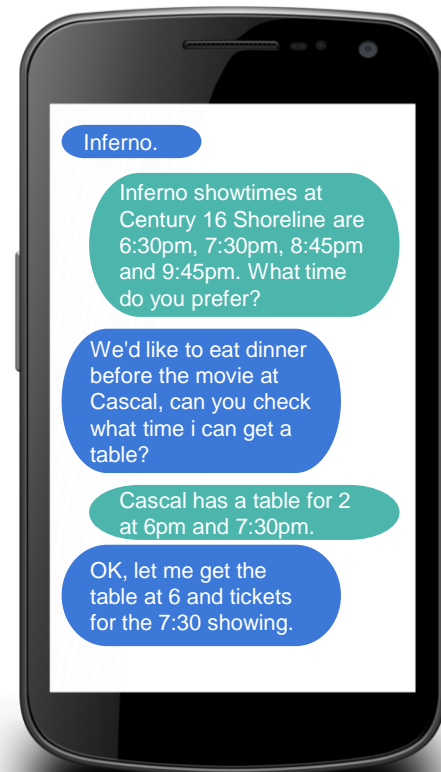
|            |          |         |         |
|------------|----------|---------|---------|
| Date       | 11/15/17 |         |         |
| Time       | 6:00 pm  | 6:30 pm | 7:00 pm |
| Restaurant | Cascal   |         |         |
| #People    | 2        |         |         |

Less Likely     More Likely

# 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
- 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              |         |         |         |

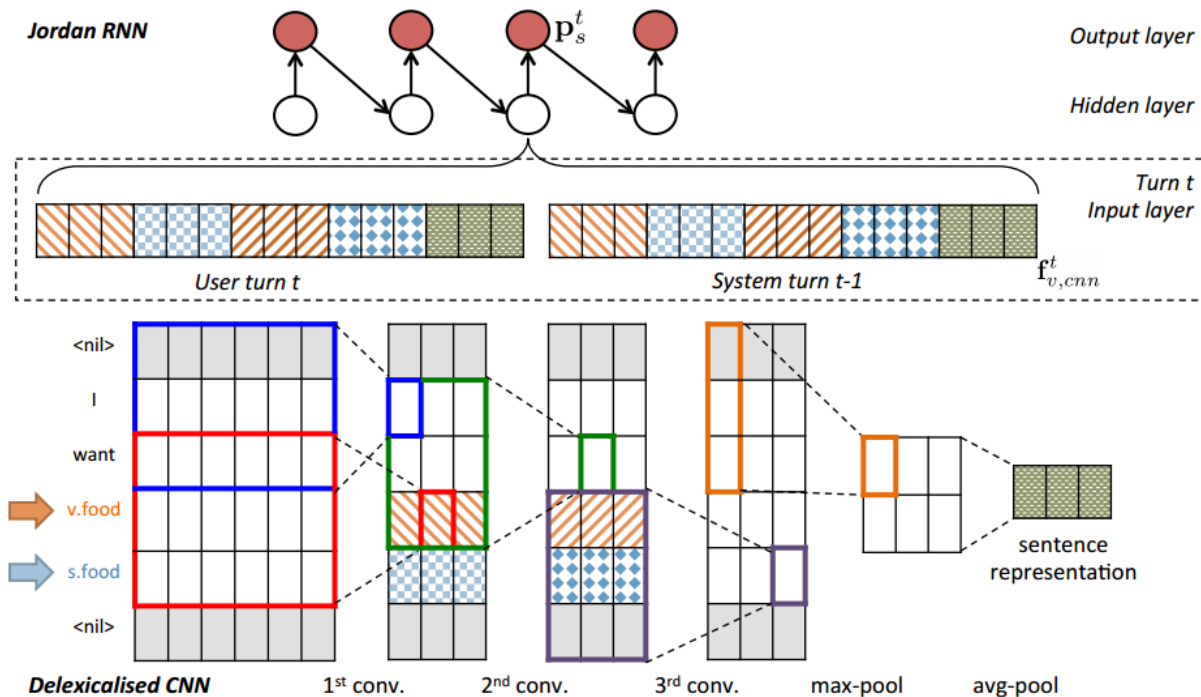
### Restaurants

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

Less Likely     More Likely

# RNN-CNN DST (Mrkšić+, 2015)

63

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

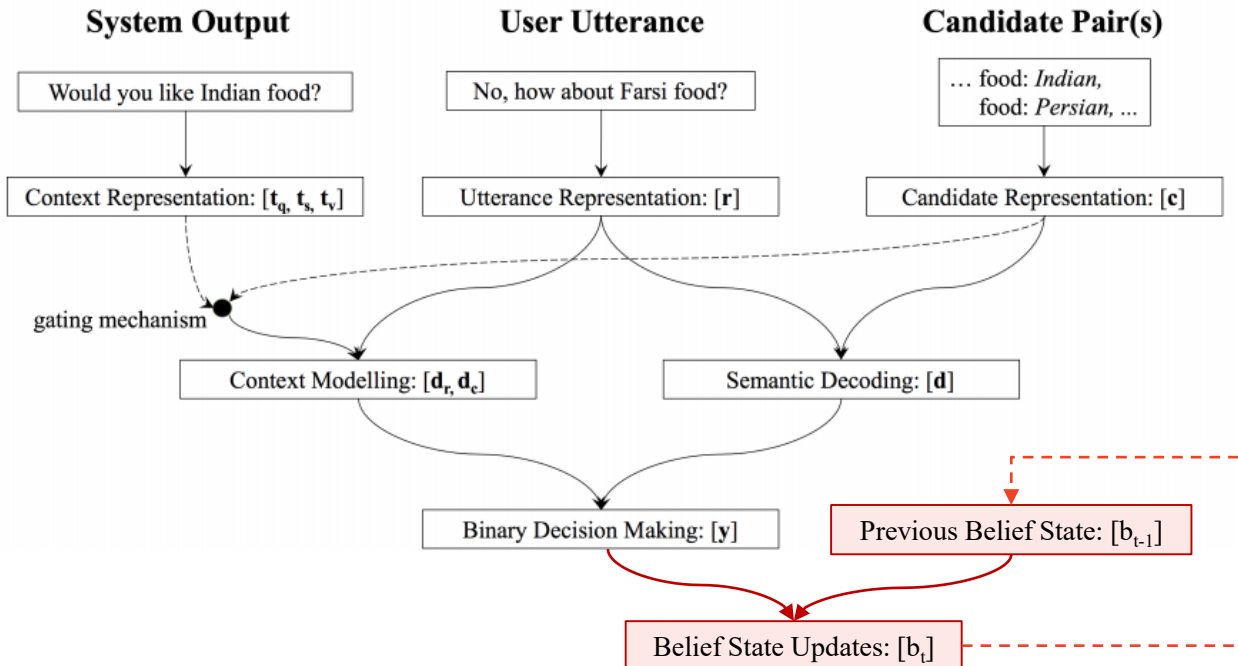
(Figure from Wen et al, 2016)

# Neural Belief Tracker (Mrkšić+, 2016)

64

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

- Candidate pairs are considered



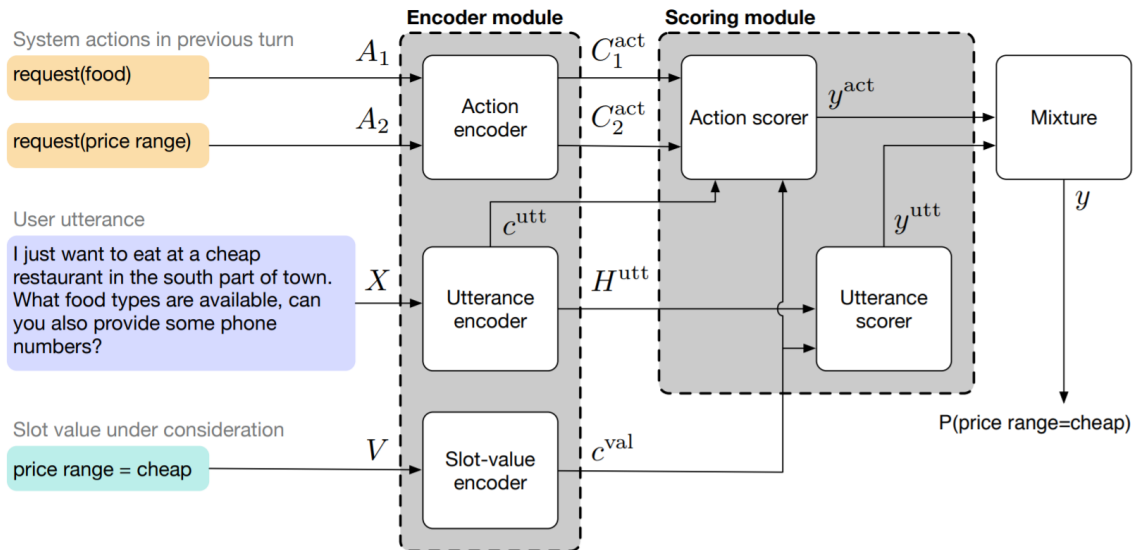


# Global-Locally Self-Attentive DST (Zhong+, 2018)

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)

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

66

| Challenge                    | Type          | Domain              | Data Provider | Main Theme          |
|------------------------------|---------------|---------------------|---------------|---------------------|
| <a href="#"><u>DSTC1</u></a> | Human-Machine | Bus Route           | CMU           | Evaluation Metrics  |
| <a href="#"><u>DSTC2</u></a> | Human-Machine | Restaurant          | U. Cambridge  | User Goal Changes   |
| <a href="#"><u>DSTC3</u></a> | Human-Machine | Tourist Information | U. Cambridge  | Domain Adaptation   |
| <a href="#"><u>DSTC4</u></a> | Human-Human   | Tourist Information | I2R           | Human Conversation  |
| <a href="#"><u>DSTC5</u></a> | Human-Human   | Tourist Information | I2R           | Language Adaptation |

# DST Evaluation

67

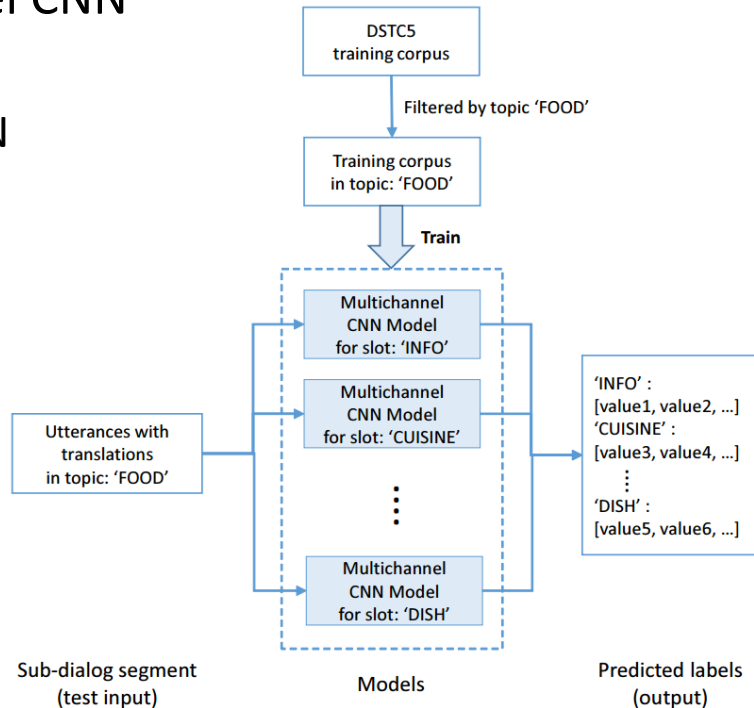
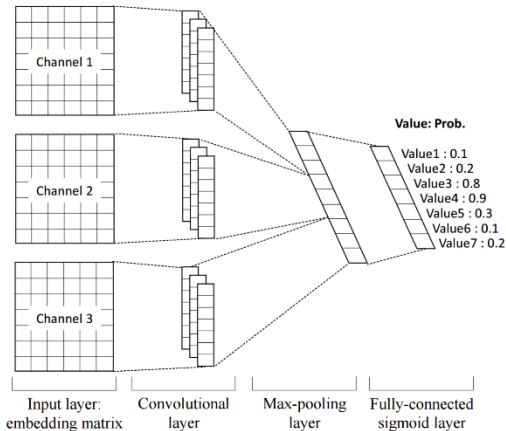
- Metric
  - ▣ Tracked state accuracy with respect to user goal
  - ▣ Recall/Precision/F-measure individual slots

# 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*

|             |   |
|-------------|---|
| <b>Task</b> | Transit   |
| <b>DAIs</b> | (0.8, inform(dest=MH) <sub>0.7</sub> <sup>0.1</sup> )   |
| <b>Task</b> | Restaurant  |
| <b>DAIs</b> | (0.7, inform(food=thai) <sub>1,2</sub> <sup>0.9</sup> )<br>(0.6, deny(food=italian) <sub>1,7</sub> <sup>1.4</sup> ) |

## Task State:

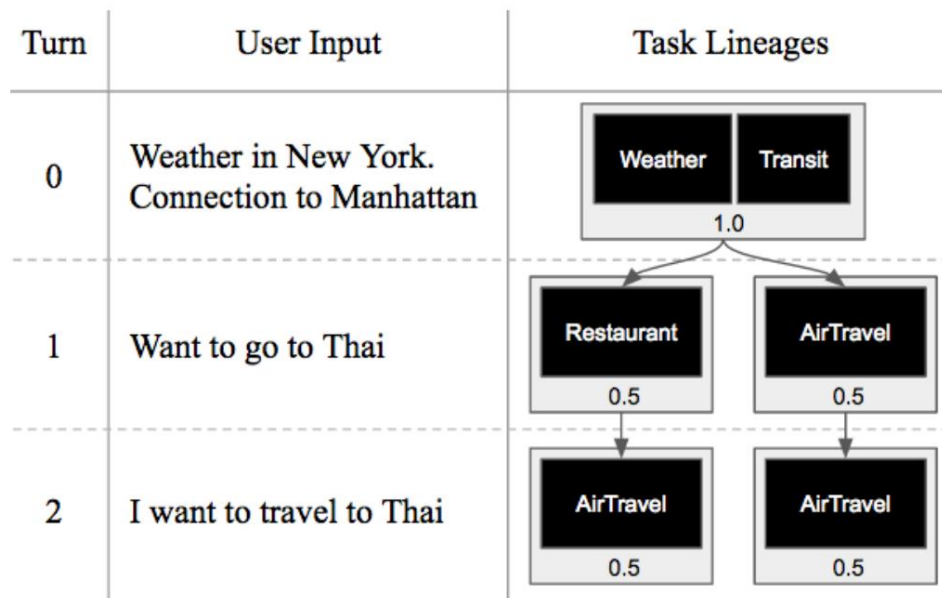
*Thai restaurant, not Italian*

|                    |   |
|--------------------|---|
| <b>Task</b>        | Restaurant                                  |
| <b>Constraints</b> | (0.7, food = thai)<br>(0.6, food ≠ italian) |
| <b>DB</b>          | ["Thai To Go", "Pa de Thai"]                |
| <b>Timestamps</b>  | 01/01/2016 : 12-00-00                       |
| ...                | ...   |

(confidence, dialog act item <sup>Start\_time</sup><sub>End\_time</sub>)

# DST – Task Lineages (Lee & Stent, 2016)

70

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

# DST – Scalability (Rastogi+, 2017)

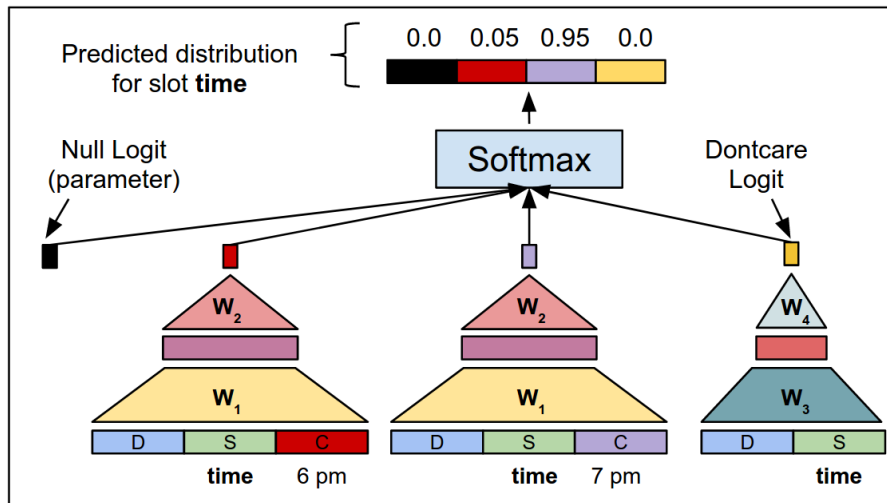
71

<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.



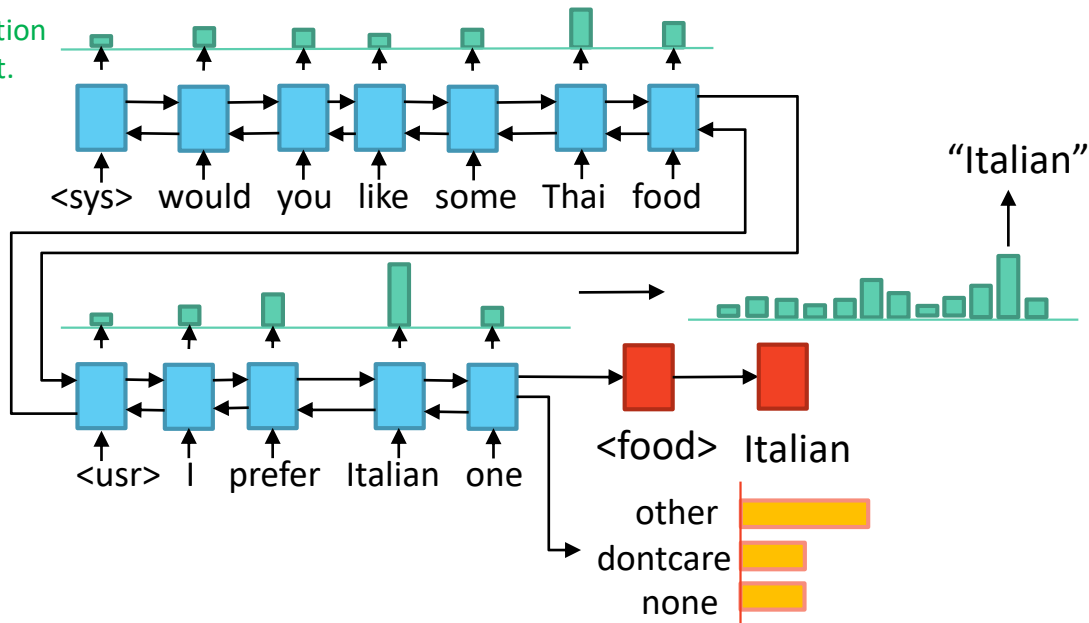
# DST – Handling Unknown Values (Xu & Hu, 2018)

72

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

## □ Issue: fixed value sets in DST

Attention  
Dist.

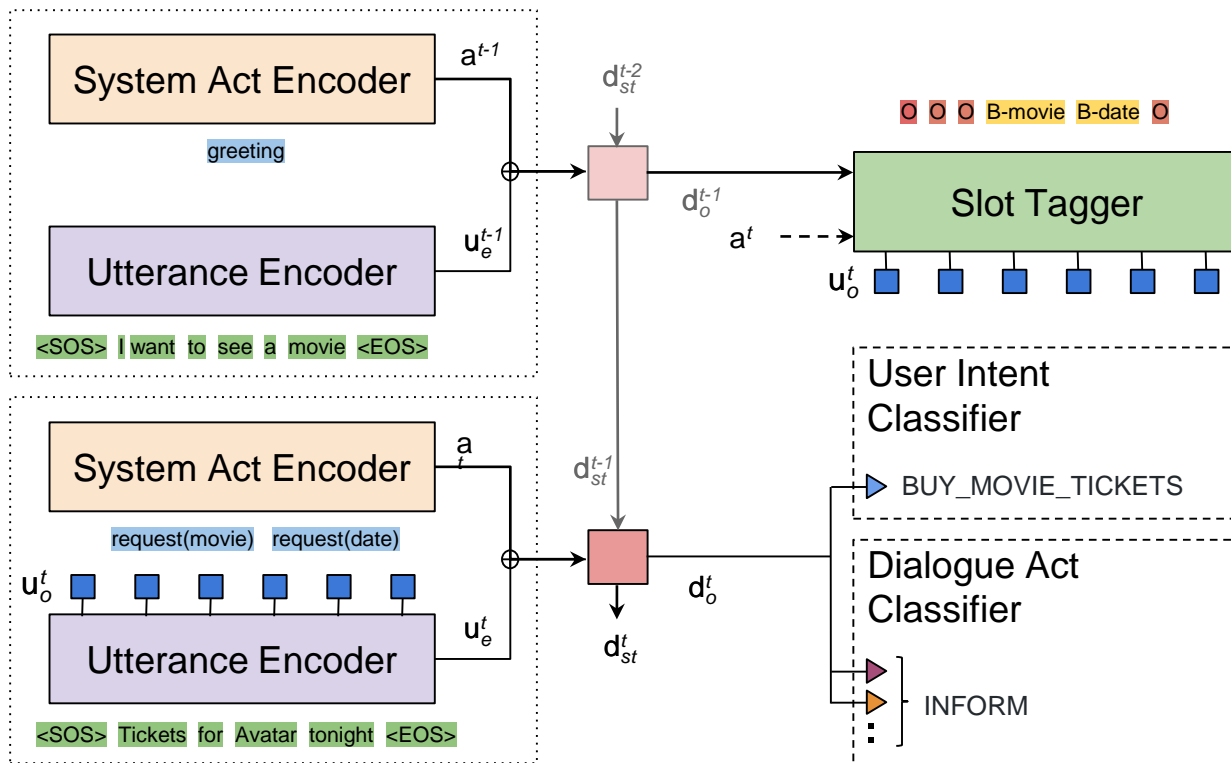


Pointer networks for generating unknown values



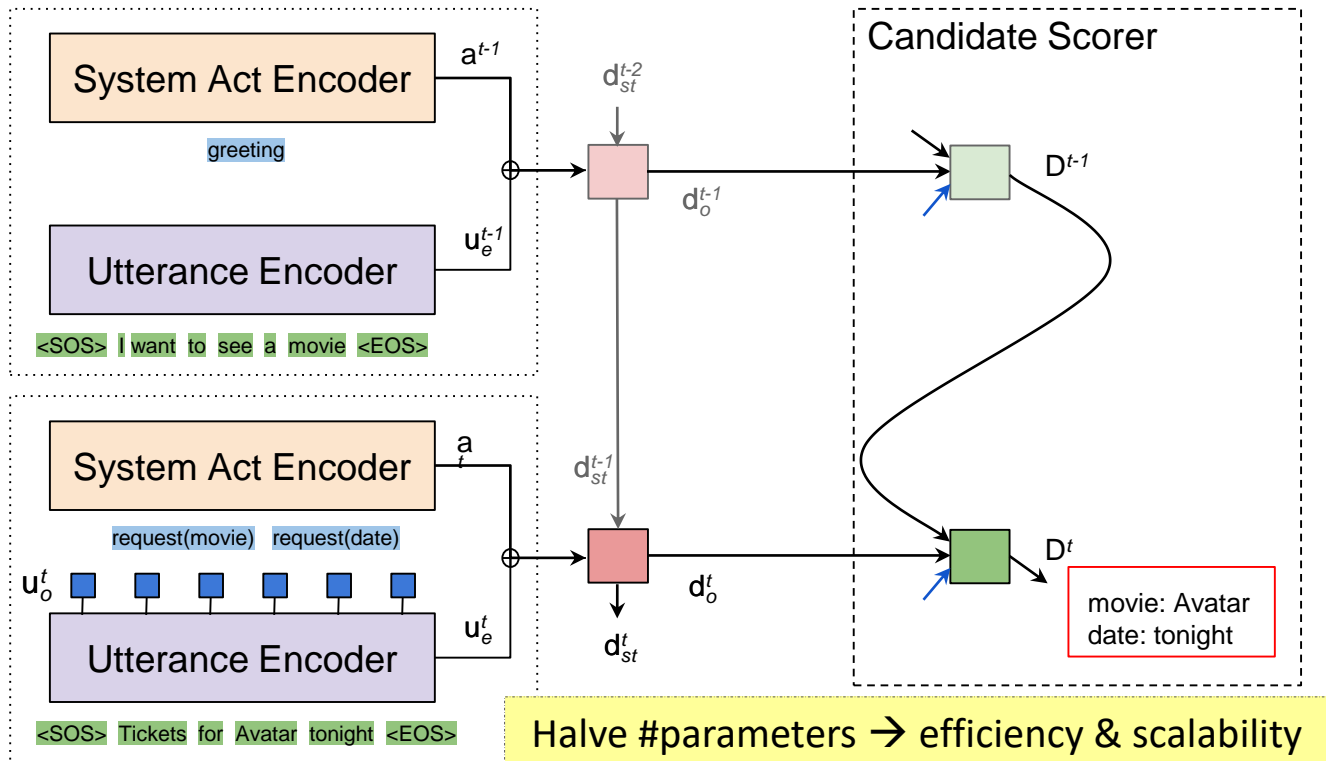
# Joint NLU and DST (Gupta+, 2018)

73



# Joint NLU and DST (Gupta+, 2018)

74



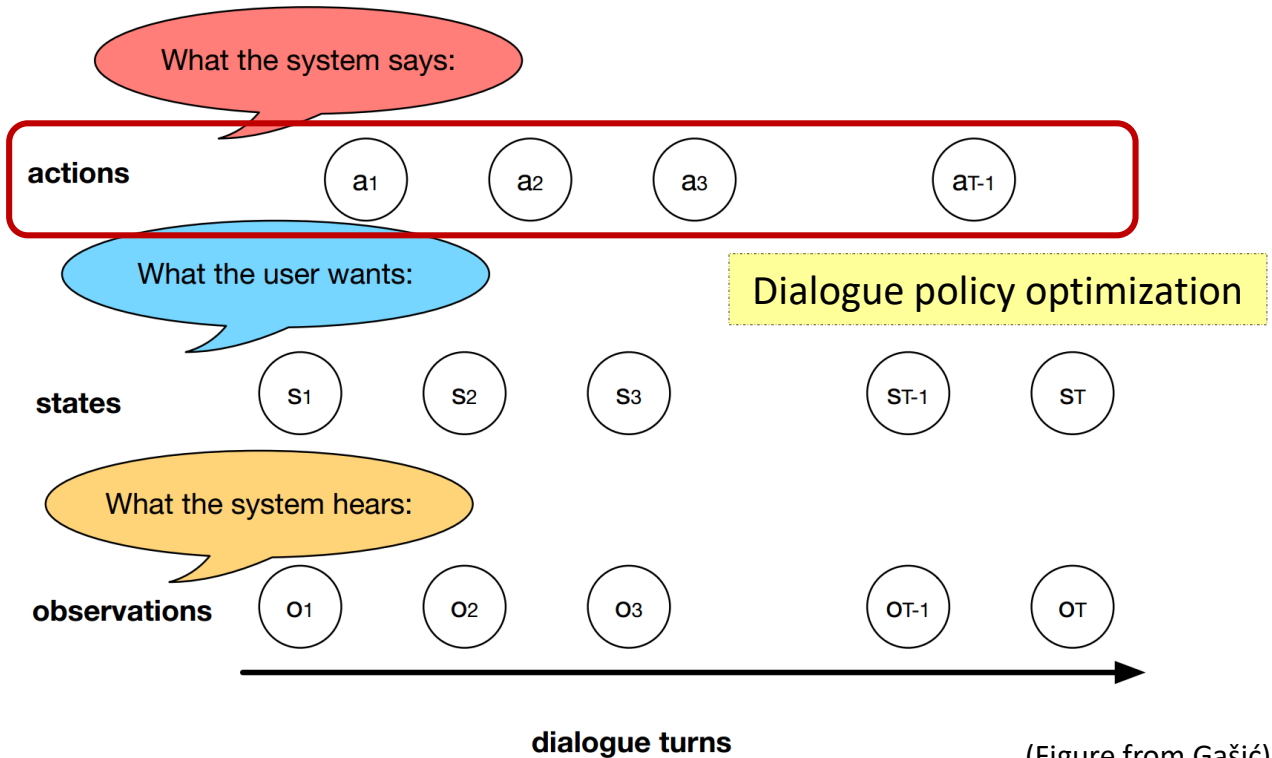
# Outline

75

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

# Elements of Dialogue Management

76

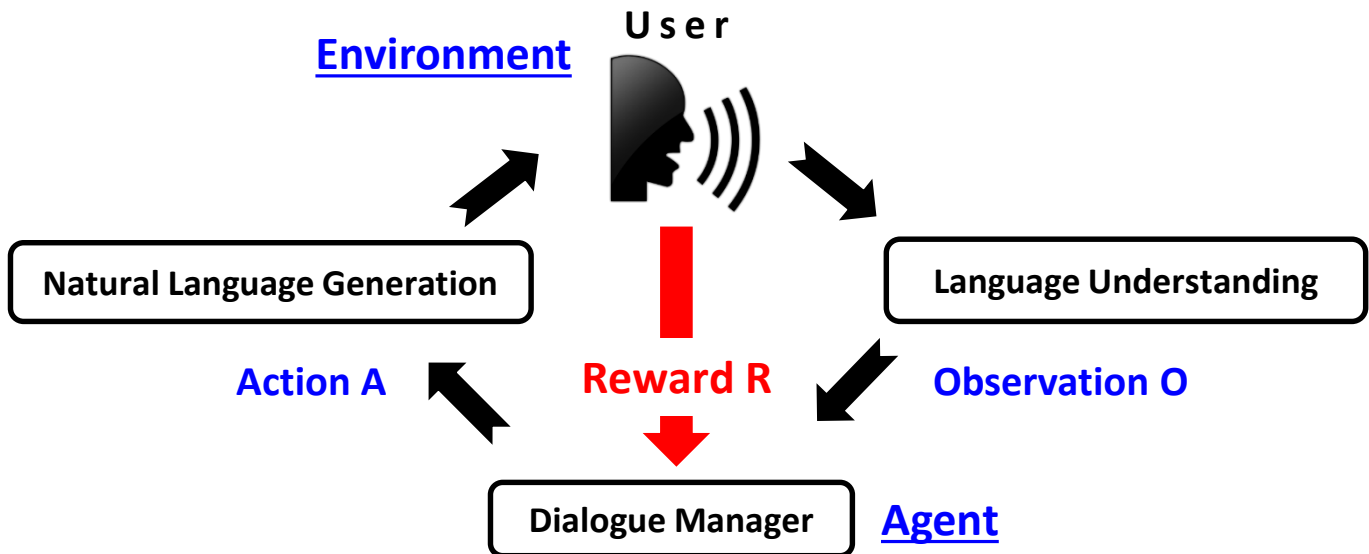


(Figure from Gašić)

# 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

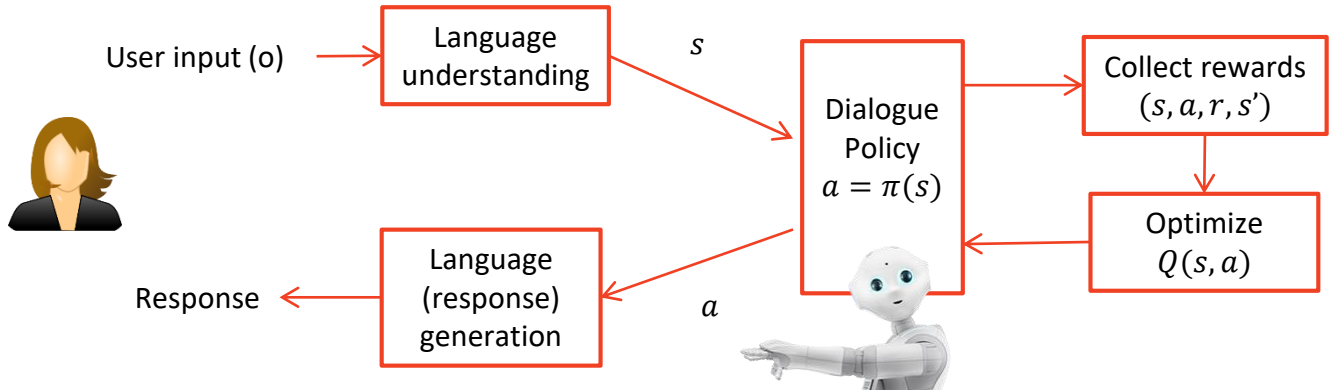
78

- 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, <b>high</b> cost         |
| - User rating      | unreliable quality, <b>medium</b> cost |
| - Objective rating | Check desired aspects, <b>low</b> cost |

# RL for Dialogue Policy Optimization

79



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

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

# Dialogue Reinforcement Learning Signal

80

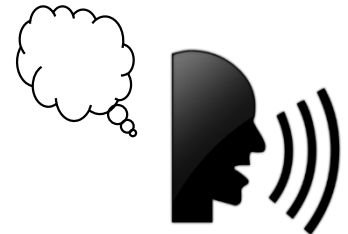
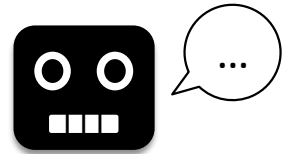
## Typical reward function

- 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



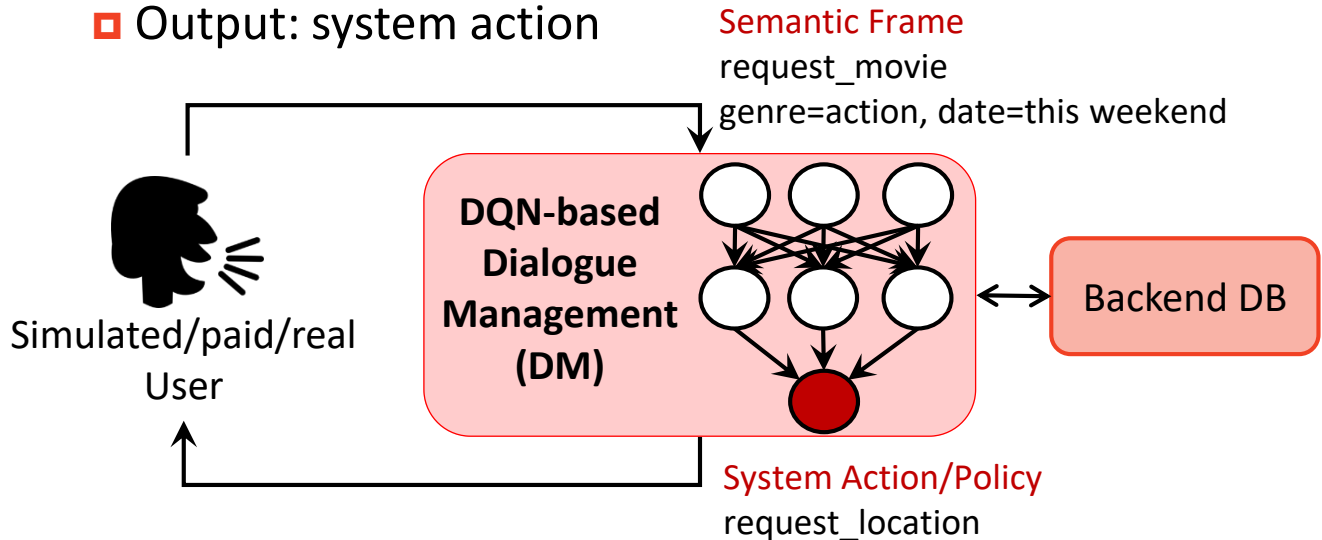


# Neural Dialogue Manager (Li+, 2017)

81

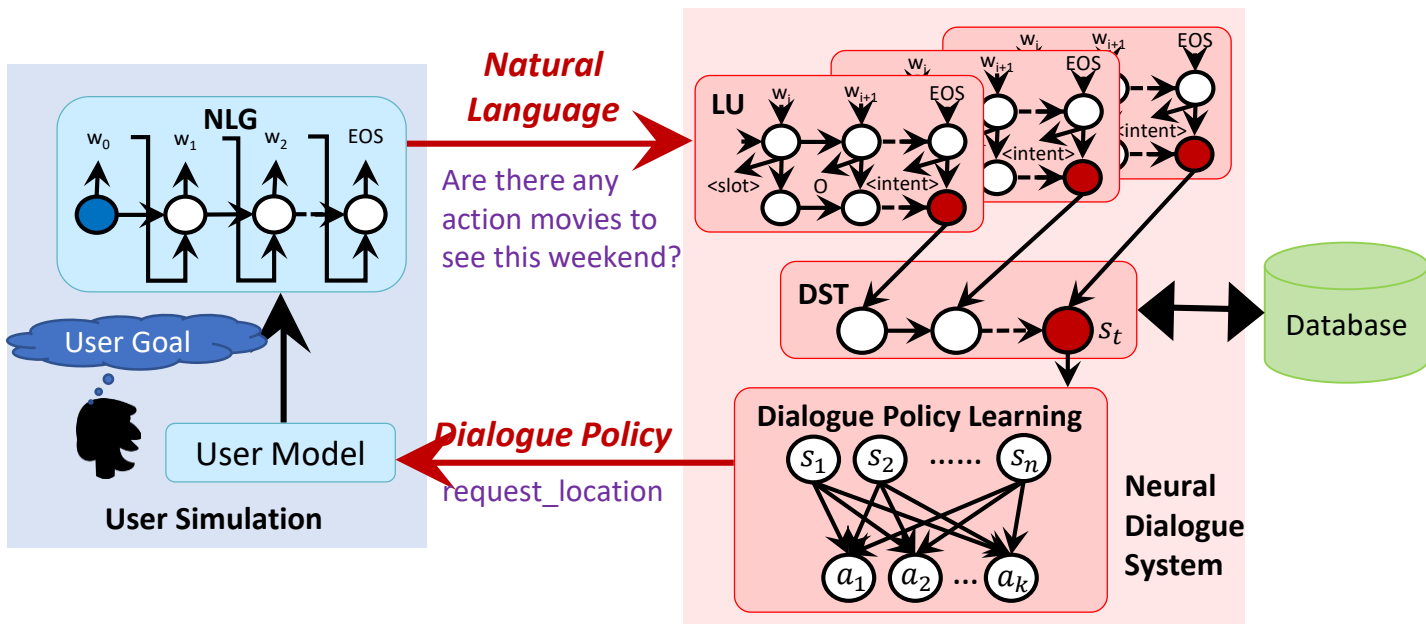
<http://www.aclweb.org/anthology/I17-1074>

- 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>

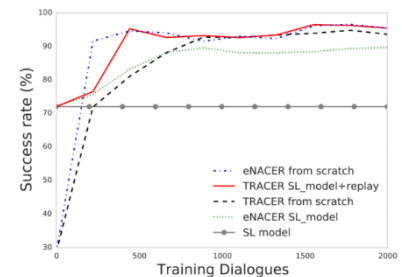
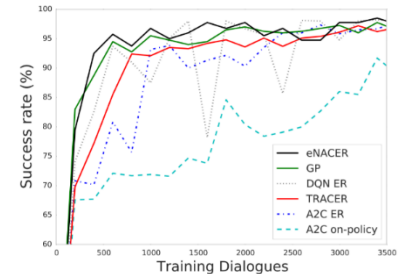
Idea: SL for each component and RL for end-to-end training

# 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!**

Items



| 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

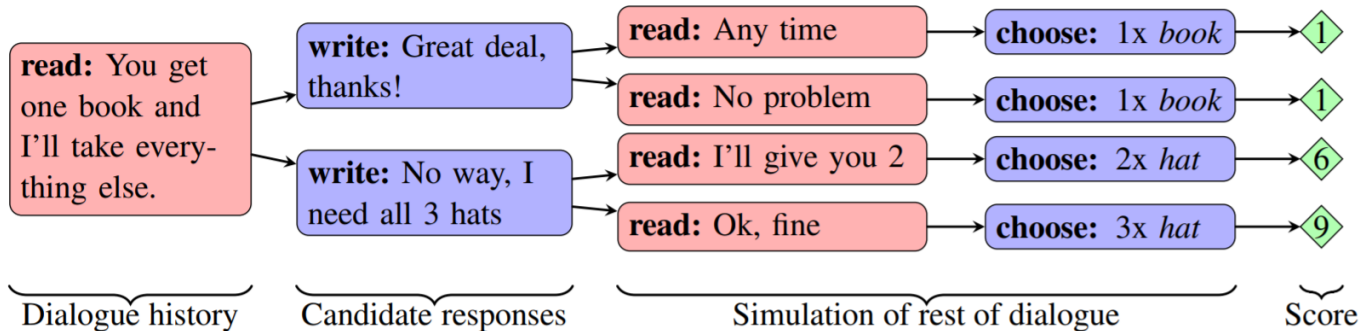
Send

# 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

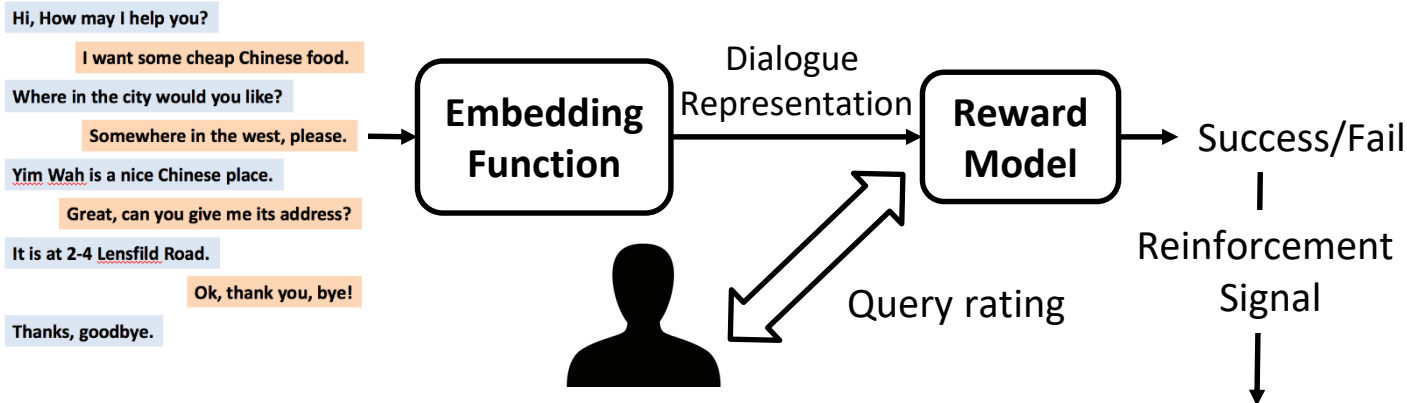


# Online Training (Su+, 2015; Su+, 2016)

86

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

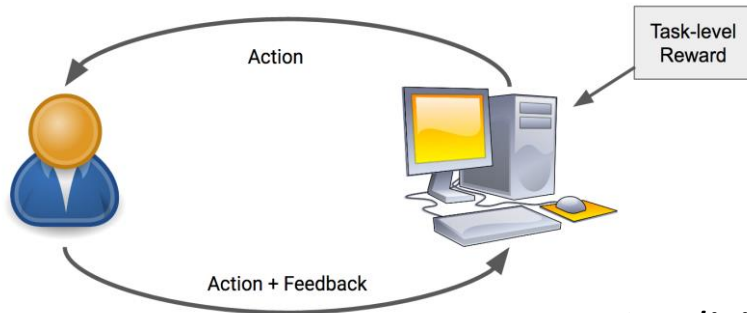
- Policy learning from real users
  - ▣ Infer reward directly from dialogues (Su+, 2015)
  - ▣ User rating (Su+, 2016)
- Reward modeling on user binary success rating



# Interactive RL for DM (Shah+, 2016)

87

<https://research.google.com/pubs/pub45734.html>



**Immediate Feedback**

*Explicit*



*Implicit*

Is First Wok highly rated?

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

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

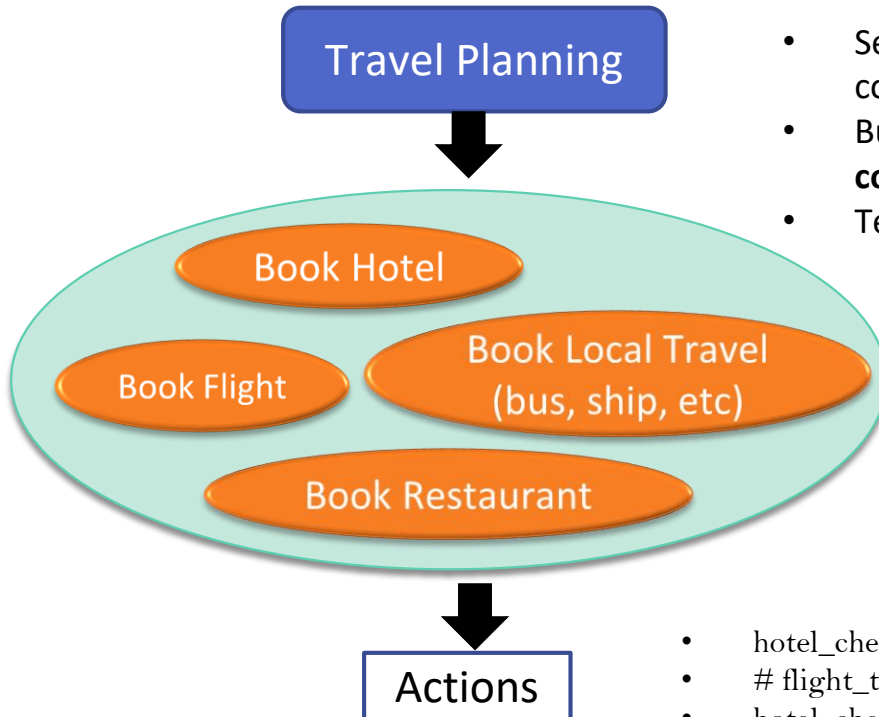
Frustration

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

- $hotel\_check\_in\_time > departure\_flight\_time$
- $\# flight\_tickets = \# people\ checking\ in\ the\ hotel$
- $hotel\_check\_out\_time < return\_flight\_time,$

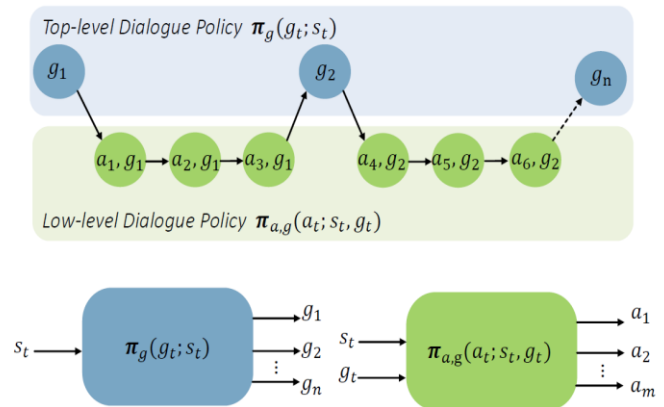
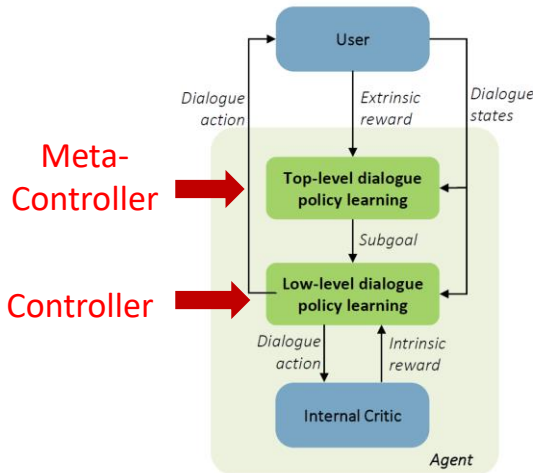


# Multi-Domain – Hierarchical RL (Peng+, 2017)

89

<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  $g_t$



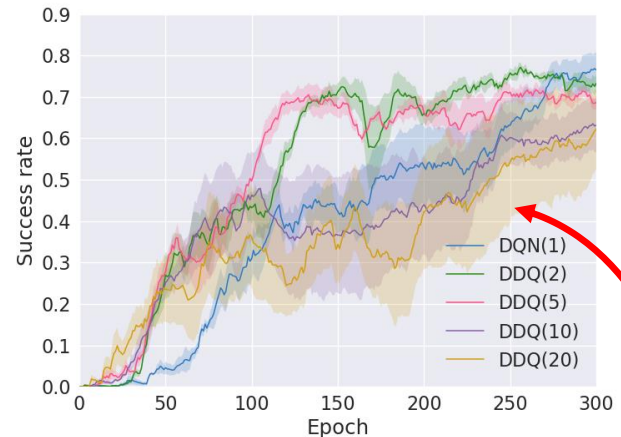
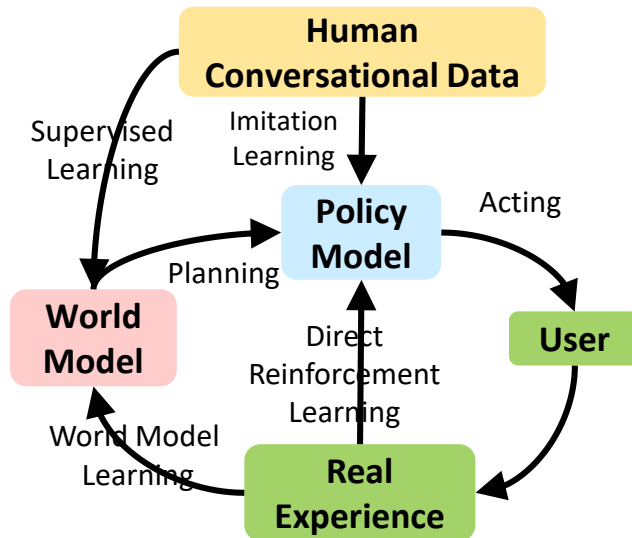
(mitigate reward sparsity issues)

# 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



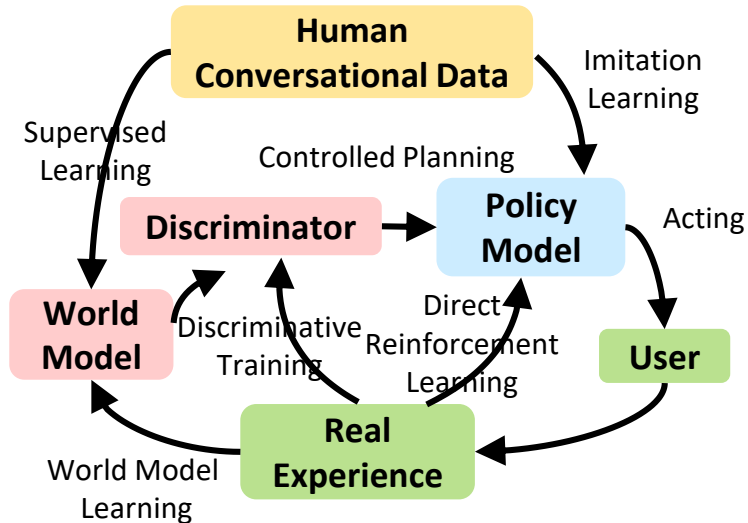
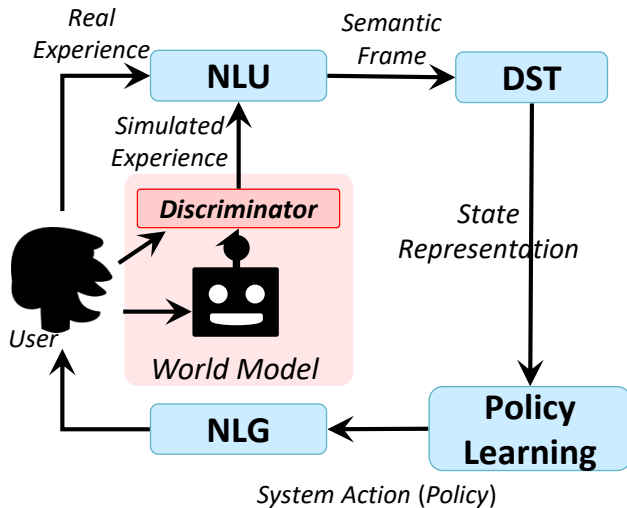
Policy learning suffers from the poor quality of fake experiences

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

91

(to appear) EMNLP 2018

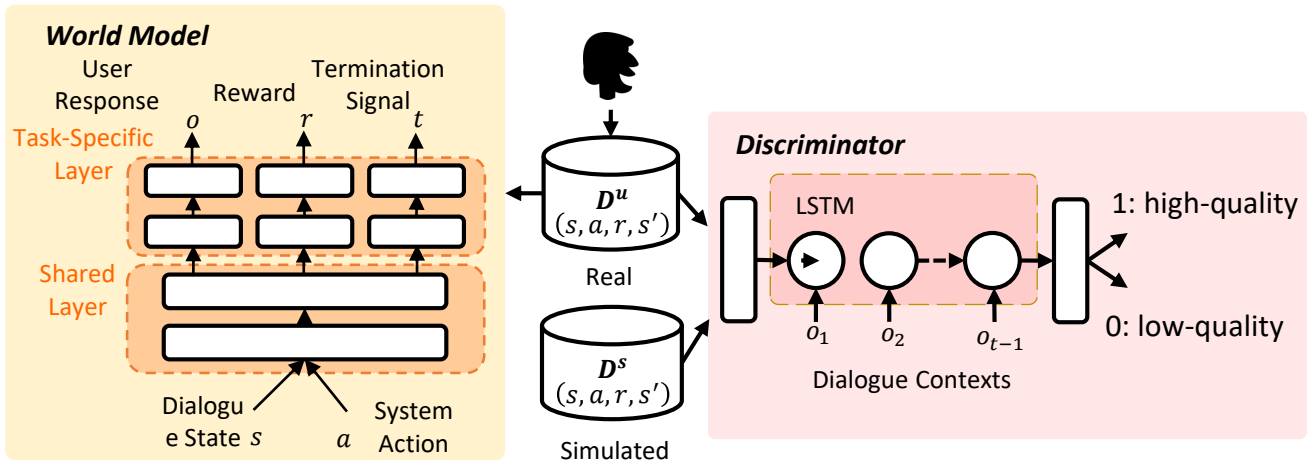
- Idea: add a *discriminator* to filter out the bad experiences



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

92

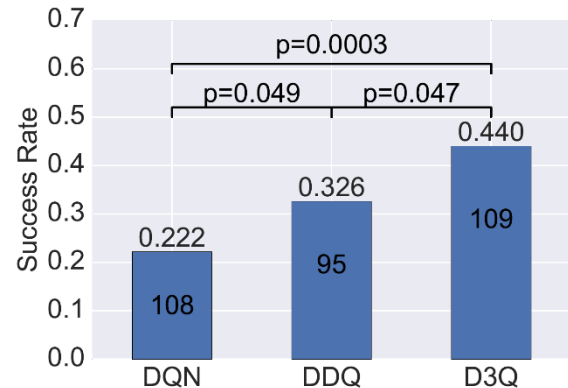
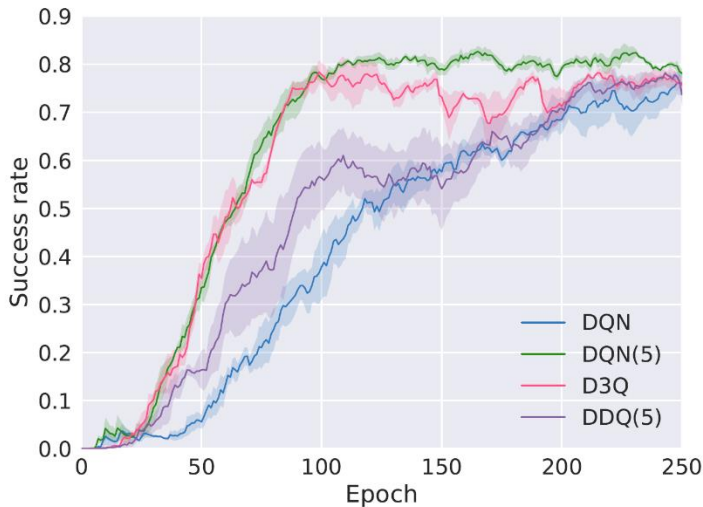
(to appear) EMNLP 2018



# 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

94

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

# RL-Based DM Challenge

95

- 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

96

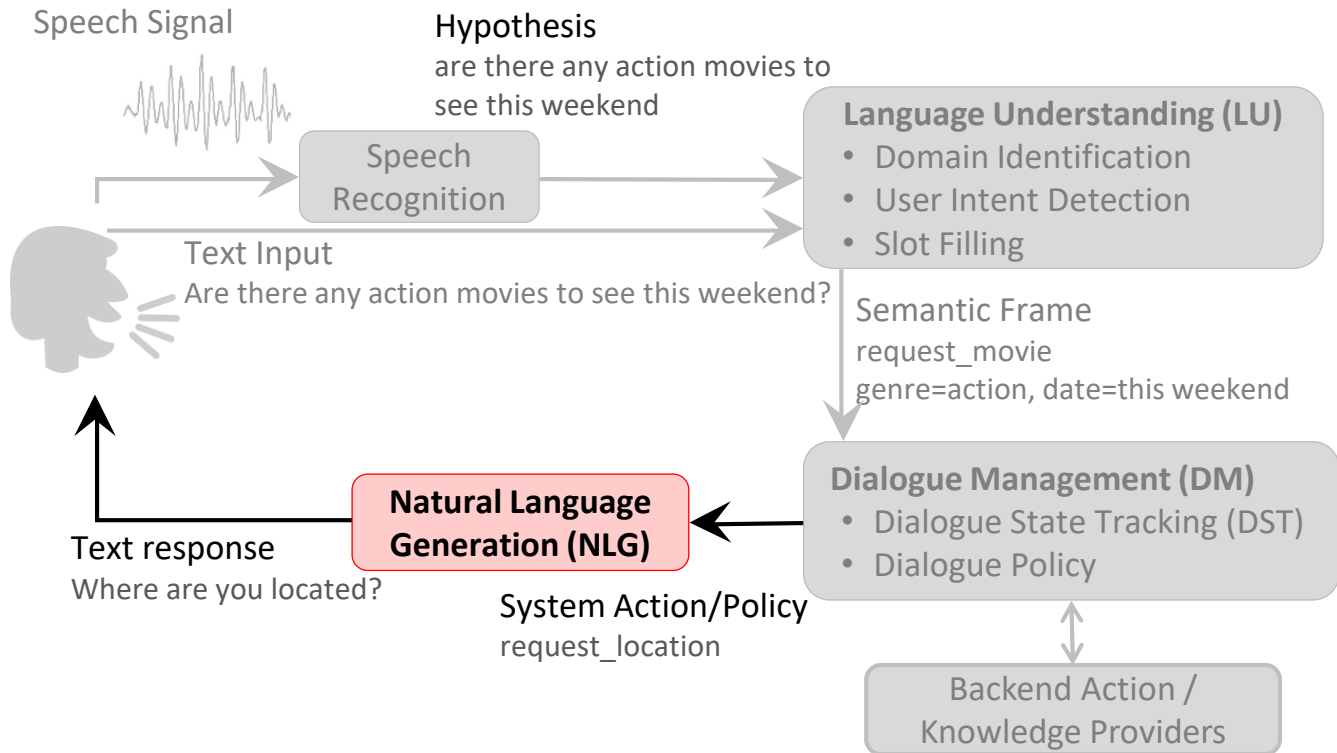
- Introduction & Background
  - ▣ Neural Networks
  - ▣ Reinforcement Learning
- Modular Dialogue System
  - ▣ Spoken/Natural Language Understanding (SLU/NLU)
  - ▣ Dialogue Management (DM)
    - Dialogue State Tracking (DST)
    - Dialogue Policy Optimization
  - ▣ **Natural Language Generation (NLG)**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





# Task-Oriented Dialogue System (Young, 2000)

97



# Natural Language Generation (NLG)

98

- 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."                    |

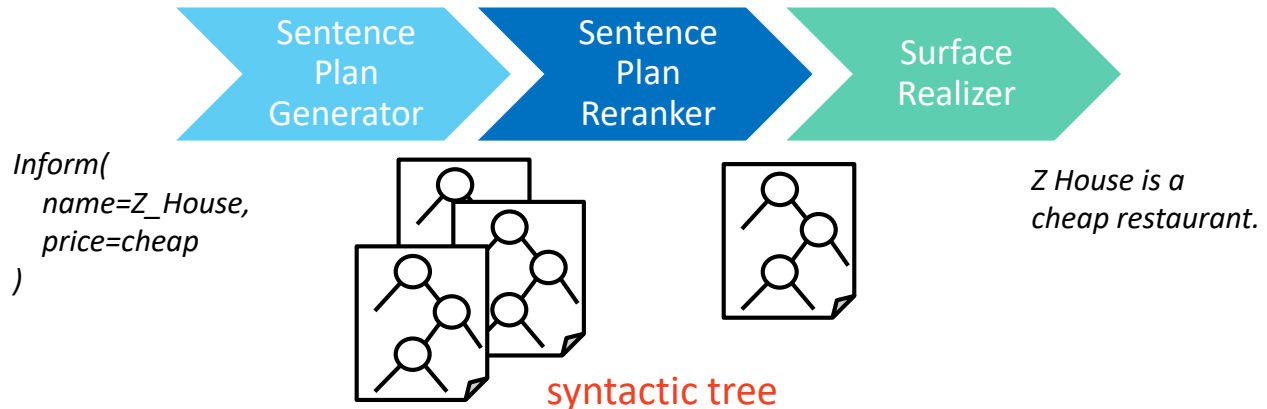
**Pros:** simple, error-free, easy to control

**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

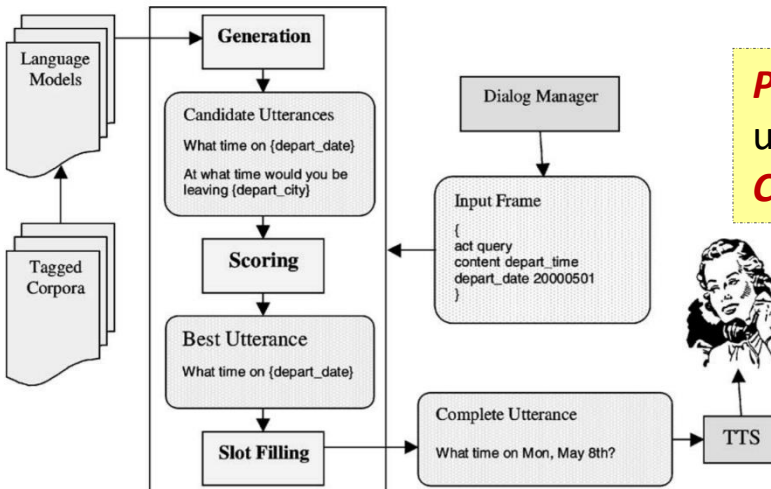
<http://dl.acm.org/citation.cfm?id=1117568>

## □ Class-based language modeling

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

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

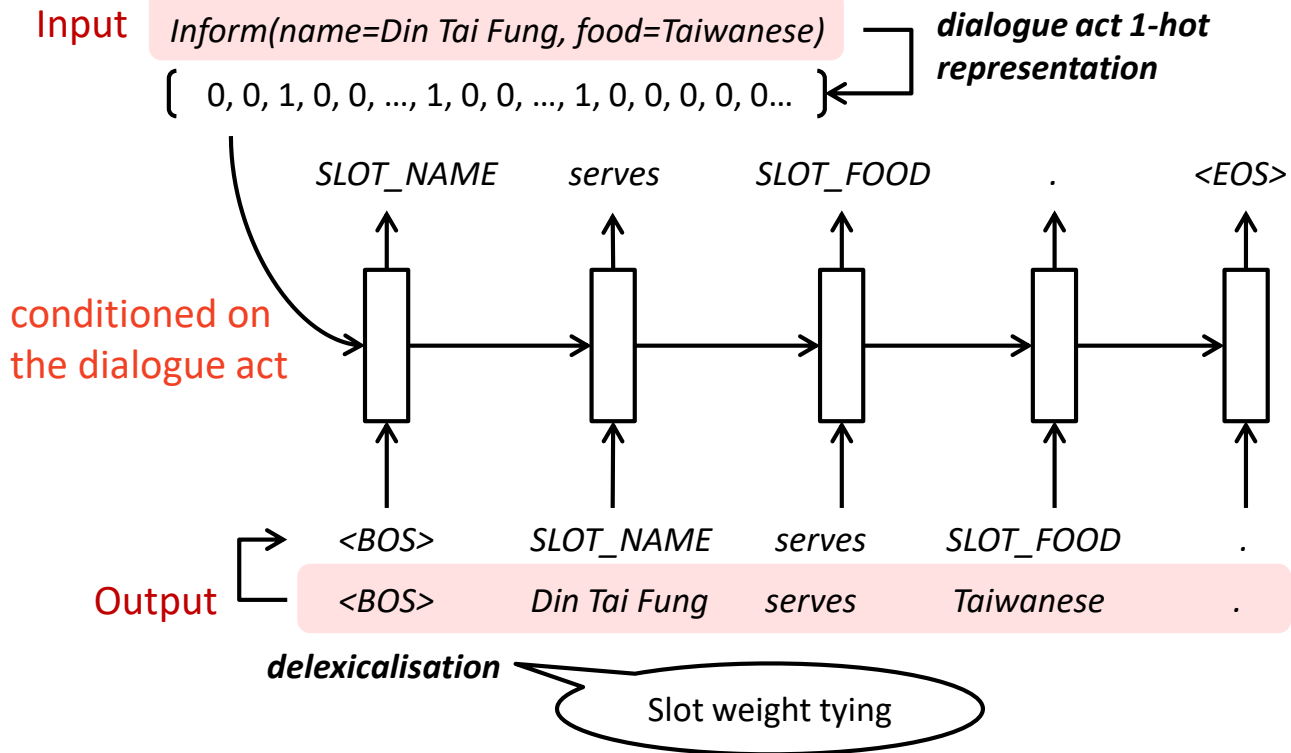
Classes:  
 inform\_area  
 inform\_address  
 ...  
 request\_area  
 request\_postcode



**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>


# 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

<http://www.aclweb.org/anthology/D/D15/D15-1199.pdf>

## Original LSTM cell

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

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

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

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

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

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

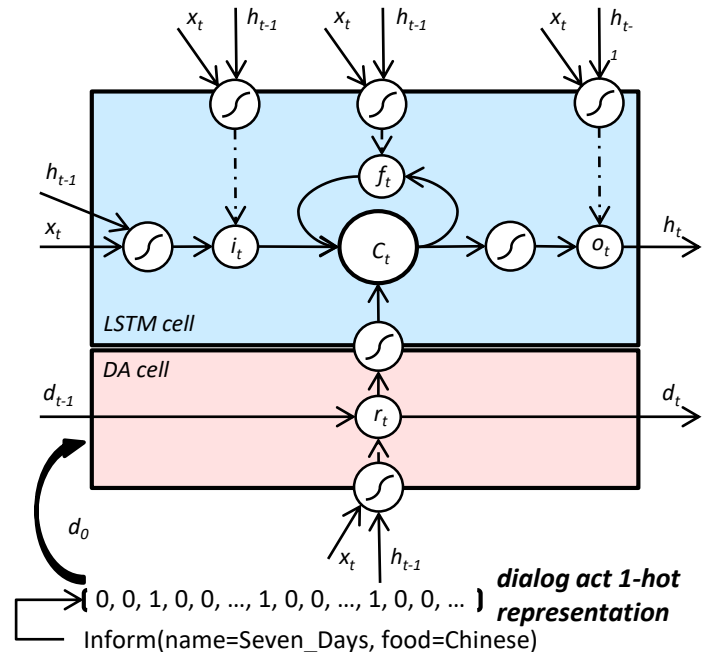
## Dialogue act (DA) cell

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

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

## Modify $\mathbf{C}_t$

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



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



# Structural NLG (Dušek & Jurčiček, 2016)

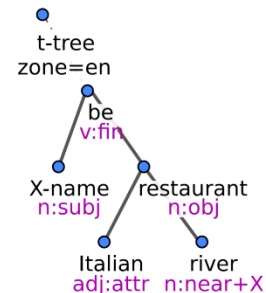
106

<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

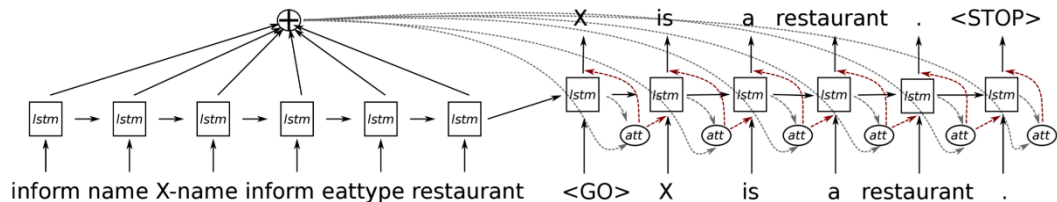
inform(name=X-name,type=placetoeat,eattype=restaurant, area=riverside,food=Italian)



( <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



INFORM-FOOD



Lexicalized value input:

chinese

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        | $x_i$             |           | $x_{i+1}$         |             | $x_{i+2}$         |             |
|              | ⟨ decor, decent ⟩ |           | ⟨ service, good ⟩ |             | ⟨ cuisine, null ⟩ |             |
| 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 | <B>          | decor   | decent  | service | decent  |      |
|            | <I>          | quality | good    |         |         |      |

# Contextual NLG (Dušek & Jurčiček, 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

preceding user utterance  
*is there another option*

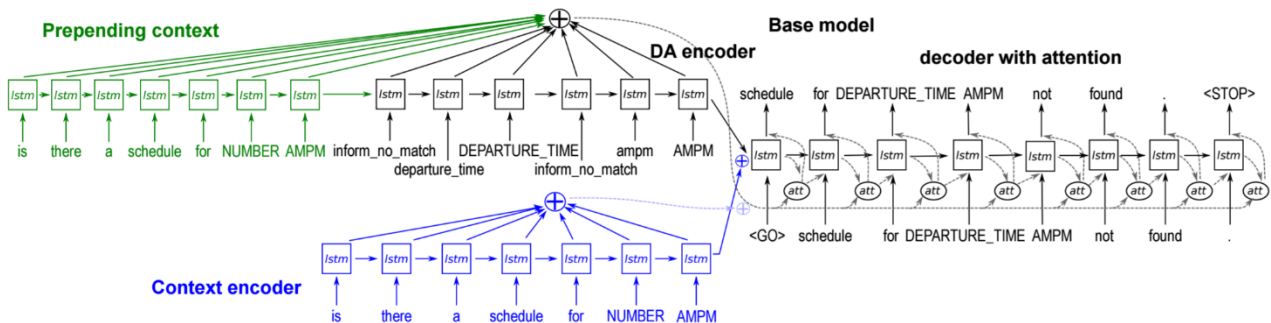
context-aware additions

inform(line=M102, direction=Herald Square,  
vehicle=bus, departure\_time=9:01am,  
from\_stop=Wall Street) **typical NLG**

~~Take bus-line M102 from Wall Street  
to Herald Square at 9:01am.~~

**There is a bus at 9:01am from Wall Street  
to Herald Square using line M102.**

**contextually bound response**



# 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)

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

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

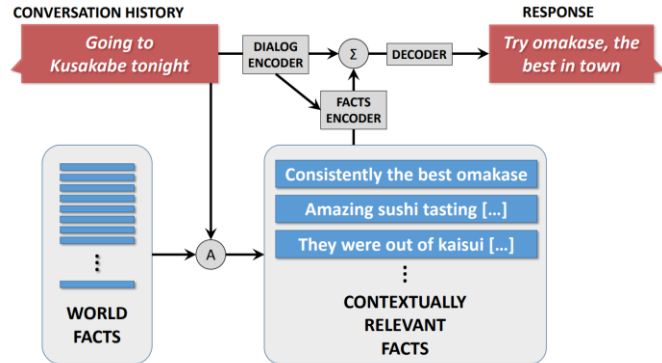


San Francisco

○ Kusakabe



**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.**

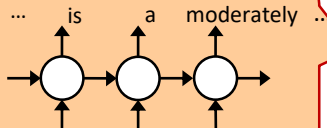
# Hierarchical NLG w/ Linguistic Patterns (Su+, 2018)

111

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

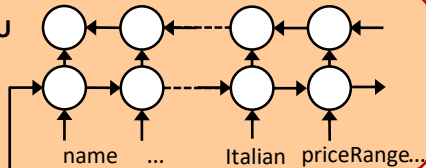
## GRU Decoder

1. Repeat-input
2. Inner-Layer Teacher Forcing
3. Inter-Layer Teacher Forcing
4. Curriculum Learning



last output  $y_{t-1}^i$  ...All Bar One is a ...  
 output from last layer  $y_t^{i-1}$  ...All Bar One is moderately..

## Bidirectional GRU Encoder



Semantic 1-hot Representation

[... 1, 0, 0, 1, 0, ...]

Input Semantics name[Midsummer House], food[Italian], priceRange[moderate], near[All Bar One]

ENCODER

henc

Near All Bar One is a moderately priced Italian place it is called Midsummer House

DECODING LAYER4

4. Others

All Bar One is moderately priced Italian place it is called Midsummer House

DECODING LAYER3

3. ADJ + ADV

All Bar One is priced place it is called Midsummer House

DECODING LAYER2

2. VERB

All Bar One place it Midsummer House

DECODING LAYER1

1. NOUN + PROPON + PRON

Hierarchical Decoder

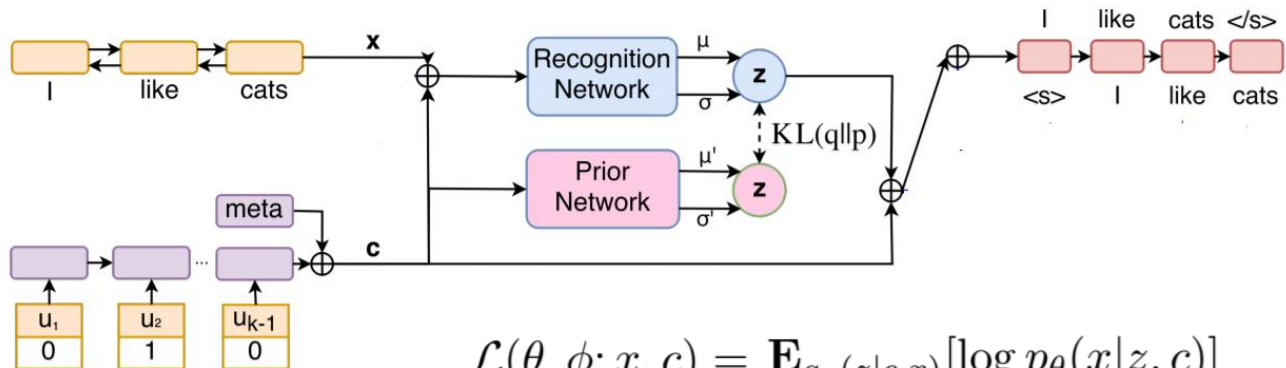
Idea: gradually generate words based on the linguistic knowledge

# 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

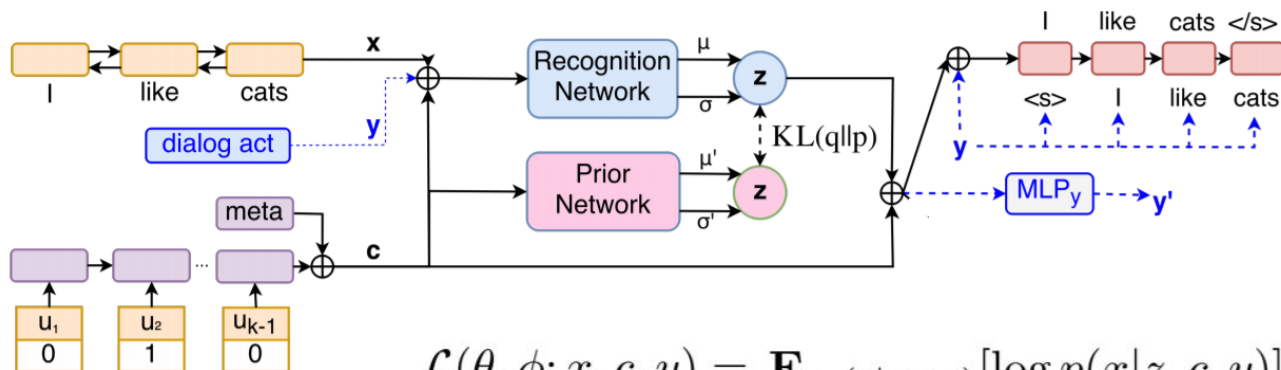
0/1 Conversation Floor

# 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



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

Utterance Encoder

Context Encoder

Response Decoder

0/1 Conversation Floor

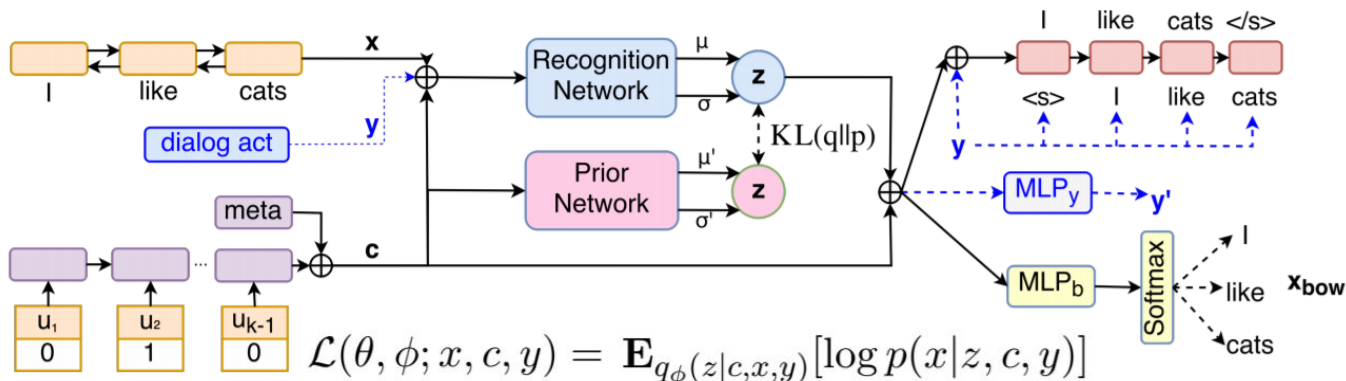


# Learning Discourse-Level Diversity (Zhao+, 2017)

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
- Conversation Floor

# NLG Evaluation

115

## □ 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

116

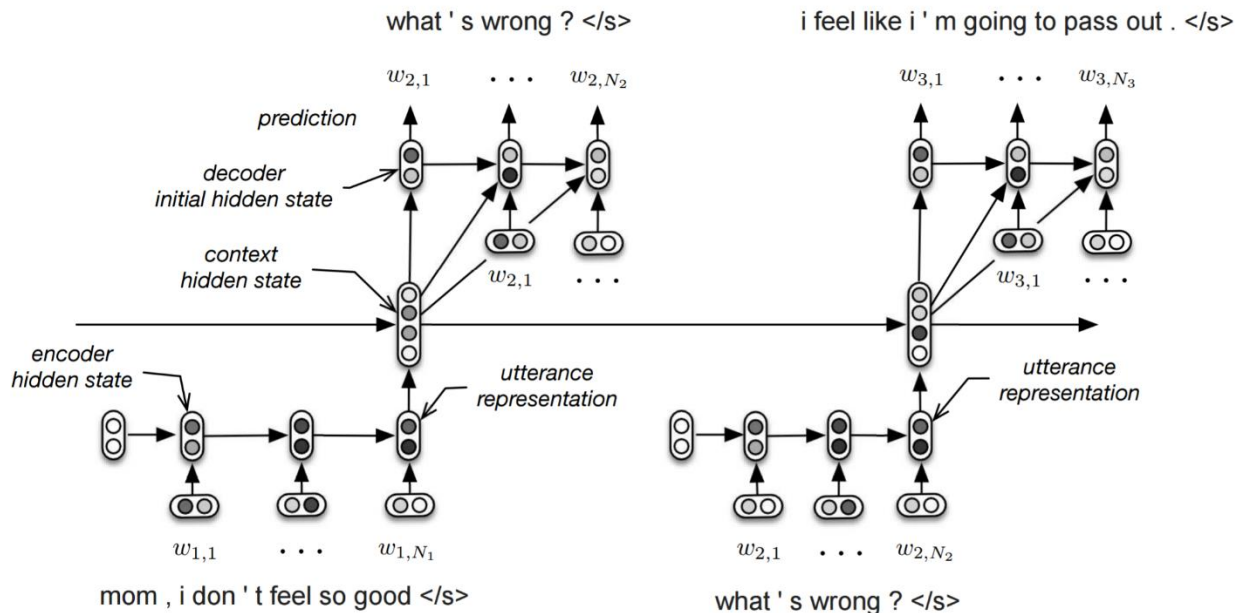
- Introduction & Background
  - ▣ Neural Networks
  - ▣ Reinforcement Learning
- Modular Dialogue System
  - ▣ Spoken/Natural Language Understanding (SLU/NLU)
  - ▣ Dialogue Management (DM)
    - Dialogue State Tracking (DST)
    - Dialogue Policy Optimization
  - ▣ Natural Language Generation (NLG)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

# ChitChat Hierarchical Seq2Seq (Serban+, 2016)

117

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

- A hierarchical seq2seq model for generating dialogues

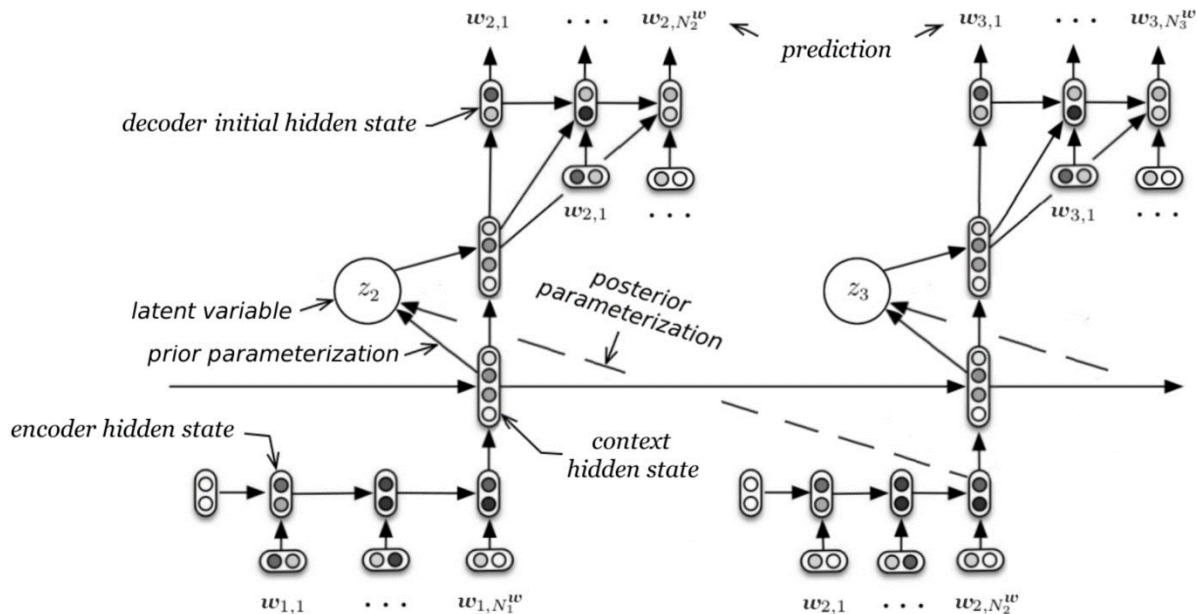


# ChitChat Hierarchical Seq2Seq (Serban+, 2017)

118

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

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



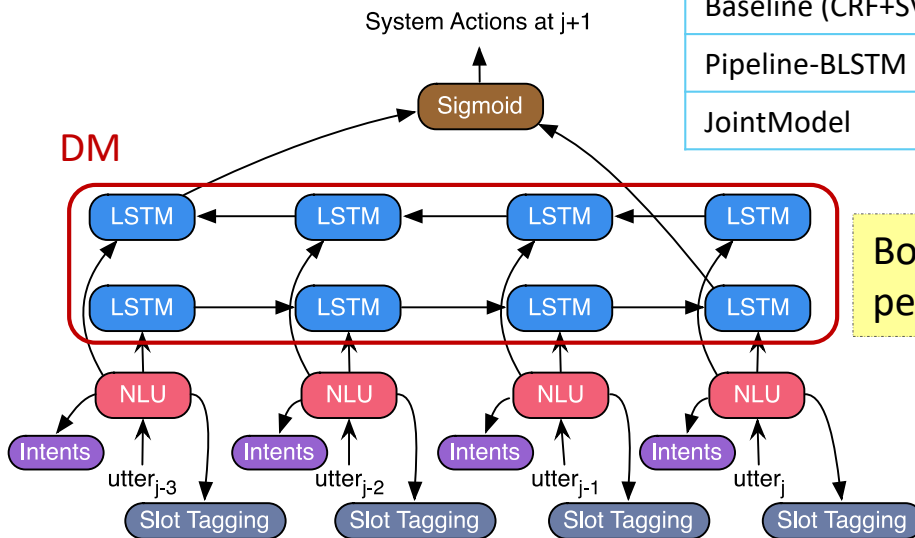
# E2E Joint NLU and DM (Yang+, 2017)

119

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

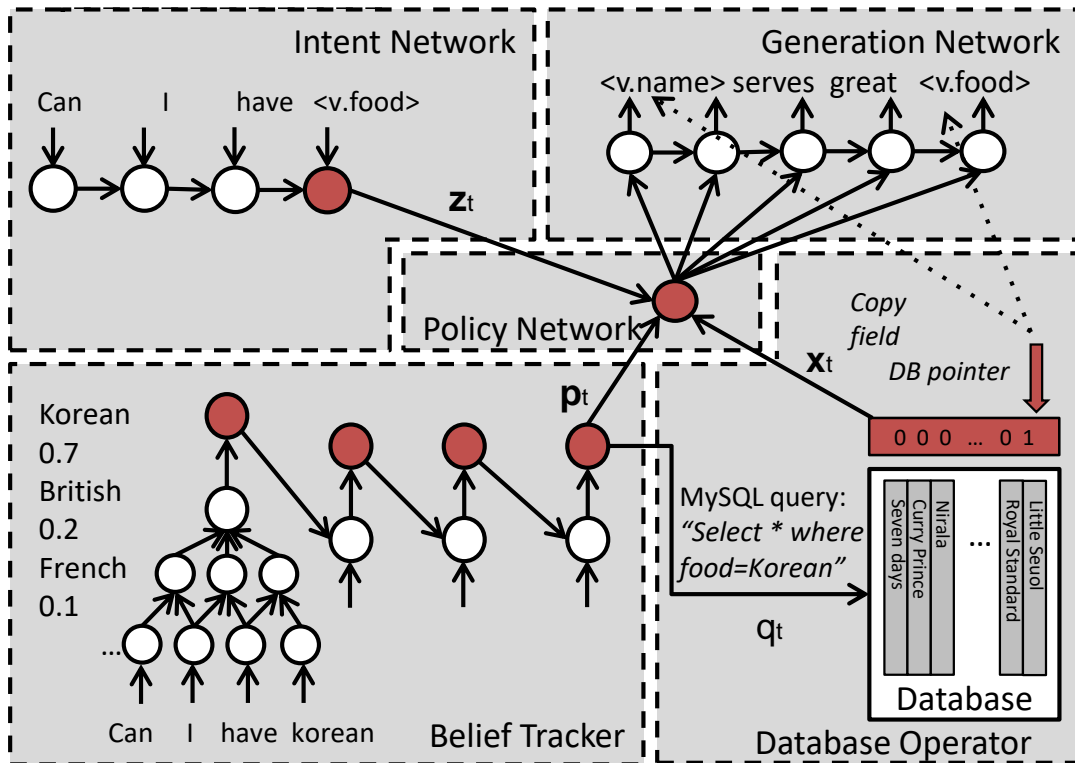
- Idea: errors from DM can be propagated to NLU for better robustness

| Model               | DM          | NLU         |
|---------------------|-------------|-------------|
| Baseline (CRF+SVMs) | 7.7         | 33.1        |
| Pipeline-BLSTM      | 12.0        | 36.4        |
| JointModel          | <b>22.8</b> | <b>37.4</b> |



# 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>

Movie=?; Actor=Bill Murray; Release Year=1993



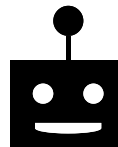
User

Find me the Bill Murray's movie.

When was it released?

I think it came out in 1993.

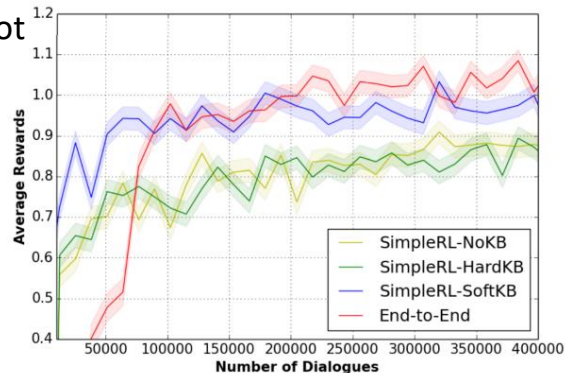
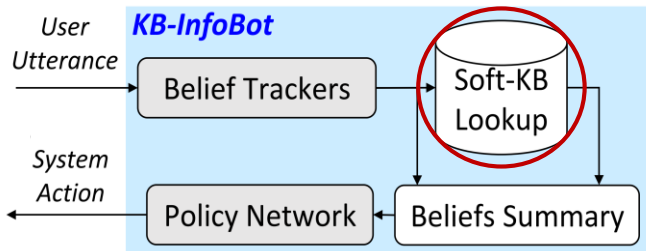
Groundhog Day is a Bill Murray movie which came out in 1993.



KB-InfoBot

## 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 |



Idea: differentiable database for propagating the gradients



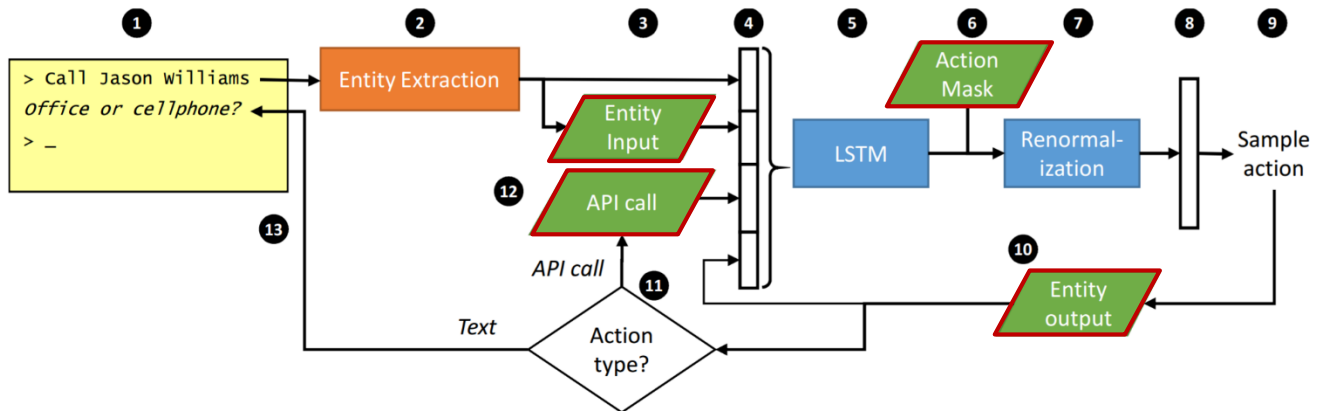
# E2E LSTM-Based Dialogue Control

(Williams & Zweig, 2016)

123

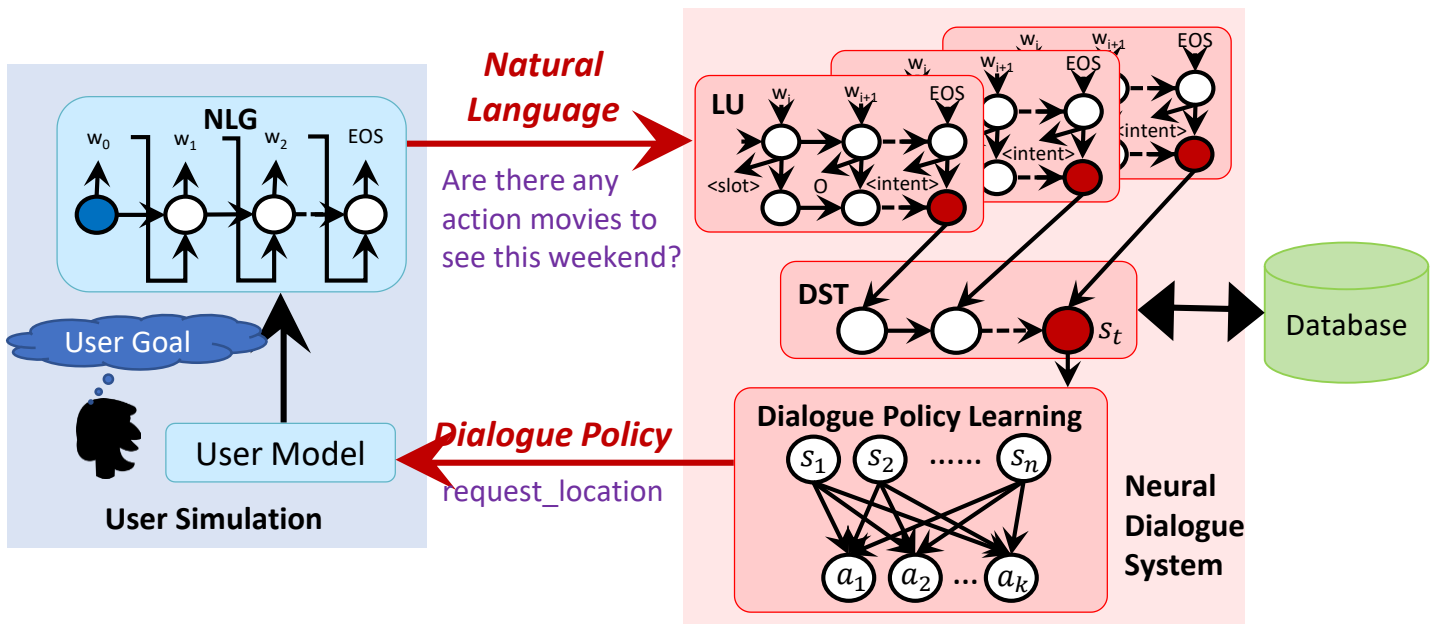
<https://arxiv.org/abs/1606.01269>

- 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!

## 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 pm at AMC pacific place 11 theater, Seattle, movie ‘Deadpool’.

User: Okay, thanks.

Agent: Thanks!

**Issue: no notion about what requests can be skipped**

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

# E2E Imitation and RL Agent (Liu+, 2018)

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

- Generate distribution over candidate slot values:

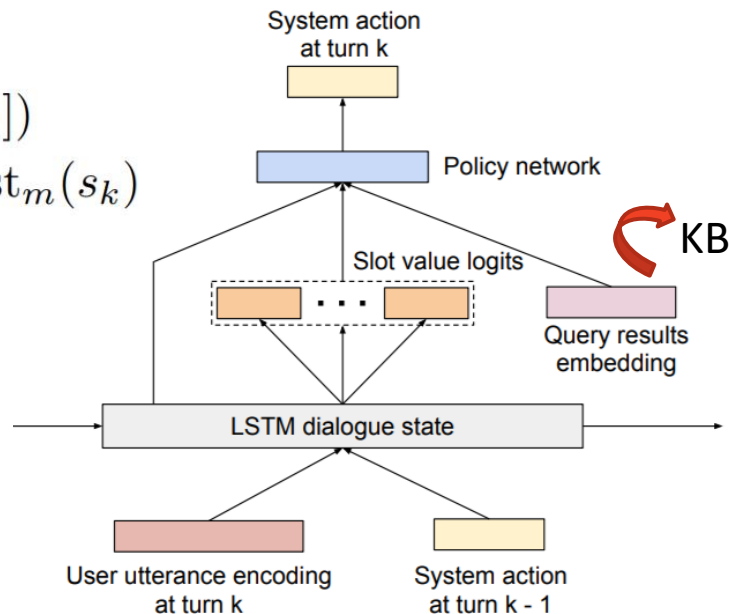
$$s_k = \text{LSTM}(s_{k-1}, [U_k, A_{k-1}])$$

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

- Generate system action:

$$P(a_k | U_{\leq k}, A_{<k}, E_{\leq k}) \\ = \text{PolicyNet}(s_k, v_k, E_k)$$

- Train Supervised  $\rightarrow$  REINFORCE



# Dialogue Challenge

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- DSTC: Dialog System Technology Challenge

| Challenge             | Track   | Theme   |
|-----------------------|---------|---|
| <a href="#">DSTC6</a> | Track 1 | End-to-End Goal-Oriented Dialog Learning                              |
|                       | Track 2 | End-to-End Conversation Modeling                                      |
|                       | Track 3 | Dialogue Breakdown Detection  |
| <a href="#">DSTC7</a> | Track 1 | Sentence Selection  |
|                       | Track 2 | Sentence Generation   |
|                       | Track 3 | AVSD: <b>A</b> udio <b>V</b> isual <b>S</b> cene-aware <b>D</b> ialog |

- SLT 2018 Microsoft Dialogue Challenge:  
[End-to-End Task-Completion Dialogue Systems](#)
- The Conversation Intelligence Challenge:  
[ConvAI2](#) - PersonaChat

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# 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)

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[http://www-scf.usc.edu/~zhaojuny/docs/SDSChapter\\_final.pdf](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?**

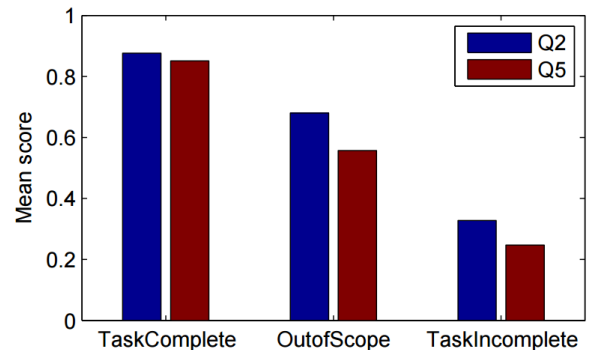
Opt 1) Very poor 2) Poor 3) Fair 4) Good 5) Very good

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.*



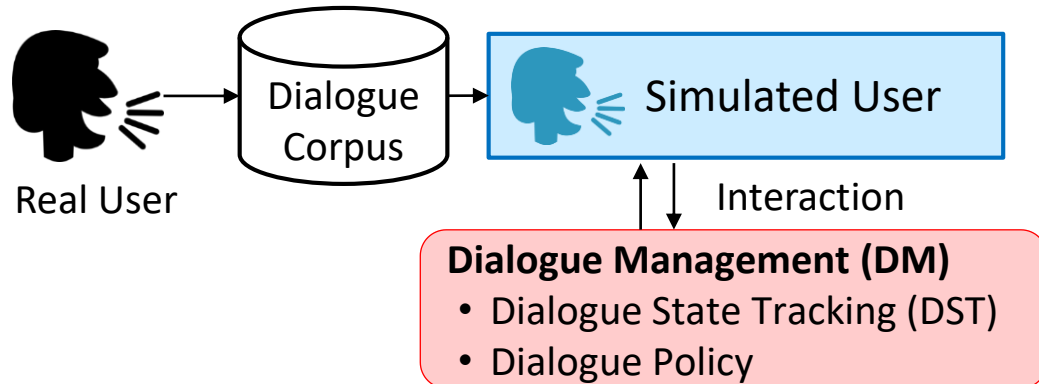
The normalized mean scores of Q2 and Q5 for approved ratings in each category. A higher score maps to a higher level of task success



# User Simulation

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- 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.



keeps a list of its goals  
and actions

randomly generates  
an agenda

updates its list of goals  
and adds new ones

# 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 ?*

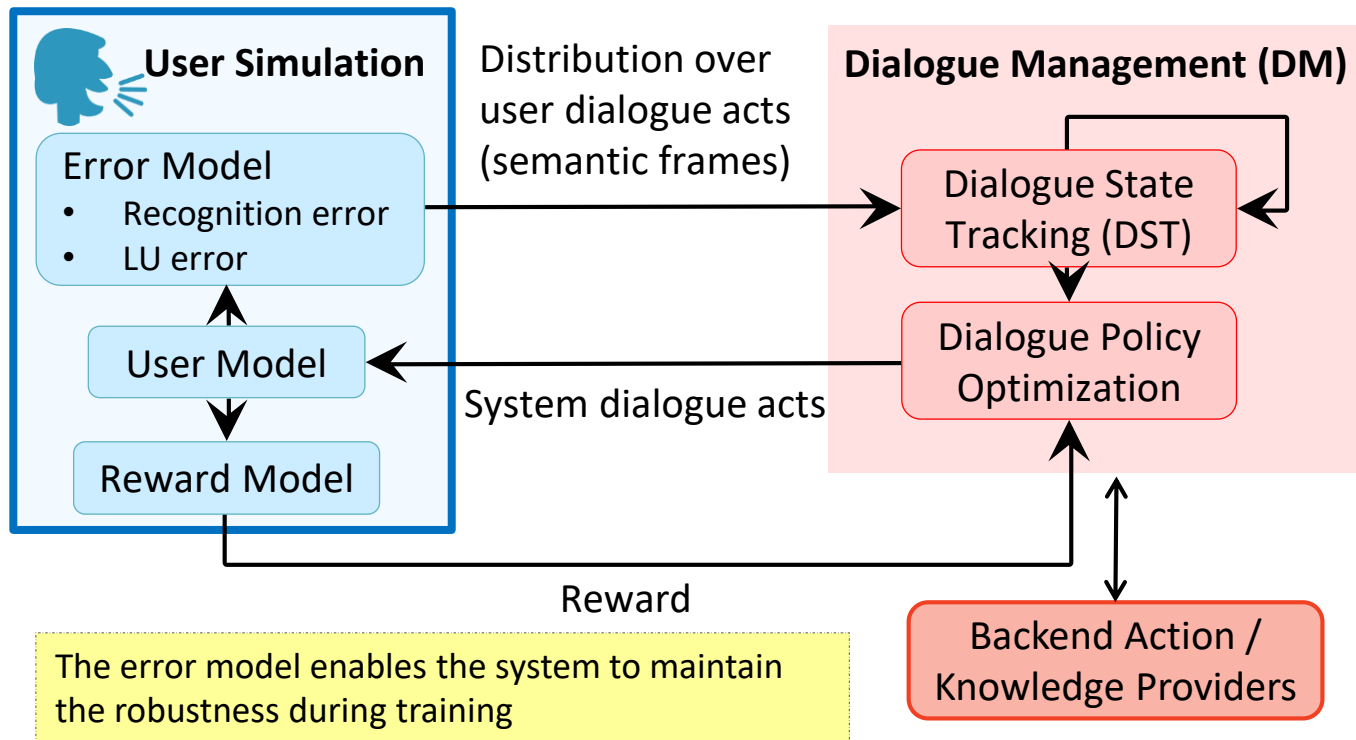
*'Hidden Figures' is playing  
at 4pm and 6 pm.*

*What is playing in  
Birmingham  
theaters today ?*

```
{  
  "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

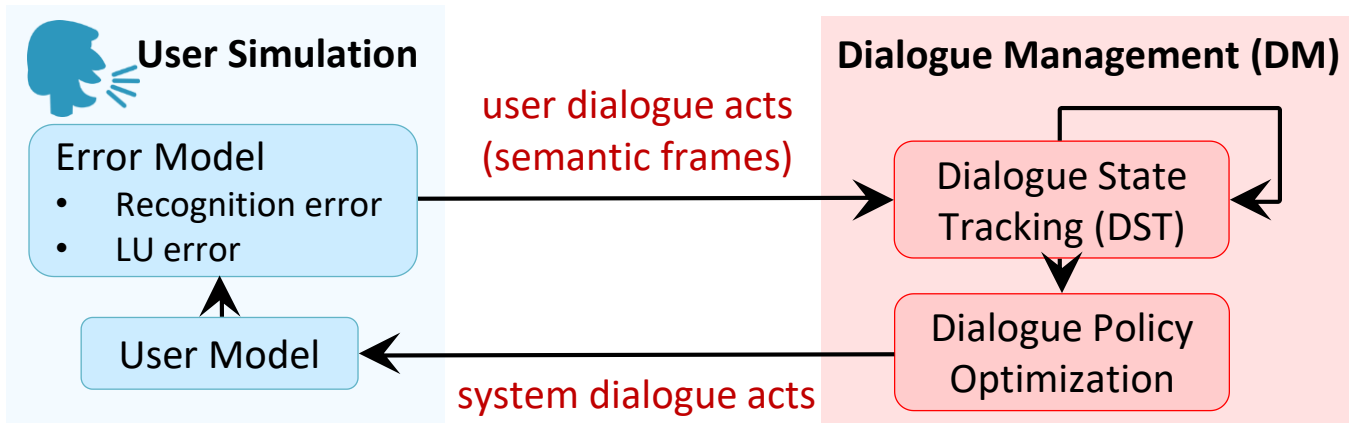
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# Frame-Level Interaction

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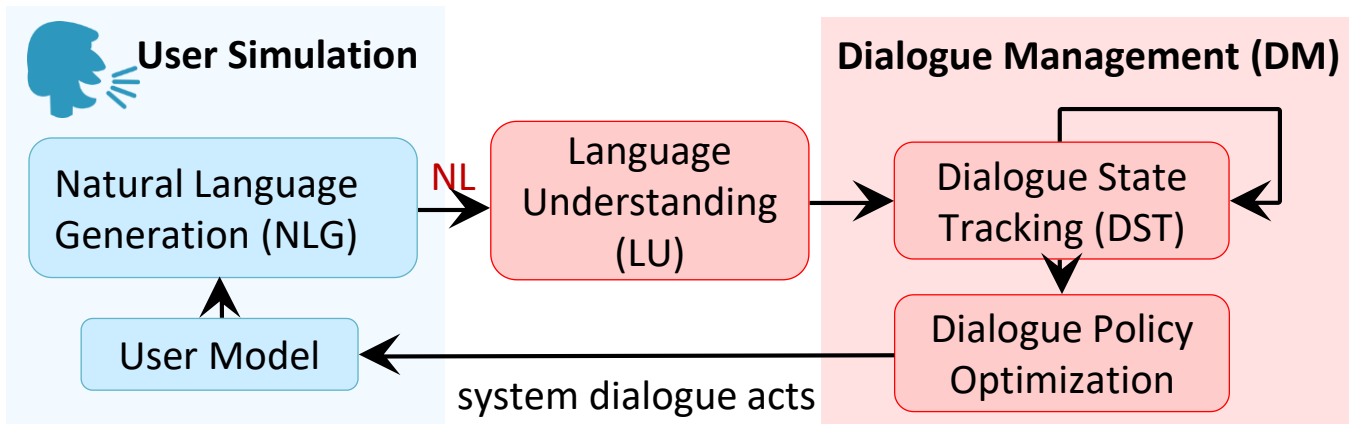
- DM receives frame-level information
  - ▣ No error model: perfect recognizer and LU
  - ▣ Error model: simulate the possible errors



# Natural Language Level Interaction

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



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

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<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

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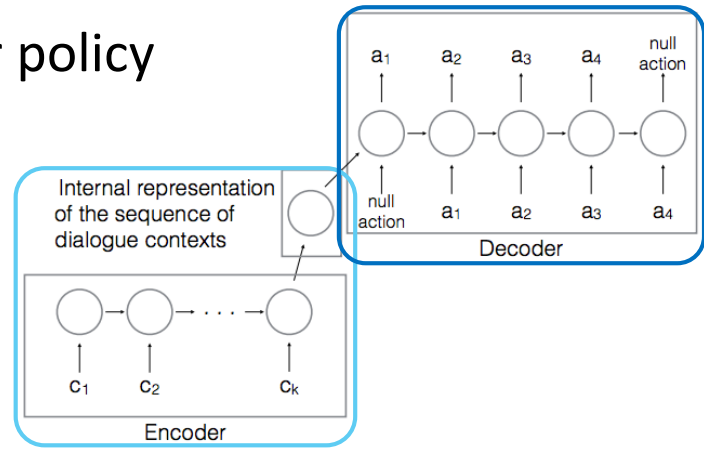
- Bi-gram models (Levin+, 2000)
- Graph-based models (Scheffler & Young, 2000)
- Data Driven Simulator (Jung+, 2009)
- Neural Models (deep encoder-decoder)

# 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

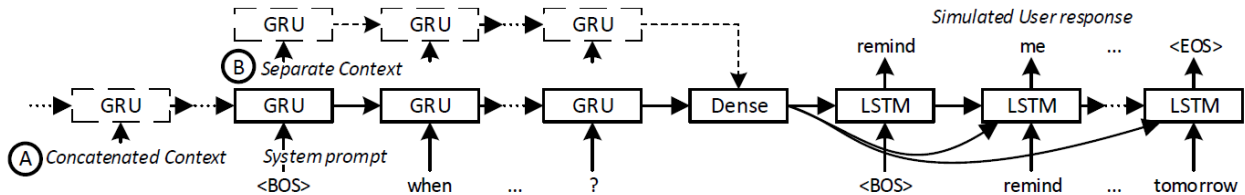




# Seq2Seq User Simulation (Crook & Marin, 2017)

139

- 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

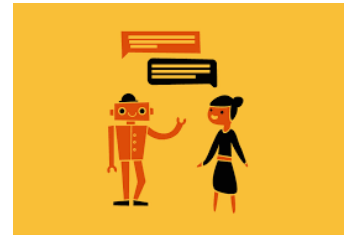
# How NOT to Evaluate Dialogue System

(Liu+, 2017)

141

<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)

142

- 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/uncoherent, 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!*

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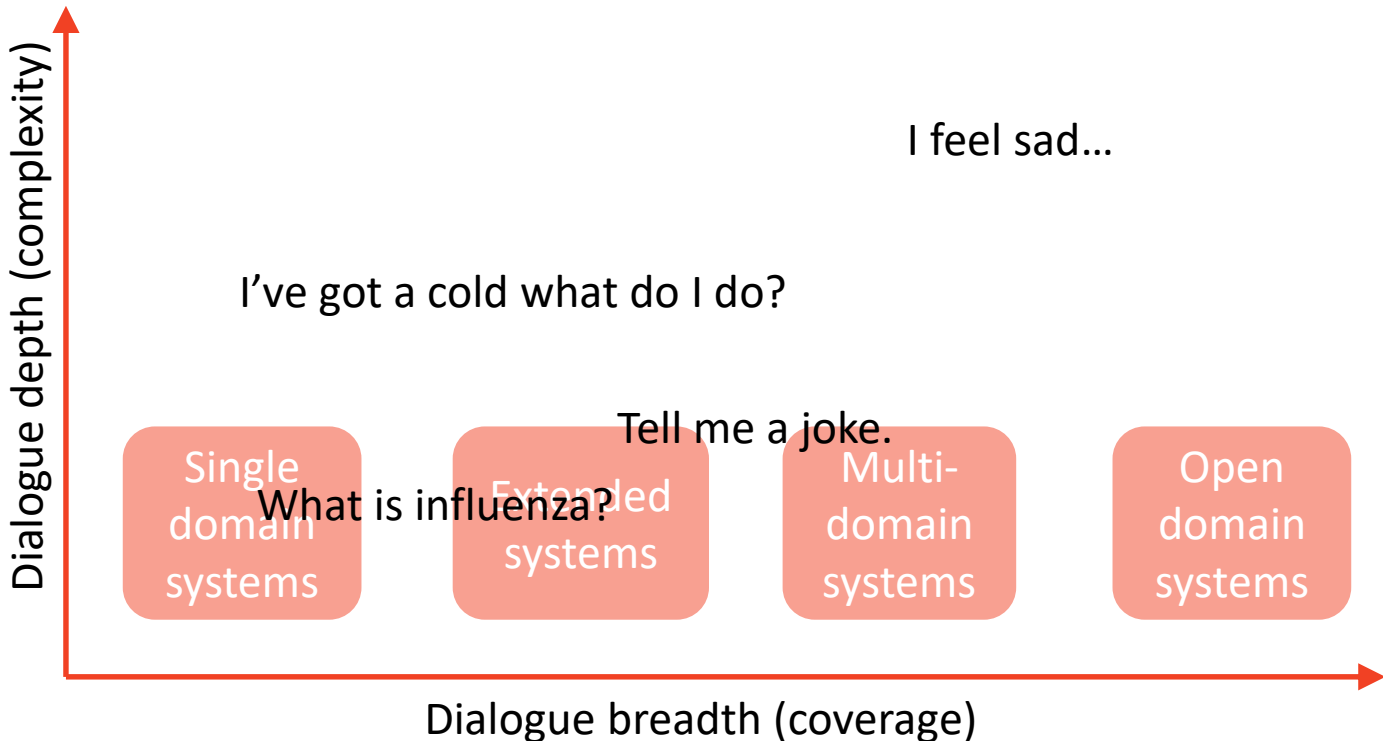
# Recent Trends and Challenges

Dialogue Breadth

Dialogue Depth

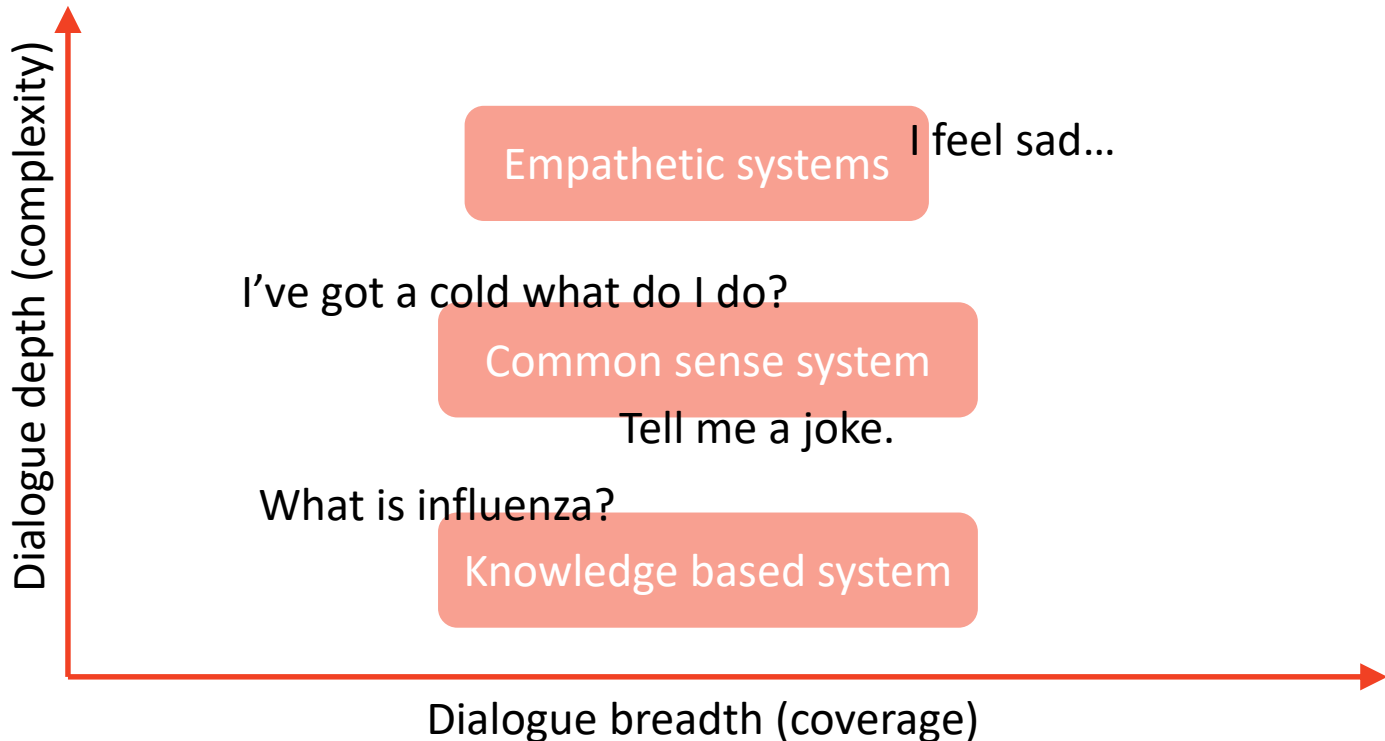
# Evolution Roadmap

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# Evolution Roadmap

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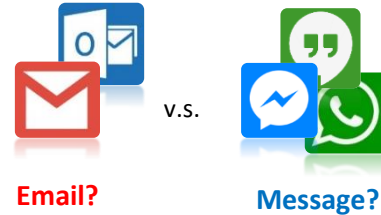


# App Behavior for Understanding (Chen+, 2015)

146

<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.lrec-conf.org/proceedings/lrec2016/pdf/75\\_Paper.pdf](http://www.lrec-conf.org/proceedings/lrec2016/pdf/75_Paper.pdf)

- High-level intention may span several domains

Schedule a lunch with Asli.



find restaurant



check location



contact

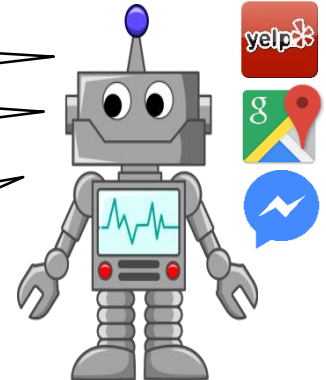


play music

What kind of restaurants do you prefer?

The distance is ...

Should I send the restaurant information to Asli?



Users can interact via high-level descriptions and the system learns how to plan the dialogues

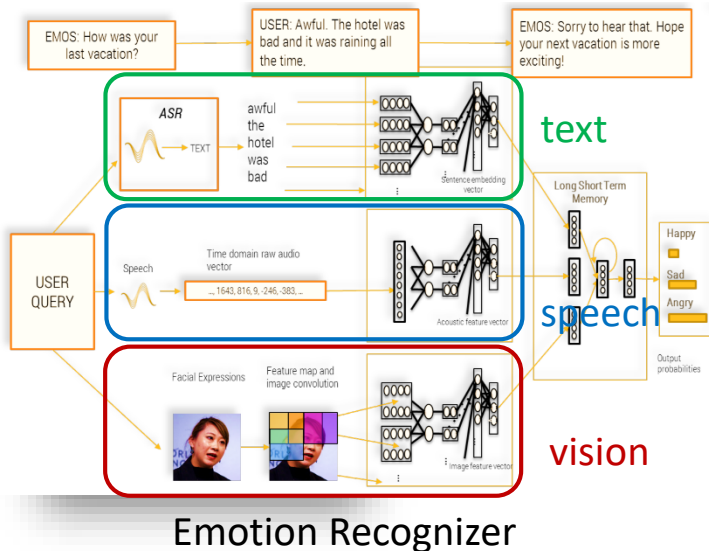
# Empathy in Dialogue System (Fung+, 2016)

148

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

Zara - The Empathetic Supergirl

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



USER: Awful. The hotel was bad and it was raining all the time.

EMOS: Sorry to hear that. Hope your next vacation is more exciting!

text

speech

vision

**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"
}

```

(index):1728  
(index):1729

# 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*

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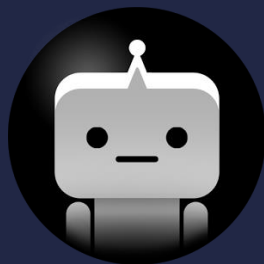
- Data collection is usually from unstructured data
- Most systems have complex cascaded architectures:
  - ▣ Requires high accuracy
  - ▣ Careful hyperparameter tuning
  - ▣ Correct objective function setting/balancing

# 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!