RICHER SYNTACTIC DEPENDENCIES FOR STRUCTURED LANGUAGE MODELING

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ABSTRACT

The paper investigates the use of richer syntactic dependencies in the structured language model (SLM). We present two simple methods of enriching the dependencies in the syntactic parse trees used for intializing the SLM. We evaluate the impact of both methods on the perplexity (PPL) and word-error-rate (WER, N-best rescoring) performance of the SLM. We show that the new model achieves an improvement in PPL and WER over the baseline results reported using the SLM on the UPenn Treebank and Wall Street Journal (WSJ) corpora, respectively.

1. INTRODUCTION

The structured language model uses hidden parse trees to assign conditional word-level language model probabilities. As explained in [1], Section 4.4.1, the potential reduction in PPL — relative to a 3-gram baseline — using the SLM's headword parametrization for word prediction is about 40%. The key to achieving this is a good guess of the final best parse for a given sentence as it is being traversed left-to-right. This is much harder than finding the final best parse for the entire sentence, as it is sought in a regular statistical parser. Nevertheless, it is expected that techniques developed in the statistical parsing community that aim at recovering the best parse for an entire sentence, i.e. as judged by a human annotator, should be productive in reducing the PPL of the SLM as well.

In this paper we present a simple and novel way of enriching the probabilistic dependencies in the CONSTRUCTOR component of the SLM showing that it leads to better PPL and WER performance of the model. Similar ways of enriching the dependency structure underlying the parametrization of the probabilistic model used for scoring a given parse tree are used in the statistical parsing community [2], [3]. Recently, such models [4], [5] have been shown to outperform the SLM in terms of PPL and WER on the UPenn Treebank and Wall Street Journal corpora, respectively. The simple modification we present brings the WER performance of the SLM at the same level with the best reported in [5], despite a modest improvement in PPL when interpolating the SLM with a 3-gram model.

The remaining part of the paper is organized as follows: Section 2 briefly describes the SLM. Section 3 discusses the binarization and headword percolation procedure used in the standard training of the SLM followed by a description of the procedure used for enriching the syntactic dependencies in the SLM. Section 4 describes the experimental setup and results. Section 5 discusses the results and indicates future research directions.

2. STRUCTURED LANGUAGE MODEL OVERVIEW

An extensive presentation of the SLM can be found in [1]. The model assigns a probability $P(W,T)$ to every sentence W and its every possible binary parse T. The terminals of T are the words of W with POStags, and the nodes of T are annotated with phrase headwords and non-terminal labels. Let W be a sentence of length n words to which

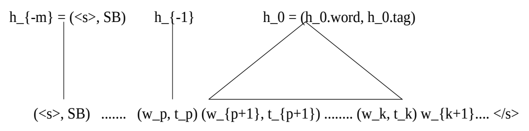
h_{-m} = (<s>, SB)
h_{-1}
h_0 = (h_0.word, h_0.tag)
(<s>, SB) .... (w_p, t_p) (w_{p+1}, t_{p+1}) .... (w_k, t_k) w_{k+1}.... </s>

Fig. 1. A word-parse k-prefix

we have prepended the sentence begining marker `<s>` and appended the sentence end marker `</s>` so that w_0 =`<s>` and w_{n+1} =`</s>`. Let $W_k = w_0 \ldots w_k$ be the word k-prefix of the sentence — the words from the begining of the sentence up to the current position k — and $W_k T_k$ the *word-parse k-prefix*. Figure 1 shows a word-parse k-prefix; `h_0 .. h_{-m}` are the *exposed heads*, each head being a pair (headword, non-terminal label), or (word, POStag) in the case of a root-only tree. The exposed heads at a given position k in the input sentence are a function of the word-parse k-prefix.

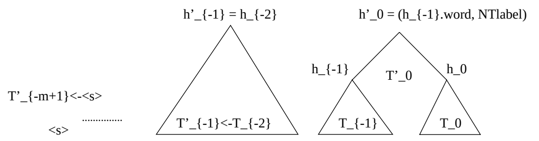

Fig. 2. Result of adjoin-left under NTlabel

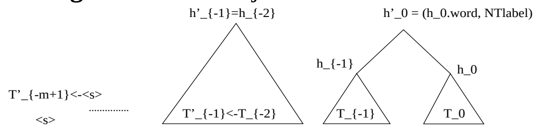

Fig. 3. Result of adjoin-right under NTlabel

2.1. Probabilistic Model

The joint probability $P(W,T)$ of a word sequence W and a complete parse T can be broken into:

$$P(W,T) = \prod_{k=1}^{n+1}[\ P(w_k/W_{k-1}T_{k-1}) \cdot P(t_k/W_{k-1}T_{k-1},w_k) \cdot \prod_{i=1}^{N_k} P(p_i^k/W_{k-1}T_{k-1},w_k,t_k,p_1^k \ldots p_{i-1}^k)]\quad (1)$$

where:
• $W_{k-1}T_{k-1}$ is the word-parse $(k-1)$-prefix
• w_k is the word predicted by WORD-PREDICTOR
• t_k is the tag assigned to w_k by the TAGGER
• $N_k - 1$ is the number of operations the CONSTRUCTOR executes at sentence position k before passing control to the WORD-PREDICTOR (the N_k-th operation at position k is the `null` transition); N_k is a function of T
• p_i^k denotes the i-th CONSTRUCTOR operation carried out at position k in the word string; the operations performed by the CONSTRUCTOR are illustrated in Figures 2-3 and they ensure that all possible binary branching parses with all possible headword and non-terminal label assignments for the $w_1 \ldots w_k$ word sequence can be generated. The $p_1^k \ldots p_{N_k}^k$ sequence of CONSTRUCTOR operations at position k grows the word-parse $(k-1)$-prefix into a word-parse k-prefix.

Our model is based on three probabilities, each estimated using deleted interpolation and parameterized (approximated) as follows:

$$\begin{aligned} P(w_k/W_{k-1}T_{k-1}) &= P(w_k/h_0,h_{-1}) && (2)\\ P(t_k/w_k,W_{k-1}T_{k-1}) &= P(t_k/w_k,h_0,h_{-1}) && (3)\\ P(p_i^k/W_kT_k) &= P(p_i^k/h_0,h_{-1}) && (4)\end{aligned}$$

It is worth noting that if the binary branching structure developed by the parser were always right-branching and we mapped the POStag and non-terminal label vocabularies to a single type then our model would be equivalent to a trigram language model. Since the number of parses for a given word prefix W_k grows exponentially with k, $|\{T_k\}| \sim O(2^k)$, the state space of our model is huge even for relatively short sentences, so we had to use a search strategy that prunes it. Our choice was a synchronous multi-stack search algorithm which is very similar to a beam search.

The *language model* probability assignment for the word at position $k+1$ in the input sentence is made using:

$$\begin{aligned} P_{SLM}(w_{k+1}/W_k) &= \sum_{T_k \in S_k} P(w_{k+1}/W_kT_k) \cdot \rho(W_k,T_k),\\ \rho(W_k,T_k) &= P(W_kT_k)/\sum_{T_k \in S_k} P(W_kT_k) && (5)\end{aligned}$$

which ensures a proper probability over strings W^*, where S_k is the set of all parses present in our stacks at the current stage k.

Each model component — WORD-PREDICTOR, TAGGER, CONSTRUCTOR — is initialized from a set of parsed sentences after undergoing headword percolation and binarization, see Section 3. An N-best EM [6] variant is then employed to jointly reestimate the model parameters such that the PPL on training data is decreased — the likelihood of the training data under our model is increased. The reduction in PPL is shown experimentally to carry over to the test data.

3. HEADWORD PERCOLATION AND BINARIZATION

As explained in the previous section, the SLM is initialized on parse trees that have been binarized and the non-terminal (NT) tags at each node have been enriched with headwords. We will briefly review the headword percolation and binarization procedures; they are explained in detail in [1].

The position of the headword within a constituent — equivalent with a context-free production of the type $Z \rightarrow Y_1 \ldots Y_n$, where $Z, Y_1, \ldots Y_n$ are NT labels or POStags (only for Y_i) — is identified using a rule-based approach.

Assuming that the index of the headword on the right-hand side of the rule is k, we binarize the constituent as follows: depending on the Z identity we apply one of the two binarization schemes in Figure 4. The intermediate nodes created by the above binarization schemes receive the NT label Z'[1]. The choice among the two schemes is made according to a list of rules based on the identity of the label on the left-hand-side of a CF rewrite rule.

Under the equivalence classification in Eq. (4), the conditioning information available to the CONSTRUCTOR model component is the two most-recent exposed heads consisting of two NT tags and two headwords. In an attempt to extend the syntactic dependencies beyond this level, we enrich the non-terminal tag of a node in the binarized parse tree with

[1]Any resemblance to X-bar theory is purely coincidental.

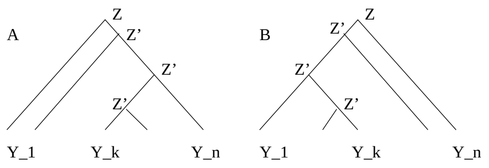

Fig. 4. Binarization schemes

the NT tag of one if its children or both. We distinguish between two ways of picking the child from which the NT tag is being percolated:

1. same: we use the non-terminal tag of the node from which the headword is being percolated

2. opposite: we use the non-terminal tag of the sibling node from which the headword is being percolated

For example, the noun phrase constituent

```
(NP
    (DT the)
    (NNP dutch)
    (VBG publishing)
    (NN group))
```

becomes

```
(NP_GROUP
    (DT the)
    (NP'_GROUP
        (NNP dutch)
        (NP'_GROUP (VBG publishing)
                   (NN group))))
```

after binarization and headword percolation and

```
(NP+NP'_GROUP
    (DT the)
    (NP'+NP'_GROUP
         (NNP dutch)
         (NP'+NN_GROUP (VBG publishing)
                       (NN group))))
```

or

```
(NP+DT_GROUP
    (DT the)
    (NP'+NNP_GROUP
         (NNP dutch)
         (NP'+VBG_GROUP (VBG publishing)
                        (NN group))))
```

after enriching the non-terminal tags using the *same* and *opposite* scheme, respectively.

A given binarized tree is traversed recursively in depth first order and each constituent is enriched in the above manner. The SLM is then initialized on the resulting parse trees.

Although it is hard to find a direct correspondence between the above way of enriching the dependency structure of the probability model and the ones used in [2], [4] or [5], they are similar.

4. EXPERIMENTS

We have evaluated the PPL performance of the model on the UPenn Treebank and the WER performance in the setups described in [1], respectively.

4.1. Perplexity experiments on the UPenn Treebank

For convenience, we chose to evaluate the performance of the enriched SLM on the UPenn Treebank corpus [7] — a subset of the Wall Street Journal (WSJ) corpus [8].

We have evaluated the perplexity of the two different ways of enriching the non-terminal tags in the parse tree and of using both of them at the same time. For each way of initializing the SLM we have performed 3 iterations of N-best EM. The word and POS-tagger vocabulary sizes were 10,000 and 40, respectively. The NT tag/CONSTRUCTOR operation vocabulary sizes were 52/157, 954/2863, 712/2137, 3816/11449 for the baseline, *opposite*, *same* and both initialization schemes, respectively. The SLM is interpolated with a 3-gram model — built on exactly the same training data/word vocabulary as the SLM — using a fixed interpolation weight:

$$P(\cdot) = \lambda \cdot P_{3gram}(\cdot) + (1 - \lambda) \cdot P_{SLM}(\cdot)$$

The results are summarized in Table 1. The *baseline* model is the standard SLM as described in [1]. As can be seen,

Model	Iter	λ = 0.0	λ = 0.6	λ = 1.0
baseline	0	167.38	151.89	166.63
baseline	3	158.75	148.67	166.63
opposite	0	157.61	146.99	166.63
opposite	3	150.83	<u>144.08</u>	166.63
same	0	163.31	149.56	166.63
same	3	155.29	146.39	166.63
both	0	160.48	147.52	166.63
both	3	153.30	144.99	166.63

Table 1. Deleted Interpolation 3-gram + SLM; PPL Results

the model initialized using the *opposite* scheme performed best, reducing the PPL of the SLM by 5% relative to the SLM baseline performance. However the improvement in PPL is minor after interpolating with the 3-gram model.

Model	Iter	Interpolation weight					
		0.0	0.2	0.4	0.6	0.8	1.0
baseline SLM WER, %	0	13.1	13.1	13.1	13.0	13.4	**13.7**
opposite SLM WER, %	0	12.7	12.8	12.7	<u>12.7</u>	13.1	**13.7**
MPSS significance test p-value		0.020	0.017	0.014	<u>0.005</u>	0.070	—

Table 2. Back-off 3-gram + SLM; N-best rescoring WER Results and Statistical Significance

4.2. N-best rescoring results

We chose to evaluate in the WSJ DARPA'93 HUB1 test setup. The size of the test set is 213 utterances, 3446 words. The 20kwds open vocabulary and baseline 3-gram model — used for generating the lattices and the N-best lists — are the standard ones provided by NIST and LDC — see [1] for details. The SLM was trained on 20Mwds of WSJ text automatically parsed using the parser in [9], binarized and enriched with headwords and the *opposite* NT tag information as explained in Section 3. The results are presented in Table 2.

Since the rescoring experiments are expensive, we have only evaluated the WER performance of the model intialized using the *opposite* scheme. The enriched SLM achieves 0.3-0.4% absolute reduction in WER over the performance of the baseline SLM and a full 1.0% absolute over the baseline 3-gram model, for a wide range of values of the interpolation weight. We note that the performance of the SLM as a second pass language model is the same even without interpolating it with the 3-gram model[2] ($\lambda = 0.0$).

We have evaluated the statistical significance of the results relative to the 3-gram baseline using the standard test suite in the SCLITE package provided by NIST. We believe that for WER statistics the most relevant significance test is the Matched Pair Sentence Segment one. The results are presented in Table 2. As it can be seen the improvement achieved by the SLM is highly significant at all values of the interpolation weight λ except for $\lambda = 0.8$.

5. CONCLUSIONS AND FUTURE DIRECTIONS

We have presented a simple but effective method of enriching the syntactic dependencies in the structured language model (SLM) that achieves 0.3-0.4% absolute reduction in WER over the best previous results reported using the SLM on WSJ. The implementation could be greatly improved by predicting only the relevant part of the enriched non-terminal tag and then adding the part inherited from the child. A more comprehensive study of the most productive ways of increasing the probabilistic dependencies in the parse tree would be desirable.

[2]The N-best lists are generated using the baseline 3-gram model so this is not indicative of the performance of the SLM as a first pass language model.

6. ACKNOWLEDGEMENTS

The authors would like to thank Brian Roark for making available the N-best lists for the HUB1 test set. The SLM is publicly available at:
ftp://ftp.clsp.jhu.edu/pub/clsp/chelba/SLM_RELEASE.

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