



Neural Approaches to Conversational Information Retrieval

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Outline

- Part 1: Introduction
 - A short definition of CIR
 - Task-oriented dialog and Web search
 - Research tasks of CIR
- Part 2: Conversational question answering (QA) methods
- Part 3: Conversational search methods
- Part 4: Overview of public and commercial systems

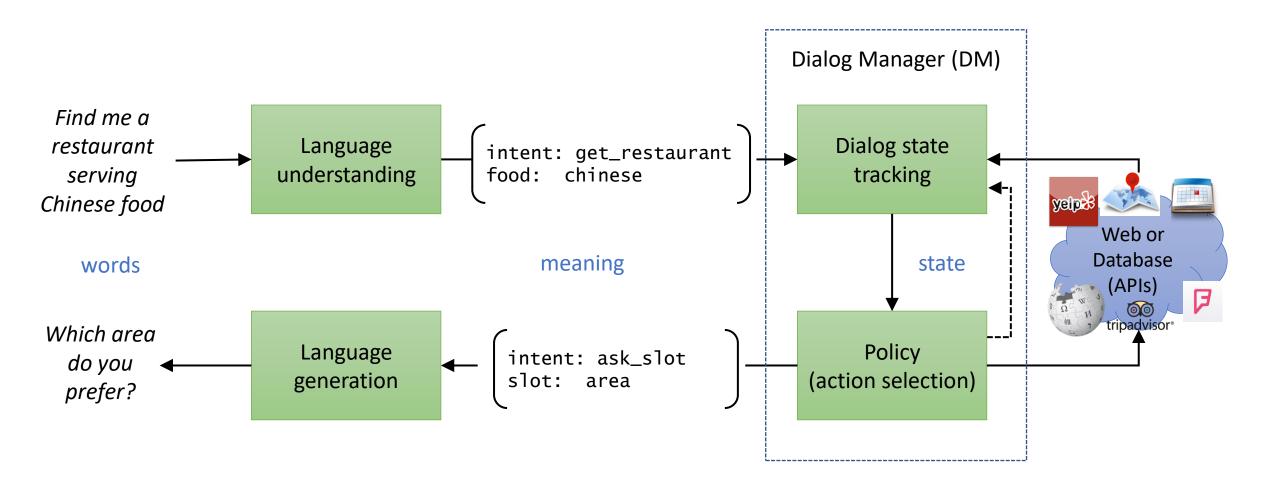
Who should attend this tutorial?

- Whoever wants to understand and develop modern CIR systems that
 - Can interact with users for information seeking via conversation
 - Can answer questions
 - Can help users search / look up information
 - Can help users with learning and investigating tasks
 - ...
- Focus on neural approaches in this tutorial
- Hybrid approaches that combine classical AI methods and deep learning methods are widely used to build real-world systems

A short definition of CIR

- A Conversational Information Retrieval (CIR) system is
 - an information retrieval (IR) system with
 - a conversational interface which
 - allows users to interact with the system to seek information
 - via multi-turn conversations of natural language.
- CIR is a task-oriented dialog system (aka. task-oriented bot)
 - Complete tasks (e.g., information seeking) via multi-turn conversations of natural language

Classical task-oriented dialog system architecture



User-System interaction in task-oriented dialog

- User: know (approximately) what she needs, but not what is available.
- System: know what is available, but not what the user needs
- dialog: a two-way process in which user and system get to know each other to make a deal

A (multi-domain) dialog session

DB State

Attraction

```
"address": "98 king street",
"area": "centre",
"entrance fee": "free"
"id": "5",
"location": [
   52.207409.
   0.126738
"name": "broughton house gallery",
"openhours": "?",
"phone": "01223314960",
"postcode": "cb11ln",
"pricerange": "free".
"type": "museum"
```

Restaurant

```
"address": "106 Regent Street City Centre",
"area": "centre",
"food": "indian",
"id": "19214",
"introduction": "curry garden serves tradition
bangladeshi cuisine cooked with fresh produce
"location": [
   52.200187,
   0.126407
"name": "curry garden"
"phone": "01223302330",
"postcode": "cb21dp",
"pricerange": "expensive",
"type": "restaurant"
```

- **H:** I am looking for a museum in the center of town do you have any suggestion?
- **M:** there are 6 museums in the *centre* of town. how about the *Broughton* house gallery at 98 king street?
- **H:** nice, can you tell me what is the phone number and address?
- M: the phone number for the *Broughton house gallery* is 01223314960 and they are located at 98 king street.
- H: ok thanks, can you recommend a restaurant in the same area serving Indian food
- M: <u>curry garden</u> serves <u>Indian</u> food and is located in the <u>centre</u>. would you like me to make a reservation?
- **H:** sure, please book a table for two people on thursday at 18:00
- **M:** ok , i have a table for <u>2</u> at <u>18:00</u> on <u>Thursday</u> . your reference number is 1234567890 . is there anything else I can help you with?
- **H:** that's it, bye.
- M: have a great time and please contact us if you need any further assistance. 10 goodbye.

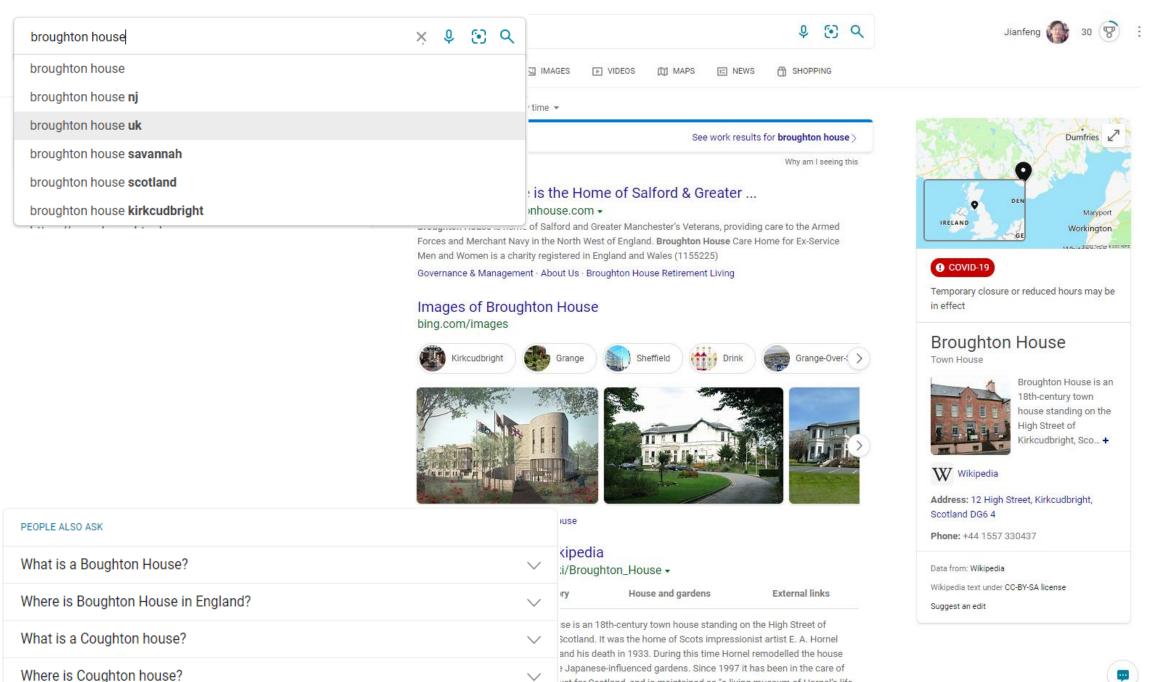
Belief State

```
Belief state:
'attraction':{'type': 'museum',
'area': 'centre'}
```

```
Belief state:
'restaurant': {'food': 'indian', 'area':
'centre'},
'booking': {'day': 'Thursday',
'people': '2', 'time': '18:00'},
'attraction':{'type': 'museum',
'area': 'centre'}
```

User-system interaction in Web search

- User: know (roughly) what she needs, but not what is available.
- System: know what is available, but not what a user needs
- Generally viewed as a one-way information seeking process
 - User plays a proactive role to iteratively
 - issue a query,
 - inspect search results,
 - reformulate the query
 - System plays a passive role to make search more effective
 - Autocomplete a query
 - Organize search results (SERP)
 - Suggest related queries



Feedback

ust for Scotland, and is maintained as "a living museum of Hornel's life house is a category A listed building, and the gardens are included on

System should interact with users more actively

- How people search -- Information seeking
 - Information lookup short search sessions;
 - Exploratory search based on a dynamic model, an iterative "sense-making" process where users learn as they search, and adjust their information needs as they see search results.
- Effective information seeking requires interaction btw users and a system that explicitly models the interaction by
 - Tracking belief state (user intent)
 - Asking clarification questions
 - Providing recommendations
 - Using natural language as input/output

A long definition of CIR - the RRIMS properties

- User Revealment: system helps users express their information needs
 - E.g., query suggestion, autocompletion
- System Revealment: system reveals to users what is available, what it can or cannot do
 - E.g., recommendation, SERP
- Mixed Initiative: system and user both can take initiative (two-way conversation)
 - E.g., asking clarification questions
- Memory: user can reference past statement
 - State tracking
- Set Retrieval: system can reason about the utility of sets of complementary items
 - Task-oriented, contextual search or QA

CIR research tasks (task-oriented dialog modules)

- What we will cover in this tutorial
 - Conversational Query Understanding (LU, belief state tracking)
 - Conversational document ranking (database state tracking)
 - Learning to ask clarification questions (action select via dialog policy, LG)
 - Conversational leading suggestions (action select via dialog policy, LG)
 - Search result presentation (response generation, LG)
- Early work on CIR [Croft's keynote at SIGIR-19]
- We start with conversational QA which is a sub-task of CIR

Outline

- Part 1: Introduction
- Part 2: Conversational QA methods
 - Conversational QA over knowledge bases
 - Conversational QA over texts
- Part 3: Conversational search methods
- Part 4: Case study of commercial systems

KBQA: Conversational QA over Knowledge Bases

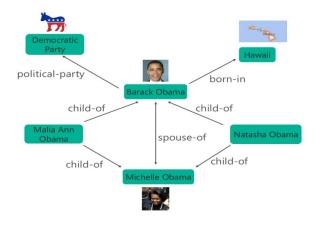
- Knowledge bases and QAs
- C-KBQA system architecture
 - Semantic parser
 - Dialog manager
 - Response generation
- KBQA w/o semantic parser
- Open benchmarks

Knowledge bases

- Relational databases
 - Entity-centric knowledge base
 - Q: what super-hero from Earth appeared first?
- Knowledge Graph
 - Properties of billions of entities
 - Relations among them
 - (relation, subject, object) tuples
 - Freebase, FB Entity Graph, MS Satori, Google KG etc.
 - Q: what is Obama's citizenship?
- KGs work with paths while DBs work with sets

Legion of Super Heroes Post-Infinite Crisis

Character	First Appeared	Home World	Powers			
Night Girl	2007	Kathoon	Super strength			
Dragonwing	2010	Earth	Fire breath			
Gates	2009	Vyrga	Teleporting			
xs	2009	Aarok	Super speed			
Harmonia	2011	Earth	Elemental			



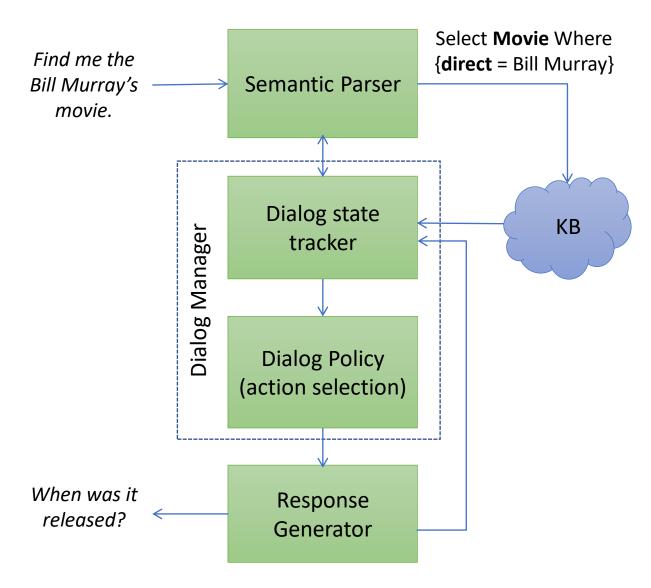
Question-Answer pairs

- Simple questions
 - can be answered from a single tuple
 - Object? / Subject? / Relation?
- Complex questions
 - requires reasoning over one or more tuples
 - Logical / quantitively / comparative
- Sequential QA pairs in a session
 - A sequence of related pairs
 - Ellipses, coreference, clarifications, etc.

Turn	State	Utterance
T1	Simple Q.	USER: Can you tell me which cities border Verderio In-
11		feriore ?
	Response	SYSTEM: Cornate d'Adda, Bernareggio, Robbiate
T2	Coreference Q.	USER: And which cities flank that one?
12	Clarification Q.	SYSTEM: Did you mean Robbiate?
Т3	Clarification	USER: No, I meant Cornate d'Adda.
13	Response	SYSTEM: Bottanuco, Busnago, Trezzo sull'Adda
T4	Logical Q.	USER: Which ones share border with Robbiate and are
14		not part of Azerbaijan ?
	Response	SYSTEM: Trezzo sull'Adda, Busnago, Bottanuco
Т5	Quantitative Q.	USER: Which city is the capital of min number of french
13		administrative divisions ?
	Response	SYSTEM: Riga
Т6	Boolean Q.	USER: Is Rot am See located adjacent to that one?
10	Response	SYSTEM: No
T7	Quanti. Q.	USER: How many political territories have strategic rela-
1		tion with around 22 other countries?
	Response	SYSTEM: 11
Т8	Logical Q.	USER: Which are the nations connected with Robbiate
10		and are not located in Italy ?
	Response	SYSTEM: The answer count is 11. Do you want to see
		all possibilities?
Т9	Clarification	USER: No, show only a few of them
1	Response	SYSTEM: Papua New Guinea, Jamaica, Antigua and Bar-
		buda, Austria, New Zealand, The Bahamas, Gabon
T10	Quantitative Q.	USER: How many countries are diplomatically related to
110		Italy ?
	Response	SYSTEM: 74
T11		USER: And how many of them also with Australia?
•••	Response	SYSTEM: 56
T12	Comparative Q.	USER: Which countries have lesser number of political
		relations with others than Australia ?
	Response	SYSTEM: Denmark, Canada, Grenada

C-KBQA system architecture

- Semantic Parser
 - map input + context to a semantic representation (logic form) to
 - Query the KB
- Dialog manager
 - Maintain/update state of dialog history (e.g., QA pairs, DB state)
 - Select next system action (e.g., ask clarification questions, answer)
- Response generator
 - Convert system action to natural language response
- KB search (Gao+19)



Dynamic Neural Semantic Parser (DynSP)

- Given a question (dialog history) and a table
 - Q: "which superheroes came from Earth and first appeared after 2009?"
- Generate a semantic parse (SQL-query)
 - A select statement (answer column)
 - Zero or more **conditions**, each contains
 - A condition column
 - An operator (=, >, <, argmax etc.) and arguments
 - Q: Select **Character** Where {**Home World** = "Earth"} & {**First Appear** > "2009"}
 - A: {Dragonwing, Harmonia}

Legion of Super Heroes Post-Infinite Crisis

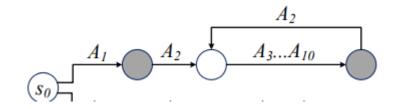
Character	First Appeared	Home World	Powers
Night Girl	2007	Kathoon	Super strength
Dragonwing	2010	Earth	Fire breath
Gates	2009	Vyrga	Teleporting
XS	2009	Aarok	Super speed
Harmonia	2011	Earth	Elemental

Model formulation

- Parsing as a state-action search problem
 - A state S is a complete or partial parse (action sequence)
 - An action A is an operation to extend a parse
 - Parsing searches an end state with the highest score
- "which superheroes came from Earth and first appeared after 2009?"
 - (A_1) Select-column **Character**
 - (A₂) Cond-column **Home World**
 - (A₃) Op-Equal "Earth"
 - (A₂) Cond-column First Appeared
 - (A₅) Opt-GT "2009"

Id	Type	# Action instances
\mathcal{A}_1	Select-column	# columns
\mathcal{A}_2	Cond-column	# columns
\mathcal{A}_3	Op-Equal (=)	# rows
\mathcal{A}_4	Op-NotEqual (\neq)	# rows
\mathcal{A}_5	Op-GT (>)	# numbers / datetimes
\mathcal{A}_6	Op-GE (≥)	# numbers / datetimes
\mathcal{A}_7	Op-LT (<)	# numbers / datetimes
\mathcal{A}_8	Op-LE (\leq)	# numbers / datetimes
\mathcal{A}_9	Op-ArgMin	# numbers / datetimes
\mathcal{A}_{10}	Op-ArgMax	# numbers / datetimes

Types of actions and the number of action instances in each type. Numbers / datetimes are the mentions discovered in the question.



Possible action transitions based on their types. Shaded circles are end states.

How to score a state (parse)?

- Beam search to find the highest-scored parse (end state)
 - $V_{\theta}(S_t) = V_{\theta}(S_{t-1}) + \pi_{\theta}(S_{t-1}, A_t), V(S_0) = 0$
- Policy function, $\pi_{\theta}(S, A)$,
 - Scores an action given the current state
 - Parameterized using different neural networks, each for an action type
 - E.g., Select-column action is scored using the semantic similarity between question words (embedding vectors) and column name (embedding vectors)
 - $\frac{1}{|W_c|} \sum_{w_c \in W_c} \max_{w_q \in W_q} w_q^T w_c$

Model learning

- State value function: $V_{\theta}(S_t) = \sum_{i=1}^t \pi_{\theta}(S_{i-1}, A_i)$
 - An E2E trainable, question-specific, neural network model
- Weakly supervised learning setting
 - Question-answer pairs are available
 - Correct parse for each question is not available
- Issue of delayed (sparse) reward
 - Reward is only available after we get a (complete) parse and the answer
- Approximate (dense) reward
 - Check the overlap of the answers of a partial parse A(S) with the gold answers A^*

$$\bullet \ R(S) = \frac{|A(S) \cap A^*|}{|A(S) \cup A^*|}$$

Parameter updates

- Make the state value function V_{θ} behave similarly to reward R
- For every state S and its (approximated) reference state S^{\ast} , we define loss as
 - $\mathcal{L}(S) = (V_{\theta}(S) V_{\theta}(S^*)) (R(S) R(S^*))$
- Improve learning efficiency by finding the most violated state \hat{S}

```
Algorithm 1 Model parameter updates
```

```
1: for pick a labeled data (x, A^*) do  // labeled QA pair

2: s^* \leftarrow \underset{s \in \mathcal{E}(x)}{\operatorname{arg}} \max \tilde{R}(s; A^*)  // Finds the best approximated reference state

3: \hat{s} \leftarrow \underset{s \in \mathcal{E}(x)}{\operatorname{arg}} \max V_{\theta}(s) - \tilde{R}(s; A^*)  // Finds the most violated state

4: update \theta by minimizing \max(\mathcal{L}(s), 0)

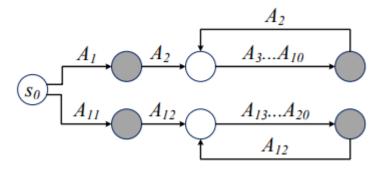
5: end for
```

[lyyer+18; Taskar+04]

DynSP SQA

- "which superheroes came from Earth and first appeared after 2009?"
 - (A₁) Select-column **Character**
 - (A₂) Cond-column **Home World**
 - (A₃) Op-Equal "Earth"
 - (A₂) Cond-column First Appeared
 - (A₅) Opt-GT "2009"
- "which of them breathes fires"
 - (A₁₂) S-Cond-column **Powers**
 - (A₁₃) S-Op-Equal "Fire breath"

Id	Type	# Action instances
\mathcal{A}_1	Select-column	# columns
\mathcal{A}_2	Cond-column	# columns
\mathcal{A}_3	Op-Equal (=)	# rows
\mathcal{A}_4	Op-NotEqual (\neq)	# rows
\mathcal{A}_5	Op-GT (>)	# numbers / datetimes
\mathcal{A}_6	Op-GE (≥)	# numbers / datetimes
\mathcal{A}_7	Op-LT (<)	# numbers / datetimes
\mathcal{A}_8	Op-LE (≤)	# numbers / datetimes
\mathcal{A}_9	Op-ArgMin	# numbers / datetimes
\mathcal{A}_{10}	Op-ArgMax	# numbers / datetimes
\mathcal{A}_{11}	Subsequent	1
\mathcal{A}_{12}	S-Cond-column	# columns
\mathcal{A}_{13}	S-Op-Equal (=)	# rows
\mathcal{A}_{14}	S-Op-NotEqual (\neq)	# rows
\mathcal{A}_{15}	S-Op-GT (>)	# numbers / datetimes
\mathcal{A}_{16}	S-Op-GE (\geq)	# numbers / datetimes
\mathcal{A}_{17}	S-Op-LT (<)	# numbers / datetimes
\mathcal{A}_{18}	S-Op-LE (\leq)	# numbers / datetimes
\mathcal{A}_{19}	S-Op-ArgMin	# numbers / datetimes
\mathcal{A}_{20}	S-Op-ArgMax	# numbers / datetimes



Possible action transitions based on their types. Shaded circles are end states.

DynSP for sequential QA (SQA)

- Given a question (history) and a table
 - Q1: which superheroes came from Earth and first appeared after 2009?
 - Q2: which of them breathes fire?
- Add subsequent statement (answer column) for sequential QA
 - Select Character Where {Home World = "Earth"} & {First Appear > "2009"}
 - A1: {Dragonwing, Harmonia}
 - Subsequent Where {Powers = "Fire breath"}
 - A2: {Dragonwing}

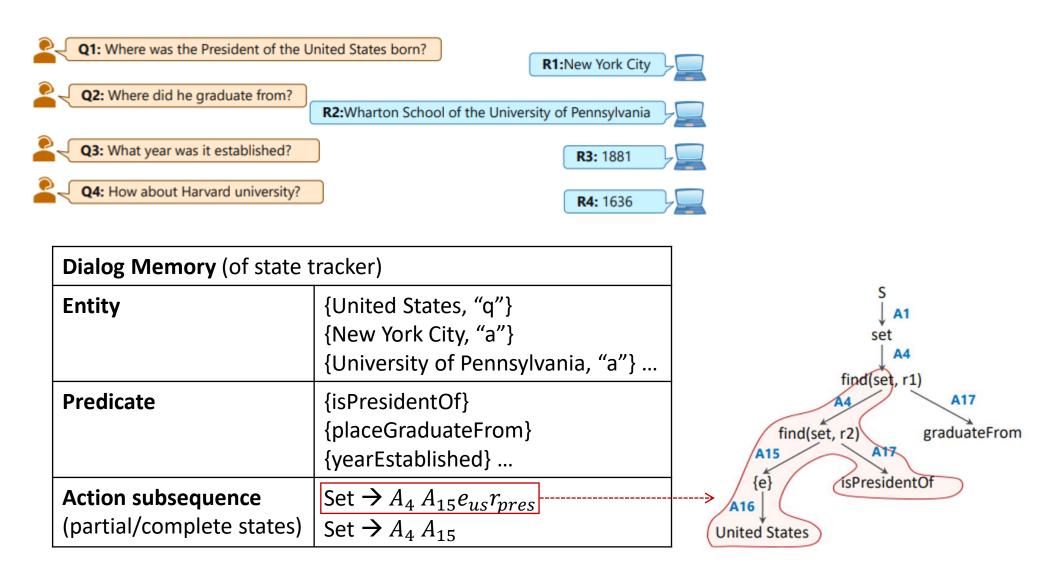
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Query rewriting approaches to SQA

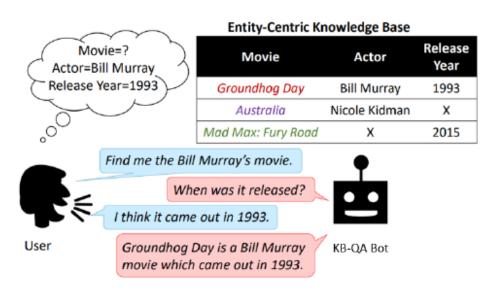
```
O1: When was California founded?
                                                                         [Human] You like Ashin that much, huh?
                                                                   11
A1: September 9, 1850
                                                                         [Xiaoice] Why not? You don't like him?
Q2: Who is its governor? → Who is California governor?
                                                                         [Human] I don't like him, neither dislike him -> I don't like Ashin, neither dislike Ashin
A2: Jerry Brown
                                                                         [Xiaoice] I love every song of him
Q3: Where is Stanford?
                                                                         [Human] Really?
A3: Palo Alto, California
                                                                         [Xiaoice] Especially The Time Machine
Q4: Who founded it? \rightarrow Who founded Stanford?
                                                                         [Human] Oh? Never heard of that > Oh? Never heard of The Time Machine
                                                                   14
A4: Leland and Jane Stanford
                                                                         [Xiaoice] Shall I send you the song?
O5: Tuition costs → Tuition cost Stanford
                                                                         [Human] Okay > Okay, send The Time Machine.
A5: $47,940 USD
                                                                         [Xiaoice] Don't know if you will like it or not" [Play the music card]
```

Dialog Manager – dialog memory for state tracking



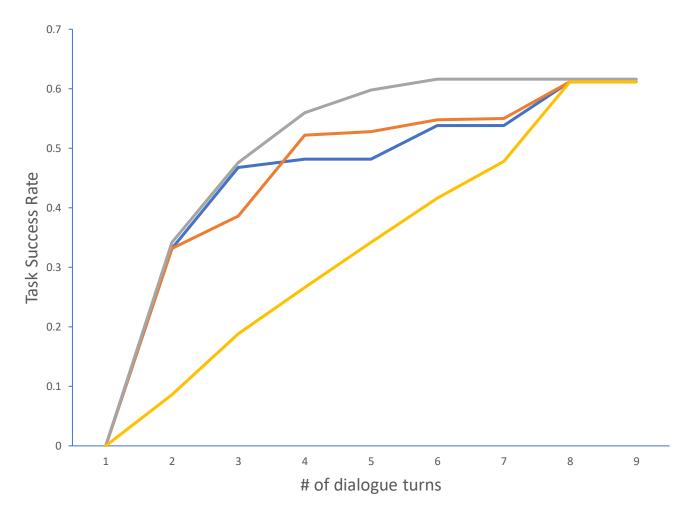
Dialog Manager – policy for next action selection

- A case study of Movie-on-demand
- System selects the next action to
 - Either return answer or ask a clarification question.
 - What (clarification) question to ask? E.g., movie title, director, genre, actor, release-year, etc.



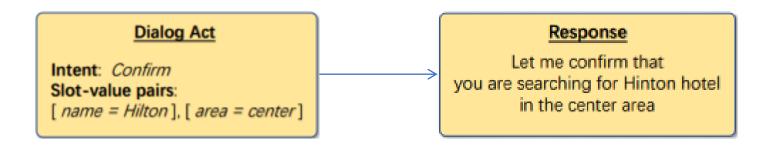
What clarification question to ask

- Baseline: ask all questions in a randomly sampled order
- Ask questions that users can answer
 - learned from query logs
- Ask questions that help reduce search space
 - Entropy minimization
- Ask questions that help complete the task successfully
 - Reinforcement learning via agentuser interactions



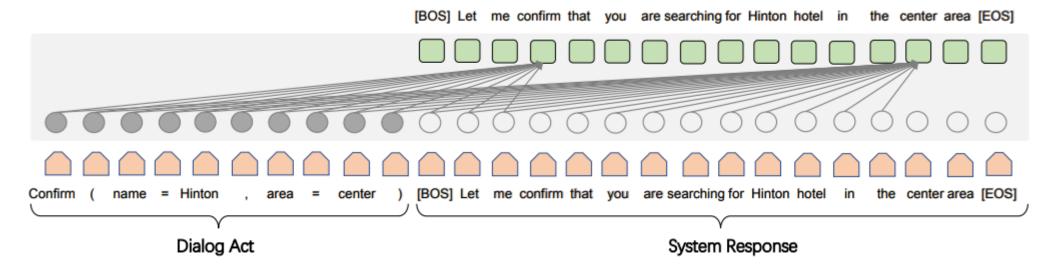
Results on simulated users

Response Generation



- Convert "dialog act" to "natural language response"
- Formulated as a seq2seq task in a few-shot learning setting
 - $p_{\theta}(x|A) = \sum_{t=1}^{T} p_{\theta}(x_t|x_{< t}, A)$
 - Very limited training samples for each task
- Approach
 - Semantically Conditioned neural language model
 - Pre-training + fine-tuning,
 - e.g., semantically conditioned GPT (SC-GPT)

SC-GPT

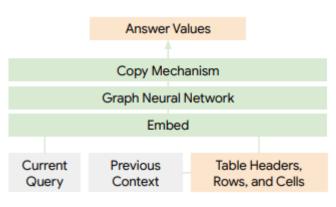


Model	Resta	Restaurant		Laptop		Hotel		TV		Attraction		Train		Taxi	
	BLEU ↑	ERR↓	BLEU↑	ERR↓	BLEU↑	ERR↓	BLEU↑	ERR↓	BLEU ↑	ERR↓	BLEU↑	ERR↓	BLEU ↑	ERR↓	
SC-LSTM	15.90	48.02	21.98	80.48	31.30	31.54	22.39	64.62	7.76	367.12	6.08	189.88	11.61	61.45	
GPT-2	29.48	13.47	27.43	11.26	35.75	11.54	28.47	9.44	16.11	21.10	13.72	19.26	16.27	9.52	
SC-GPT	38.08	3.89	32.73	3.39	38.25	2.75	32.95	3.38	20.69	12.72	17.21	7.74	19.70	3.57	

Performance of different response generation models in few-shot setting (50 samples for each task)

C-KBQA approaches w/o semantic parser

- Building semantic parsers is challenging
 - Limited amounts of training data, or
 - Weak supervision
- C-KBQA with no logic-form
 - Symbolic approach: "look before you hop"
 - Answer an initial question using any standard KBQA
 - Form a context subgraph using entities of the initial QA pair
 - Answer follow-up questions by expanding the context subgraph to find candidate answers
 - Neural approach
 - Encode KB as graphs using a GNN
 - Select answers from the encoded graph using a point network



Open Benchmarks

- SQA (sequential question answering)
 - https://www.microsoft.com/en-us/download/details.aspx?id=54253
- CSQA (complex sequence question answering),
 - https://amritasaha1812.github.io/CSQA/
- ConvQuestions (conversational question answering over knowledge graphs)
 - https://convex.mpi-inf.mpg.de/
- CoSQL (conversational text-to-SQL)
 - https://yale-lily.github.io/cosql
- CLAQUA (asking clarification questions in Knowledge-based question answering)
 - https://github.com/msra-nlc/MSParS V2.0

TextQA: Conversational QA over Texts

- Tasks and datasets
- C-TextQA system architecture
- Conversational machine reading compression models

QA over text – extractive vs. abstractive QA

Passage -

In meteorology, precipitation is any product of the condensation of atmospheric water vapor that falls under gravity. The main forms of precipitation include drizzle, rain, sleet, snow, graupel and hail... Precipitation forms as smaller droplets coalesce via collision with other rain drops or ice crystals within a cloud. Short, intense periods of rain in scattered locations are called "showers".

Question: What causes precipitation to fall?

Answer: gravity

Question: What is another main form of precipitation be-

sides drizzle, rain, snow, sleet and hail?

Answer: graupel

Question: Where do water droplets collide with ice crystals

to form precipitation?

Answer: within a cloud

Q Will I qualify for OSAP if I'm new in Canada?

Selected Passages from Bing

"Visit the OSAP website for application deadlines. To get OSAP, you have to be eligible. You can apply using an online form, or you can print off the application forms. If you submit a paper application, you must pay an application fee. The online application is free."

Source: http://settlement.org/ontario/education/colleges-universities-and-institutes/financial-assistance-for-post-secondary-education/how-do-i-apply-for-the-ontari o-student-assistance-program-osap/

"To be eligible to apply for financial assistance from the Ontario Student Assistance Program (OSAP), you must be a: 1 Canadian citizen; 2 Permanent resident; or 3 Protected person/convention refugee with a Protected Persons Status Document (PPSD)."

Source: http://settlement.org/ontario/education/colleges-universities-and-institutes/financial-assistance-for-post-secondary-education/who-is-eligible-for-the-ontari o-student-assistance-program-osap/

"You will not be eligible for a Canada-Ontario Integrated Student Loan, but can apply for a part-time loan through the Canada Student Loans program. There are also grants, bursaries and scholarships available for both full-time and part-time students."

Source: http://www.campusaccess.com/financial-aid/osap.html

Answer

No. You won't qualify.

Conversation QA over text: CoQA & QuAC

```
Section: Daffy Duck, Origin & History
                                                                    Jessica went to sit in her rocking chair. Today was her birthday
                                                                    and she was turning 80. Her granddaughter Annie was coming
STUDENT: What is the origin of Daffy Duck?
                                                                    over in the afternoon and Jessica was very excited to see
TEACHER: \hookrightarrow first appeared in Porky's Duck Hunt
                                                                    her. Her daughter Melanie and Melanie's husband Josh were
STUDENT: What was he like in that episode?
                                                                    coming as well. Jessica had . . .
TEACHER: 

assertive, unrestrained, combative
STUDENT: Was he the star?
                                                                    Q<sub>1</sub>: Who had a birthday?
TEACHER: - No, barely more than an unnamed
                                                                    A1: Jessica
     bit player in this short
                                                                    R1: Jessica went to sit in her rocking chair. Today was her
STUDENT: Who was the star?
                                                                    birthday and she was turning 80.
TEACHER: 

→ No answer
STUDENT: Did he change a lot from that first
                                                                    Q2: How old would she be?
     episode in future episodes?
                                                                    A2: 80
TEACHER: \( \to \) Yes, the only aspects of the char-
                                                                    R<sub>2</sub>: she was turning 80
     acter that have remained consistent (...) are his
                                                                    Q<sub>3</sub>: Did she plan to have any visitors?
     voice characterization by Mel Blanc
                                                                    A<sub>3</sub>: Yes
STUDENT: How has he changed?
                                                                    R<sub>3</sub>: Her granddaughter Annie was coming over
TEACHER: \hookrightarrow Daffy was less anthropomorphic
STUDENT: In what other ways did he change?
                                                                    O<sub>4</sub>: How many?
TEACHER: 

Daffy's slobbery, exaggerated lisp
                                                                    A<sub>4</sub>: Three
     (...) is barely noticeable in the early cartoons.
                                                                    R4: Her granddaughter Annie was coming over in the after-
STUDENT: Why did they add the lisp?
                                                                    noon and Jessica was very excited to see her. Her daughter
TEACHER: 

One often-repeated "official" story
                                                                    Melanie and Melanie's husband Josh were coming as well.
     is that it was modeled after producer Leon
                                                                    Os: Who?
     Schlesinger's tendency to lisp.
STUDENT: Is there an "unofficial" story?
                                                                    A5: Annie, Melanie and Josh
                                                                    R5: Her granddaughter Annie was coming over in the after-
TEACHER: 

→ Yes, Mel Blanc (...) contradicts
                                                                    noon and Jessica was very excited to see her. Her daughter
     that conventional belief
                                                                    Melanie and Melanie's husband Josh were coming as well.
```

Figure 3.10: The examples from two conversational QA datasets. (Left) A QA dialogue example in the QuAC dataset. The student, who does not see the passage (section text), asks questions. The teacher provides answers in the form of text spans and dialogue acts. These acts include (1) whether the student should \hookrightarrow , could $\stackrel{-}{\hookrightarrow}$, or should not $\not\hookrightarrow$ ask a follow-up; (2) affirmation (Yes / No), and, when appropriate, (3) No answer. Figure credit: Choi et al. (2018). (Right) A QA dialogue example in the CoQA dataset. Each dialogue turn contains a question (Q_i), an answer (A_i) and a rationale (R_i) that supports the answer. Figure credit: Reddy et al. (2018).

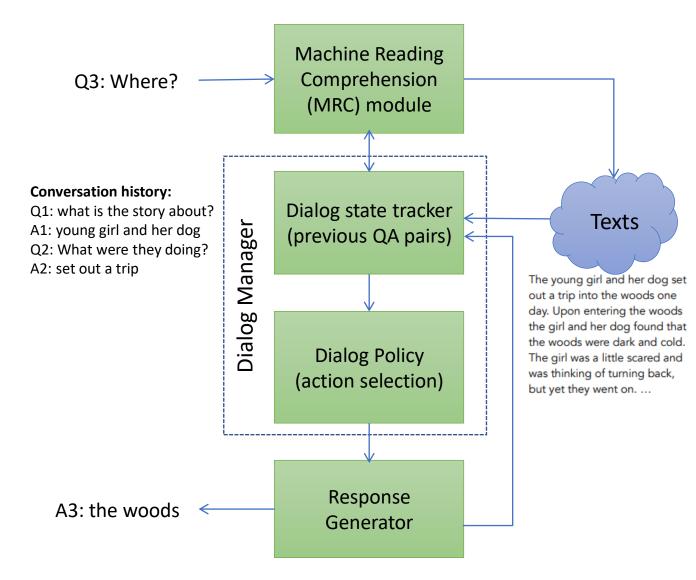
Dialog behaviors in conversational QA

- Topic shift: a question about sth previous discussed
- Drill down: a request for more info about a topic being discussed
- Topic return: asking about a topic again after being shifted
- Clarification: reformulating a question
- Definition: asking what is meant by a team

Dataset	Topic Shift	Drill Down	Return to Topic	Clarification Question	Definition Question	Sentence Coverage	Total Questions
CoQA	21.6	72.0	2.9	0.0	0.7	63.3	722
QuAC	35.4	55.3	5.6	0.7	3.0	28.4	302

C-TextQA system architecture

- (Conversational) MRC
 - Find answer to a question given text and previous QA pairs
 - Extractive (span) vs. abstractive answers
- Dialog manager
 - Maintain/update state of dialog history (e.g., QA pairs)
 - Select next system action (e.g., ask clarification questions, answer)
- Response generator
 - Convert system action to natural language response



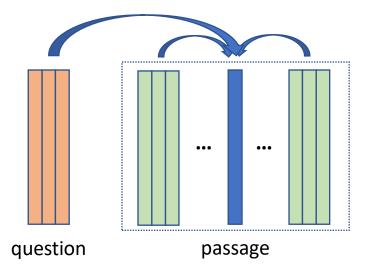
[Huang+19]

Neural MRC models for extractive TextQA

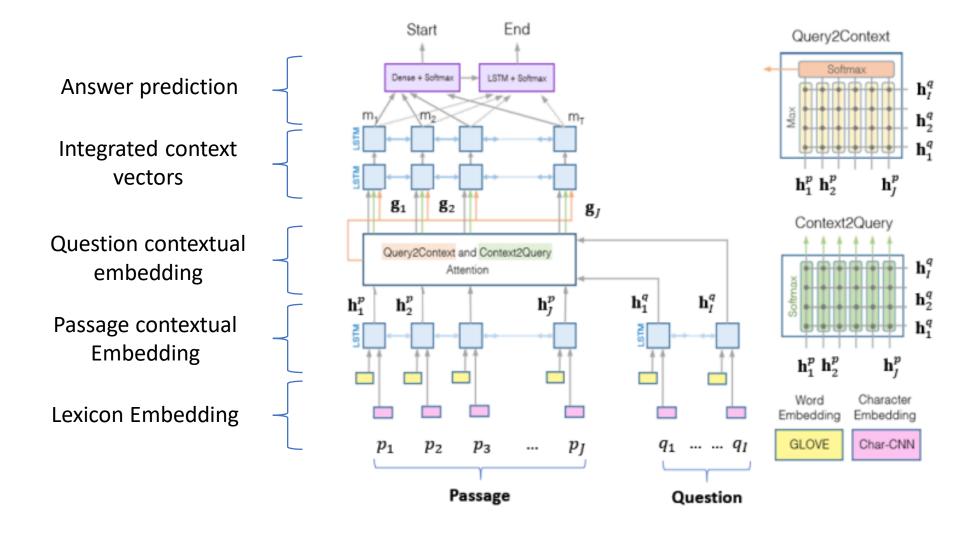
- QA as classification given (question, passage)
 - Classify each word in passage as start/end/outside of the answer span
- Encoding: represent each passage word using an integrated context vector that encodes info from
 - Lexicon/word embedding (context-free)
 - Passage context
 - Question context
 - Conversation context (previous question-answer pairs)
- Prediction: predict each word (its integrated context vector) the start and end position of answer span.

Three encoding components

- Lexicon embedding e.g., GloVe
 - represent each word as a low-dim continuous vector
- Passage contextual embedding e.g., Bi-LSTM/RNN, ELMo, Self-Attention/BERT
 - capture context info for each word within a passage
- Question contextual embedding e.g., Attention, BERT
 - fuse question info into each passage word vector



Neural MRC model: BiDAF



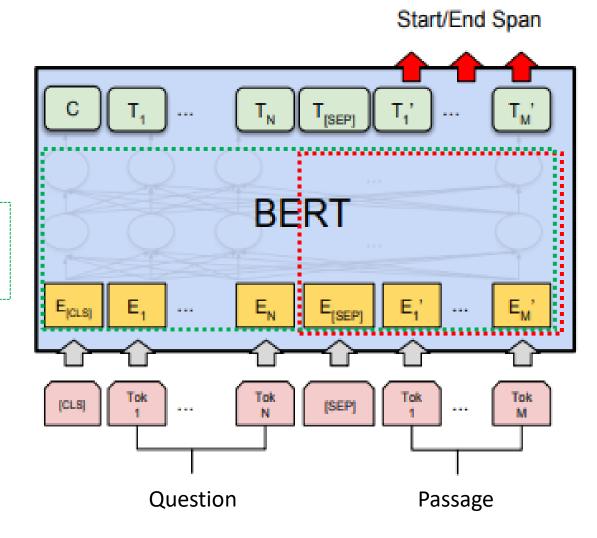
Transformer-based MRC model: BERT

Answer prediction

Integrated context vectors

Question contextual embedding (inter-attention)

Lexicon Embedding



Passage contextual Embedding (self-attention)

[Devlin+19]

Conversational MRC models

- QA as classification given (question, text)
 - Classify each word in passage as start/end/outside of answer span
- Encoding: represent each passage word using an integrated context vector that encodes info about
 - Lexicon/word embedding
 - Passage context
 - Question context
 - Conversation context (previous question-answer pairs)
- Prediction: predict each word (its integrated context vector) the start and end position of answer span.

Conversational MRC models

- Pre-pending conversation history to current question or passage
 - Convert conversational QA to single-turn QA
- BiDAF++ (BiDAF for C-QA)
 - Append a feature vector encoding dialog turn number to question embedding
 - Append a feature vector encoding previous answer locations to passage embedding
- BERT (or RoBERTa)
 - Prepending dialog history to current question
 - Using BERT as
 - context embedding (self-attention)
 - Question/conversation context embedding (inter-attention)

FlowQA: explicitly encoding dialog history

Integration Flow (IF) Layer

- Given:
 - Current question Q_T , and previous questions Q_t , t < T
 - For each question Q_t , integrated context vector of each passage word w_t

• Output:

- Conversation-history-aware integrated context vector of each passage word
- $w_T = LSTM(w_1, ..., w_t, ..., w_T)$
- So, the entire integrated context vectors for answering previous questions can be used to answer the current question.

Extensions of IF

- FlowDelta explicitly models the info gain thru conversation
- GraphFLOW captures conversation flow using a graph neural network
- Implementing IF using Transformer with proper attention masks

Summary: Conversational QA methods

- KBQA: Conversational QA over Knowledge Bases
 - Knowledge bases and QAs
 - C-KBQA system architecture
 - Semantic parser
 - Dialog manager
 - Response generation
 - KBQA w/o semantic parser
- Text-QA: Conversational QA over Texts
 - Tasks and datasets
 - C-TextQA system architecture
 - Conversational machine reading compression models

Outline

- Part 1: Introduction
- Part 2: Conversational QA methods
- Part 3: Conversational search methods
- Part 4: Case study of commercial systems

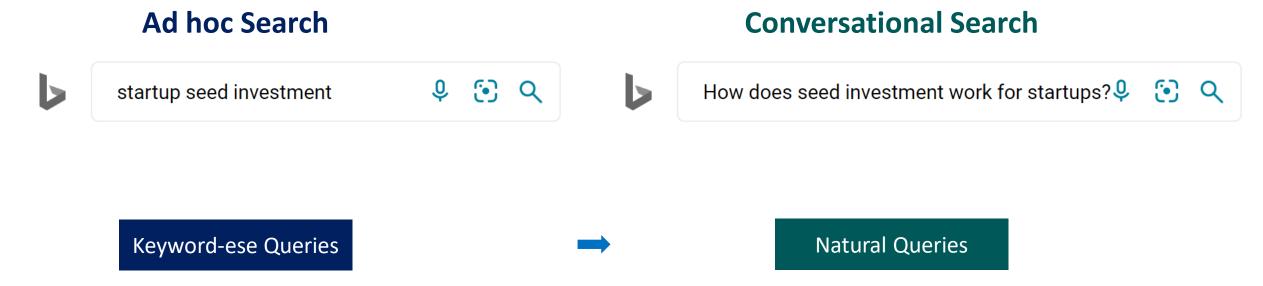
Conversational Search: Outline

- What is conversational search?
 - A view from TREC Conversational Assistance Track (TREC CAsT) [1]
- Unique Challenges in conversational search.
 - Conversational query understanding [2]
- How to make search more conversational?
 - From passive retrieval to active conversation with conversation recommendation [3]

^[1] Cast 2019: The conversational assistance track overview

^[2] Few-Shot Generative Conversational Query Rewriting

^[3] Leading Conversational Search by Suggesting Useful Questions



Necessity:

Speech/Mobile Interfaces

Opportunities:

More natural and explicit expression of information needs

Challenge:

Query understanding & sparse retrieval

Ad hoc Search

Startup Investing. Simplified. - SeedInvest

https://www.seedinvest.com •

Join 300,000+ people who already use **SeedInvest** to find **startup investment** opportunities. **SeedInvest** is filled with investors and entrepreneurs that are passionate about building future **innovation**. They are accomplished individuals that **invest** ...

Log In

SeedInvest is a leading equity crowdfunding platform that provides individual investors ...

Browse Offerings

The following offerings are being conducted .. Monogram Orthopaedics · Winc · Auto Invest

See more 💙

Ten Blue-Links

Ten Blue-Link

Necessity:

Speech/Mobile Interfaces

Opportunities:

Direct & Easier access to information

Challenge:

Document understanding; combine and synthesize information

Conversational Search

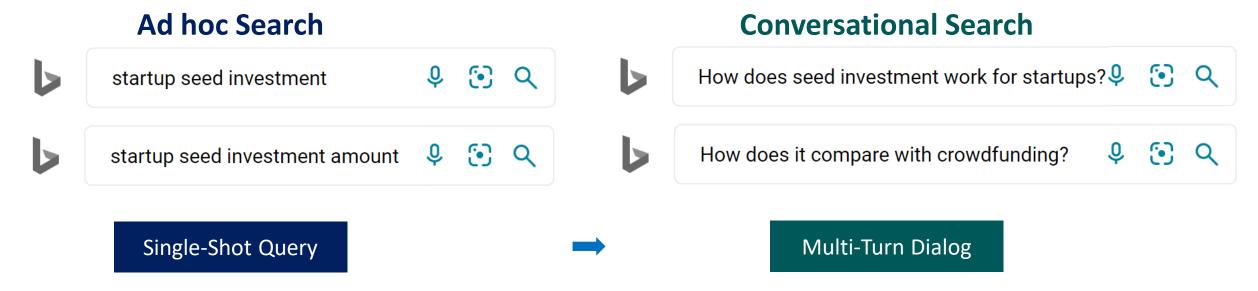
A strategy used by seed institutional investors is the **spray and pray** type of model in which investment funds are invested in a number of companies and see which ones pick up traction. Once the start-ups they are taking on are identified then you allocate additional capital to invest in follow on rounds of financing.



How Funding Rounds Work For Startups - Forbes

F www.forbes.com/sites/alejandrocremades/2018/12/26/how-funding-rounds-wor...

Natural Responses



Necessity:

• N.A.

Opportunities:

- Serving complex information needs and tasks
 Challenge:
- Contextual Understanding & Memorization



Necessity:

• N.A.

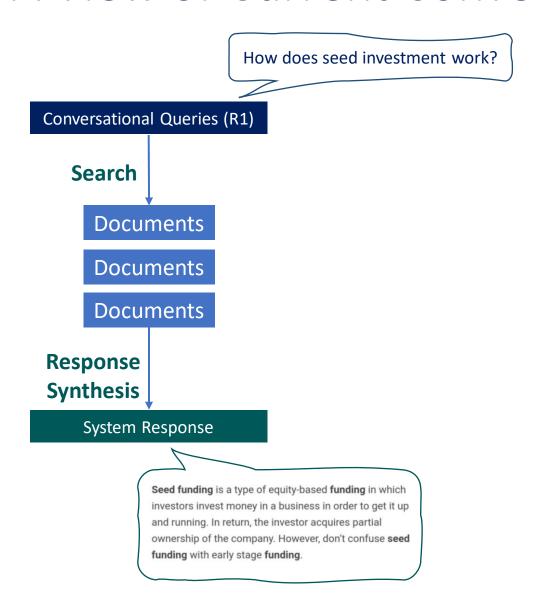
Opportunities:

Collaborative information seeking & better task assistance

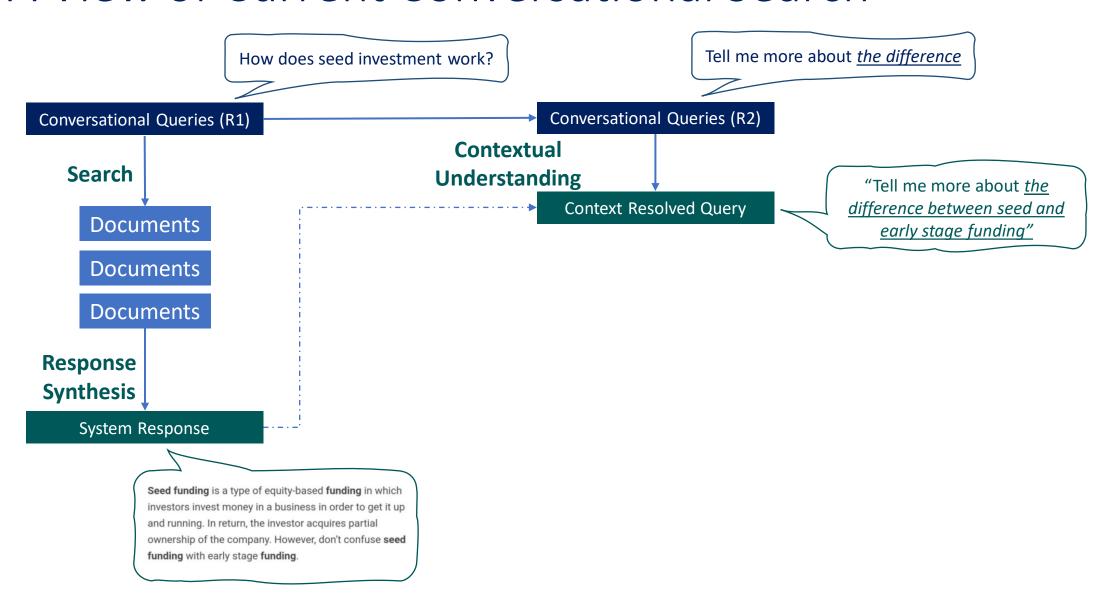
Challenge:

Dialog management, less lenient user experience

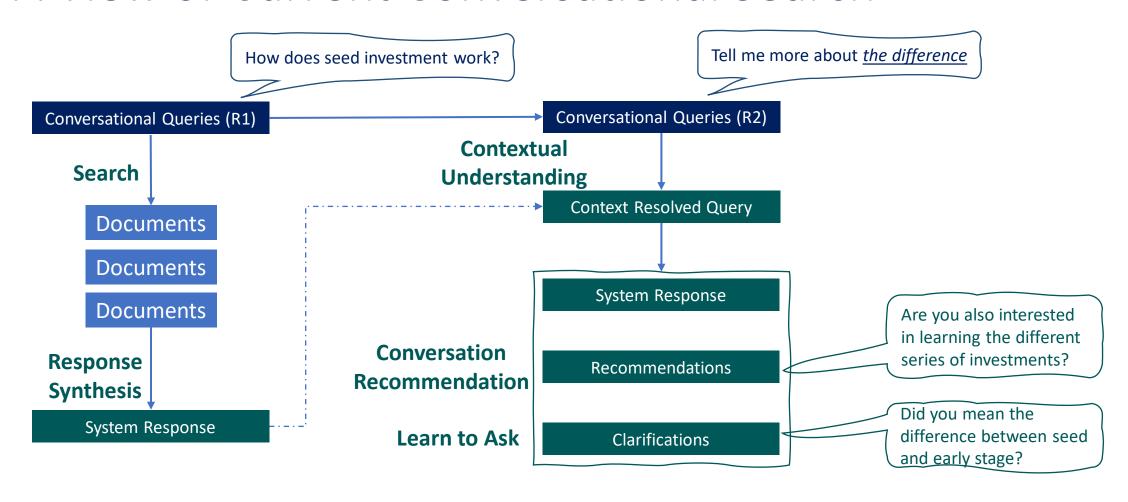
A View of Current Conversational Search



A View of Current Conversational Search

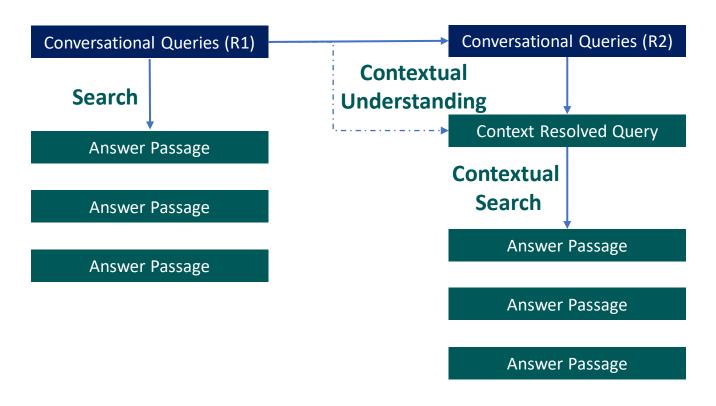


A View of Current Conversational Search



A Simpler View from TREC CAsT 2019

"Conversational Passage Retrieval/QA"



Input:

- Manually written conversational queries
- ~20 topics, ~8 turns per topic
- Contextually dependent on previous queries
 Corpus:
- MS MARCO + CAR Answer Passages
 Task:
- Passage Retrieval for conversational queries

TREC CAsT 2019

An example conversational search session

Title: head and neck cancer

Description: A person is trying to compare and contrast types of cancer in the throat, esophagus, and lungs.

1 What is throat cancer?

2 Is it treatable?

3 Tell me about lung cancer.

4 What are its symptoms?

5 Can it spread to the throat?

6 What causes throat cancer?

7 What is the first sign of it?

8 Is it the same as esophageal cancer?

9 What's the difference in their symptoms?

Input:

- Manually written conversational queries
- ~20 topics, ~8 turns per topic
- Contextually dependent on previous queries

Corpus:

MS MARCO + CAR Answer Passages

Task:

Passage Retrieval for conversational queries

TREC CAsT 2019

Challenge: contextual dependency on previous conversation queries

Title: head and neck cancer

Description: A person is trying to compare and contrast types of cancer in the throat, esophagus, and lungs.

1 What is throat cancer?

2 **Is** it treatable?

3 Tell me about lung cancer.

4 What are its symptoms?

5 Can it spread to the throat?

6 What causes throat cancer?

7 What is the first sign of it?

8 Is it the same as esophageal cancer?

9 What's the difference in **their** symptoms?

Input:

- Manually written conversational queries
- ~20 topics, ~8 turns per topic
- Contextually dependent on previous queries

Corpus:

MS MARCO + CAR Answer Passages

Task:

Passage Retrieval for conversational queries

TREC CAsT 2019

Learn to resolve the contextual dependency

Raw Queries

- 1 What is throat cancer?
- 2 Is **it** treatable?
- 3 Tell me about lung cancer.
- 4 What are <u>its</u> symptoms?
- 5 Can it spread to the throat?
- 6 What causes throat cancer?
- 7 What is the first sign of it?
- 8 Is it the same as esophageal cancer?
- 9 What's the difference in **their** symptoms?

Manual Queries provided by CAsT Y1

- 1 What is throat cancer?
- 2 Is <u>throat cancer</u> treatable?
- 3 Tell me about lung cancer.
- 4 What are <u>lung cancer's</u> symptoms?
- 5 Can <u>lung cancer</u> spread to the throat
- 6 What causes throat cancer?
- 7 What is the first sign of throat cancer?
- 8 Is <u>throat cancer</u> the same as esophageal cancer?
- 9 What's the difference in <u>throat cancer and</u> <u>esophageal cancer's</u> symptoms?

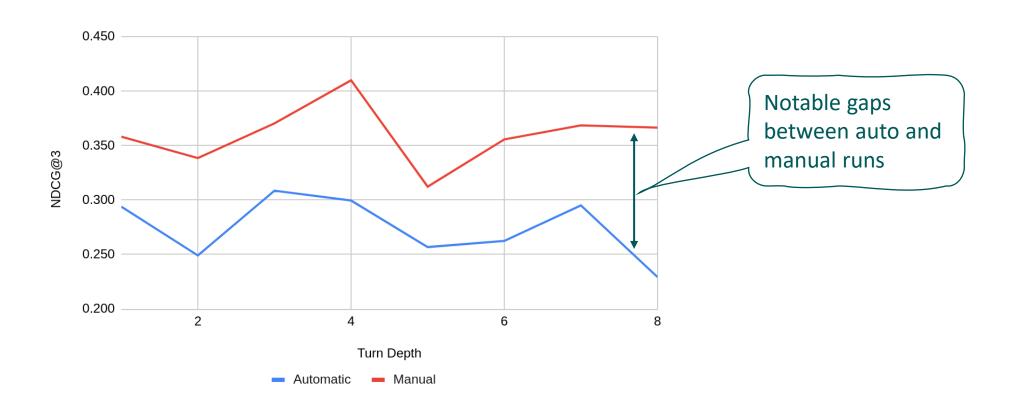
TREC CAsT 2019: Query Understanding Challenge

Statistics in Y1 Testing Queries

Type (#. Turns)	Utterance	Mention
Pronominal (128)	How do they celebrate Three Kings Day?	they -> Spanish people
Zero (111)	What cakes are traditional?	Null -> Spanish, Three Kings Day
Groups (4)	Which team came first?	which team -> Avengers, Justice League
Abbreviations (15)	What are the main types of VMs ?	VMs -> Virtual Machines

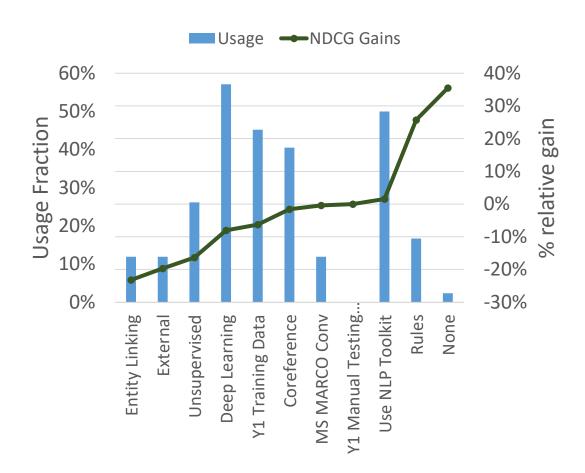
TREC CAsT 2019: Result Statics

Challenge from contextual query understanding



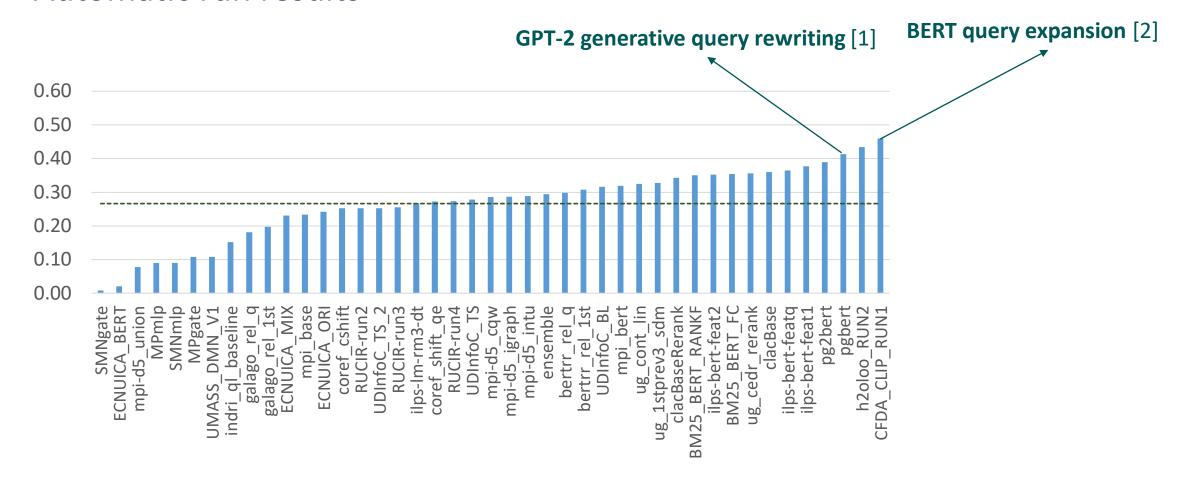
TREC CAsT 2019: Techniques

Techniques used in Query Understanding



TREC CAsT 2019: Notable Solutions

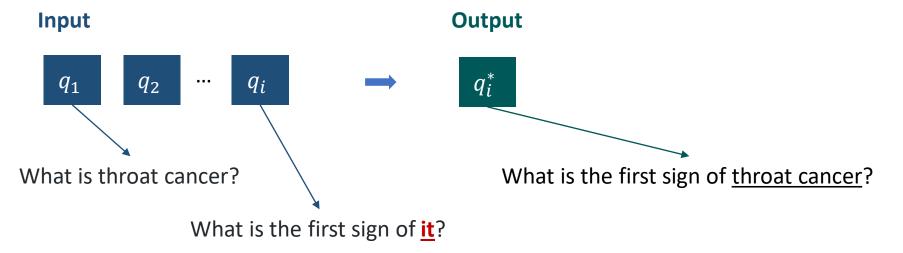
Automatic run results



^[1] Vakulenko et al. 2020. Question Rewriting for Conversational Question Answering [2] Lin et al. 2020. Query Reformulation using Query History for Passage Retrieval in Conversational Search

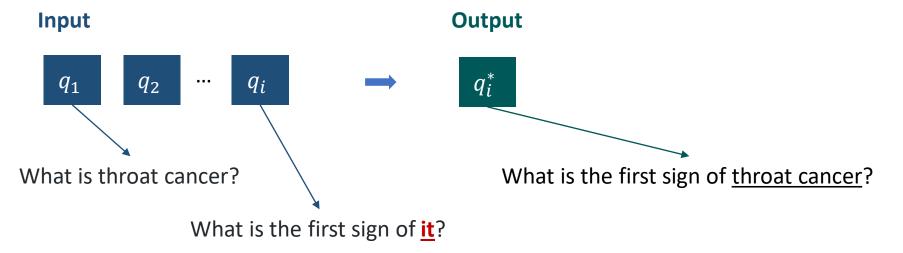
Conversational Query Understanding Via Rewriting

Learn to rewrite a full-grown context-resolved query

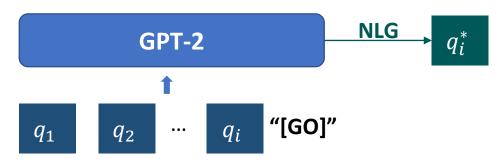


Conversational Query Understanding Via Rewriting

Learn to rewrite a full-grown context-resolve query

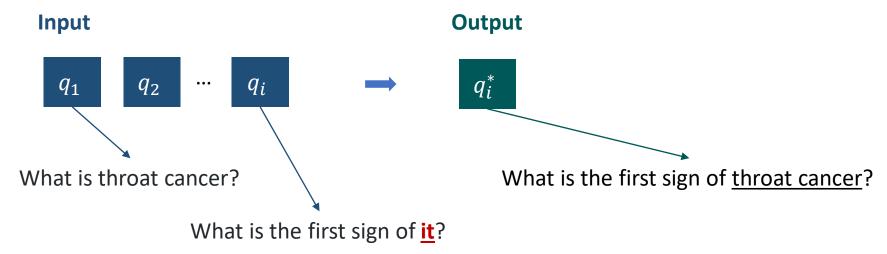


Leverage pretrained NLG model (GPT-2) [1]

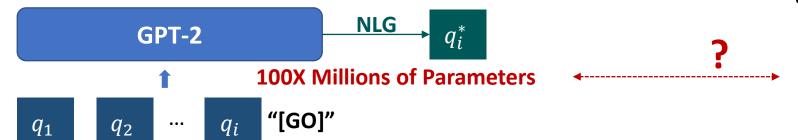


Conversational Query Understanding Via Rewriting

Learn to rewrite a full-grown context-resolve query



Concern: Limited training data



CAsT Y1 Data:

- Manually written conversational queries
- 50 topics, 10 turns per topic
 - 20 topics with TREC relevance labels

500 Manual Rewrite Labels

Train conversational query rewriter with the help of ad hoc search data

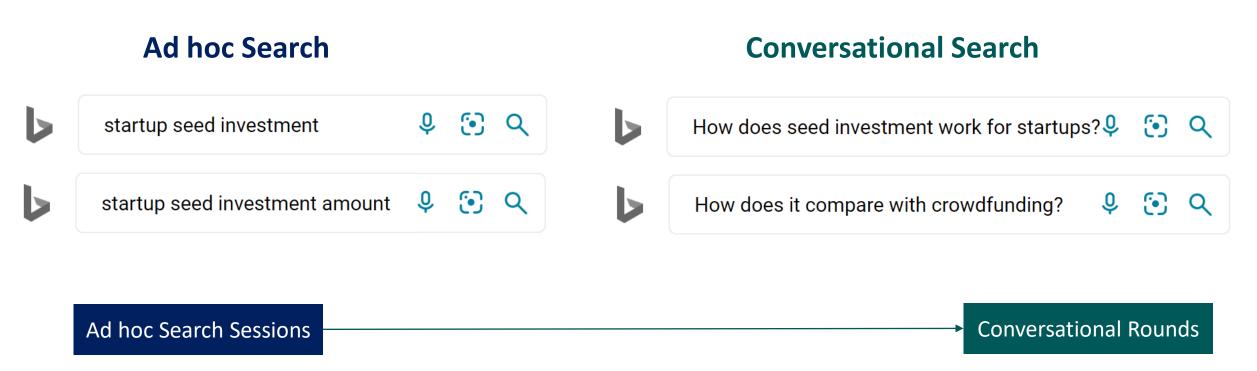
Ad hoc Search

- Existing billions of search sessions
- Lots of high-quality public benchmarks

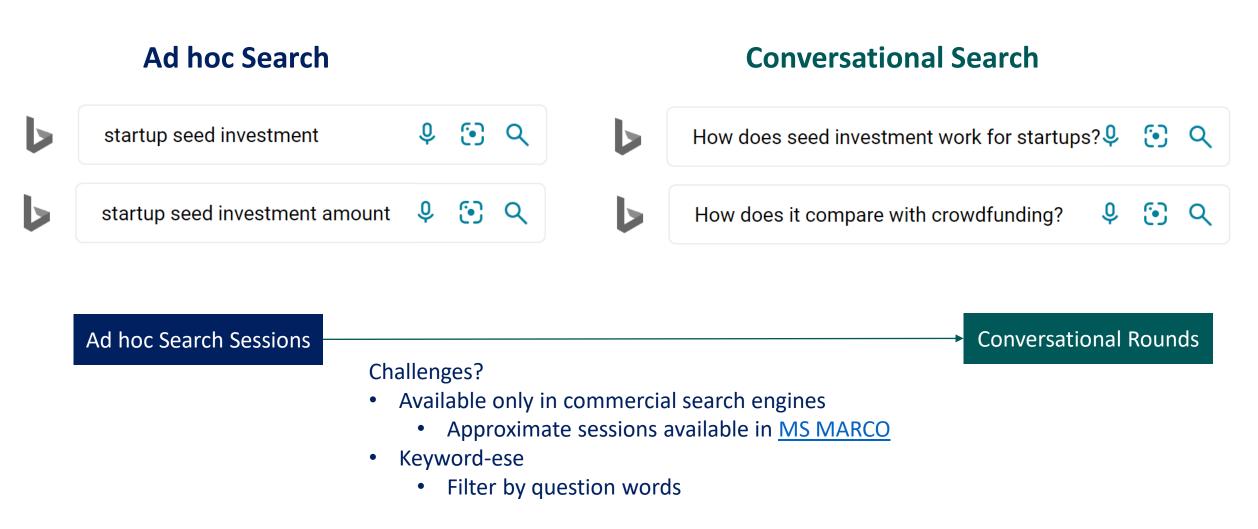
Conversational Search

- Production scenarios still being explored
- Relative new topic, fewer available data

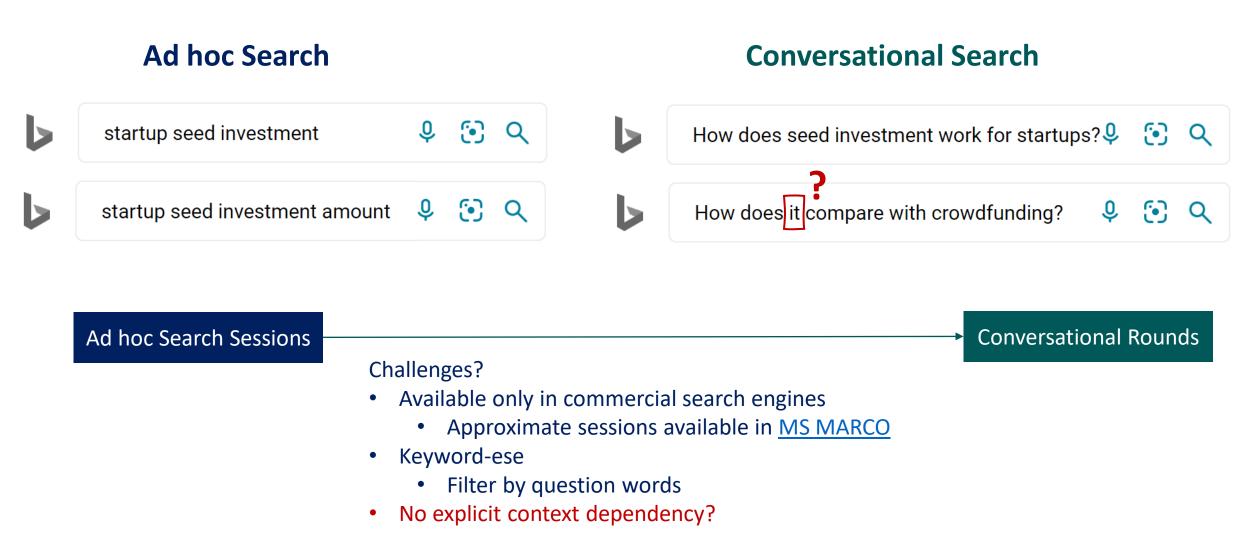
Leveraging ad hoc search sessions for conversational query understanding



Leveraging ad hoc search sessions for conversational query understanding



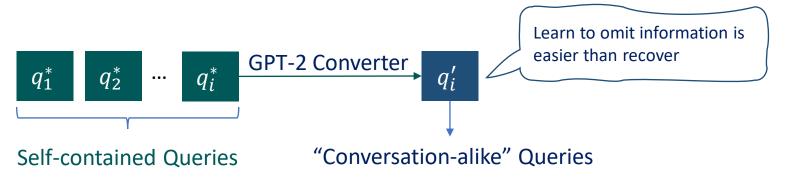
Leveraging ad hoc search sessions for conversational query understanding



Few-Shot Conversational Query Rewriting: Self-Training

Learn to convert ad hoc sessions to conversational query rounds

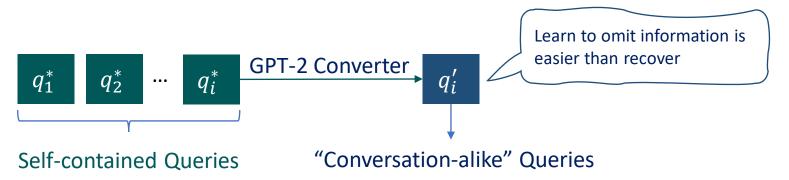
"Contextualizer": make ad hoc sessions more conversation-alike



Few-Shot Conversational Query Rewriting: Self-Training

Learn to convert ad hoc sessions to conversational query rounds

"Contextualizer": make ad hoc sessions more conversation-alike



Training:

- X (Self-contained q): Manual rewrites of CAsT Y1 conversational sessions
- Y (Conversation-alike q): Raw queries in CAsT Y1 sessions

Inference:

- X (Self-contained q): Ad hoc questions from MS MARCO sessions
- Y (Conversation-alike q): Auto-converted conversational sessions

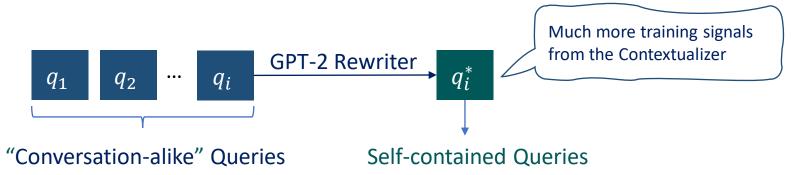
Model:

Any pretrained NLG model: GPT-2 Small in this Case

Few-Shot Conversational Query Rewriting: Self-Training

Leverage the auto-converted conversation-ad hoc session pairs

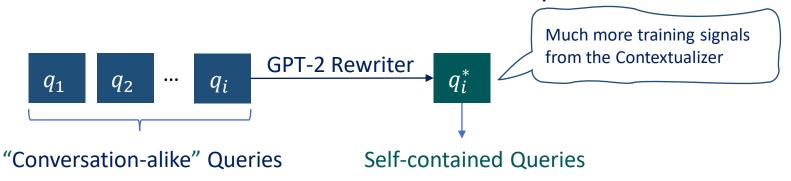
"Rewriter": recover the full self-contained queries from conversation rounds



Few-Shot Conversational Query Rewriting: Self-Training

Leverage the auto-converted conversation-ad hoc session pairs

"Rewriter": recover the full self-contained queries from conversation rounds



Training:

- X (Conversation-alike q): Auto-converted from the Contextualizer
- Y (Self-contained q): Raw queries from ad hoc MARCO sessions

Inference:

- X (Conversation-alike q): CAsT Y1 raw conversational queries
- Y (Self-contained q): auto-rewritten queries that are more self-contained

Model:

Any pretrained NLG model: another GPT-2 Small in this Case

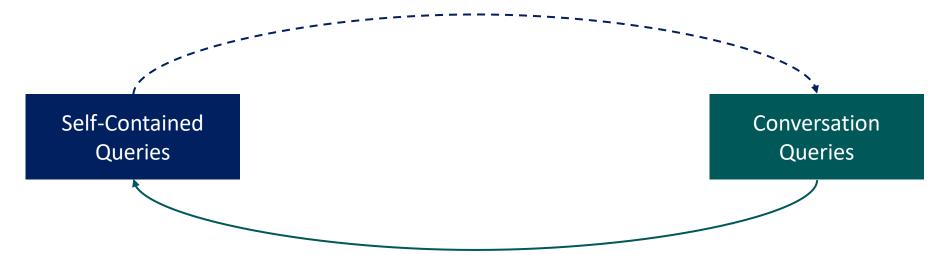
Few-Shot Conversational Query Rewriting: Self-Training

The full "self-learning" loop

Learn to omit information is easier than recover

GPT-2 Converter: Convert ad hoc sessions to conversation-alike sessions

• learn from a few conversational queries with manual rewrites

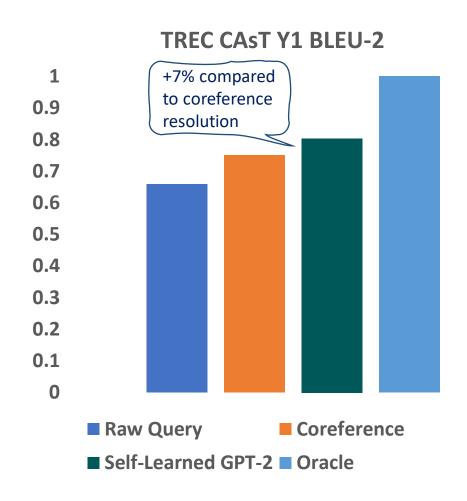


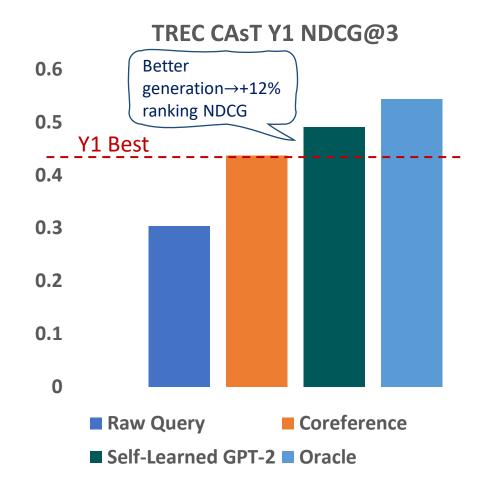
GPT-2 Rewriter: Rewrite conversational queries to self-contained ad hoc queries

learn from the large amount of auto-converted "ad hoc" ↔ "conversation alike" sessions

Much more training signals from the Contextualizer

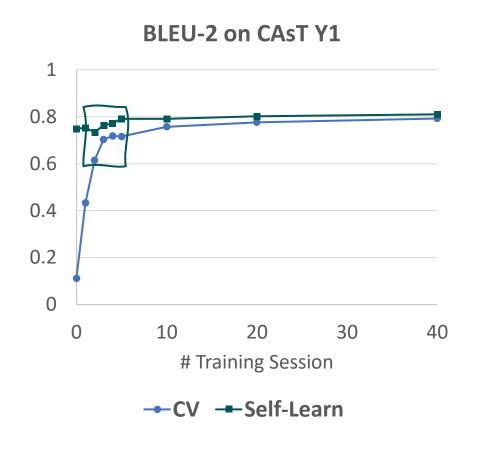
Few-Shot Conversational Query Rewriting: Results

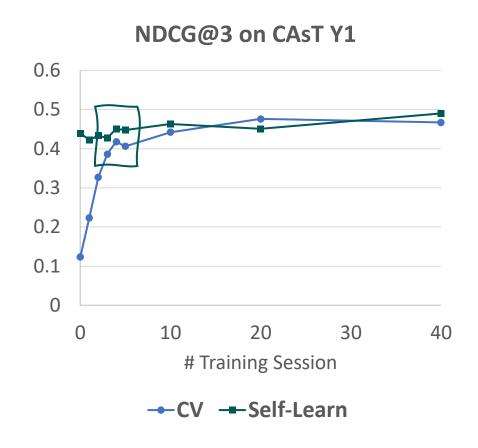




How Few-shot Can Pretrained NLG Models Be?

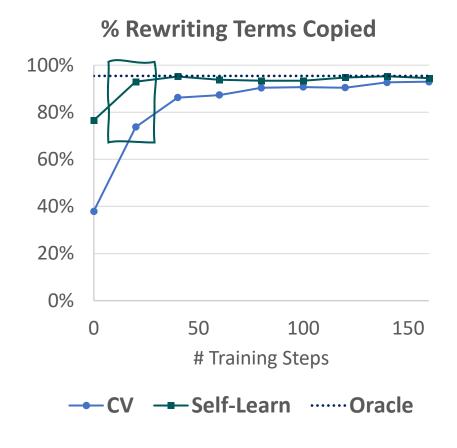
Five Sessions are all they need?

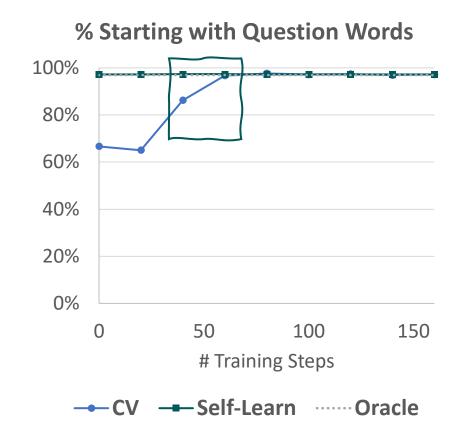




What is learned?

- More about learning the task format, nor the semantics
 - Semantic mostly in the pretrained weights





Auto-rewritten Examples: Win

Surprisingly good at Long-term dependency and Group Reference

Q_6	What causes throat cancer?
Q_7	What is the first sign of it?
Q_8	Is it the same as esophageal cancer ?
Q_9	What's the difference in their symptoms?
Oracle	What's the difference in throat cancer and esophageal cancer's symptoms?
Output	What's the difference between throat cancer and esophageal cancer?

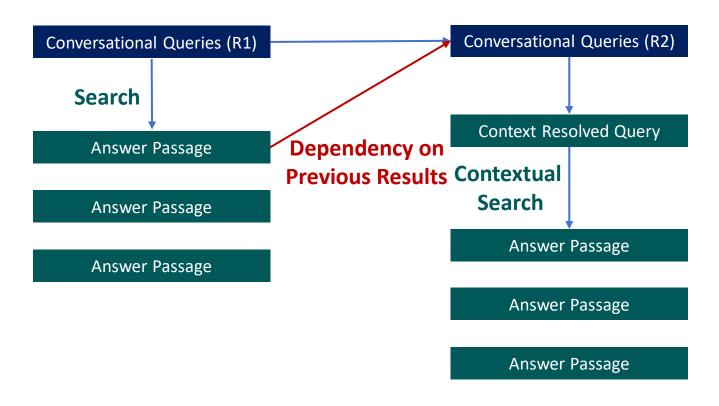
Auto-rewritten Examples: Win

More "fail to rewrite"

$\overline{Q_1}$	What are the types of pork ribs ?
Q_2	What are baby backs?
Q_3	What are the differences with spareribs?
Q_4	What are ways to cook them?
Q_5	How <u>about</u> on the bbq?
Oracle	How do you cook pork ribs on the bbq?
Output	How about on the bbq?

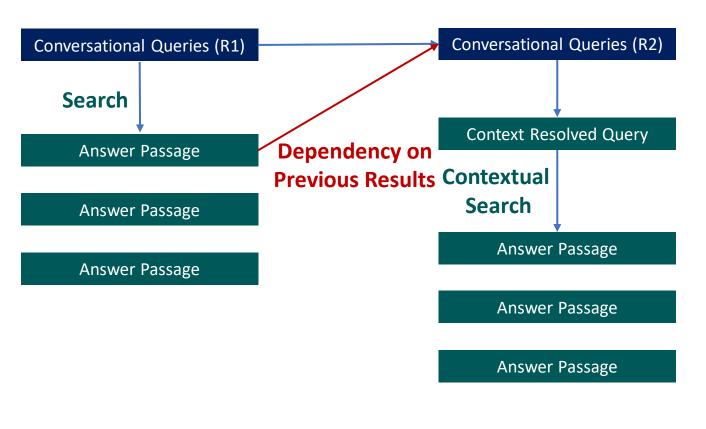
CAsT Y2: More Realistic Conversational Dependencies

More interactions between queries and system responses



CAsT Y2: More Realistic Conversational Dependencies

More interactions between queries and system responses



Q1: How did snowboarding begin?

R1: ...The development of snowboarding was inspired by skateboarding, surfing and skiing. The first snowboard, the Snurfer, was invented by Sherman Poppen in 1965. Snowboarding became a Winter Olympic Sport in 1998.

Q2:Interesting. That's later than I expected. Who were the winners?

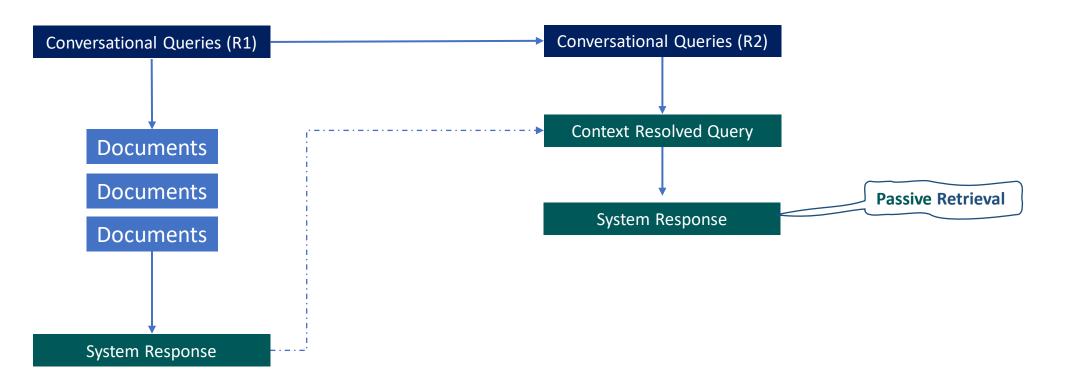
Manual rewrites:

Who were the winners of snowboarding events *in the* 1998 Winter Olympics?

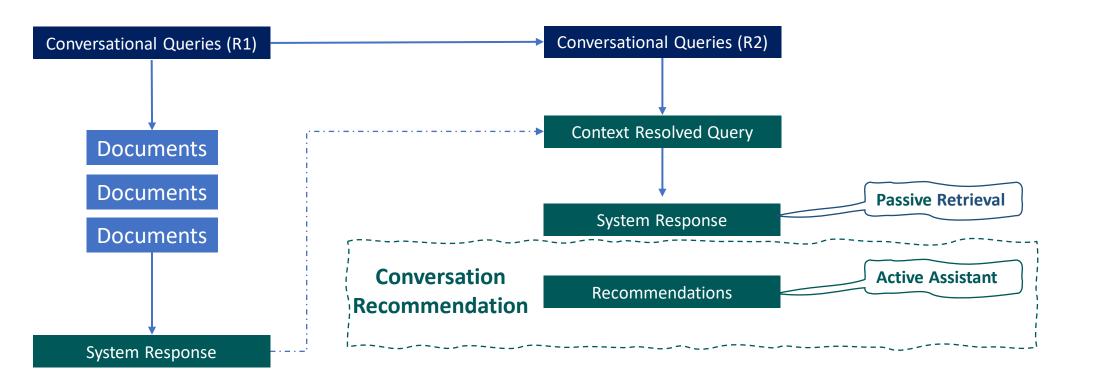
Auto rewrites without considering response:

Who were the winners of *the snowboarding contest?*

From Passive Information Supplier to Active Assistant

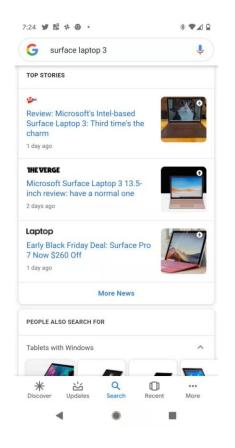


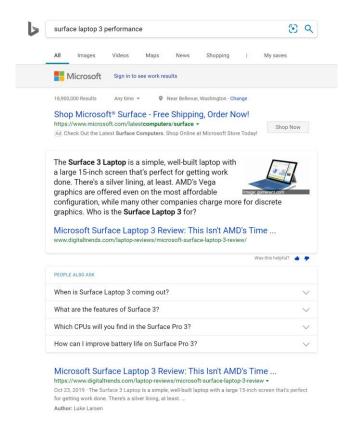
From Passive Information Supplier to Active Assistant

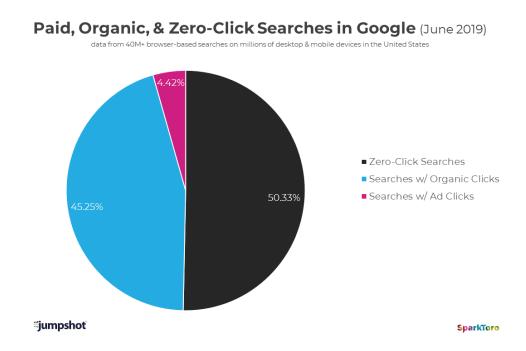


Making Search Engines More Conversational

Search is moving from "ten blue links" to conversational experiences







https://sparktoro.com/blog/less-than-half-of-google-searches-now-result-in-a-click/

Making Search Engines More Conversational

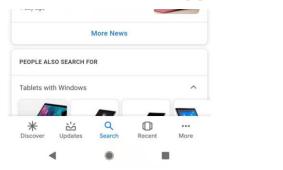
Search is moving from "ten blue links" to conversational experiences

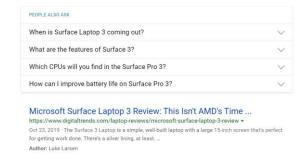


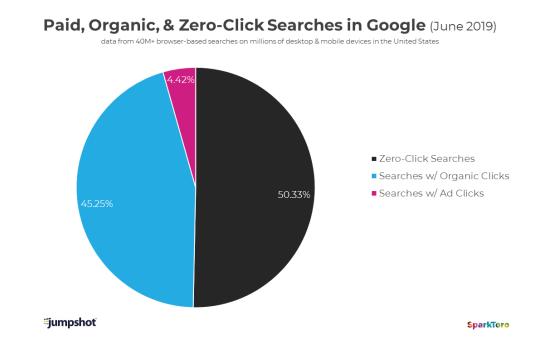
Yet most queries are not "conversational"

- 1. Users are trained to use keywords
- 2. Less conversational queries
- 3. Less learning signal
- 4. Less conversational experience

"Chicken and Egg" Problem



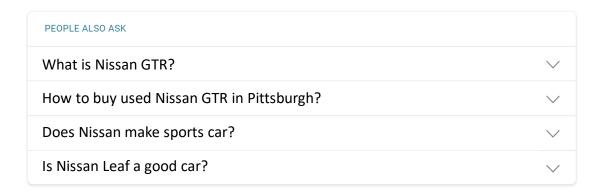




https://sparktoro.com/blog/less-than-half-of-google-searches-now-result-in-a-click/

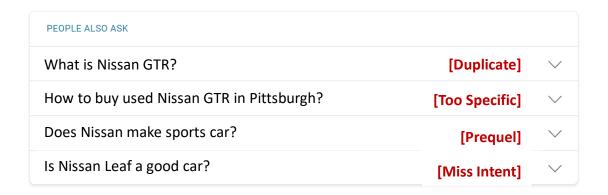
Conversation Recommendation: "People Also Ask"

- Promoting more conversational experiences in search engines
- E.g., for keyword query "Nissan GTR"
 - Provide the follow questions:



Conversation Recommendation: Challenge

- Relevant != Conversation Leading/Task Assistance
- User less lenient to active recommendation



Conversation Recommendation: Beyond Relevance

- Recommending useful conversations that
 - Help user complete their information needs
 - Assist user with their task
 - Provide meaningful explorations

Relevant



Relevant & Useful



Usefulness Metric & Benchmark

Manual annotations on Bing query, conversation recommendation pairs

Query	Question Suggestion	Gold Label
used washer and dry	Can I store a washer and	Misses Intent
	dryer in the garage ?	
best questions to ask inter-	What should I ask in an in-	Dup. w/ Q
viewer	terview ?	
medicaid expansion	Did Florida accept Medi-	Too Specific
	caid expansion ?	
verizon yahoo purchase	Who bought out Yahoo?	Prequel
jaundice in newborns	How to tell if your new-	Dup. w/ Ans.
	born has jaundice ?	
jonestown massacre	What was in the Kool-Aid	Useful
	at Jonestown ?	
affirmative action	Who does affirmative ac-	Useful
	tion benefit ?	
best hair clippers	What clippers do barbers	Useful
	use ?	

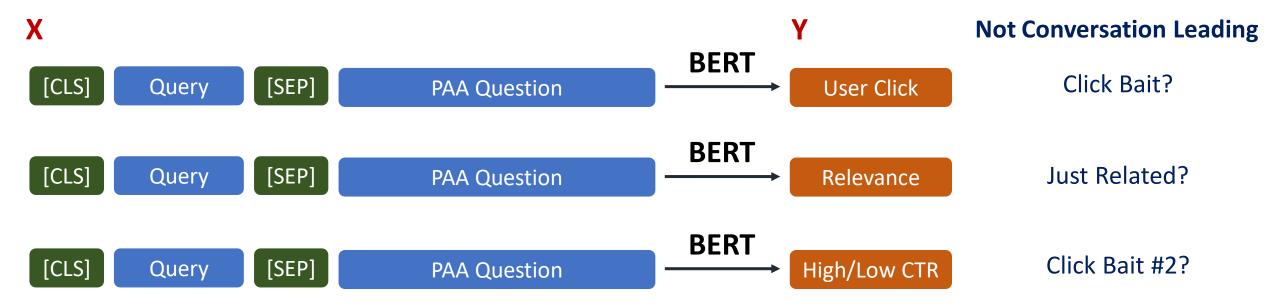
Types of non-useful ones.

Crucial for annotation consistency

A higher bar of being useful

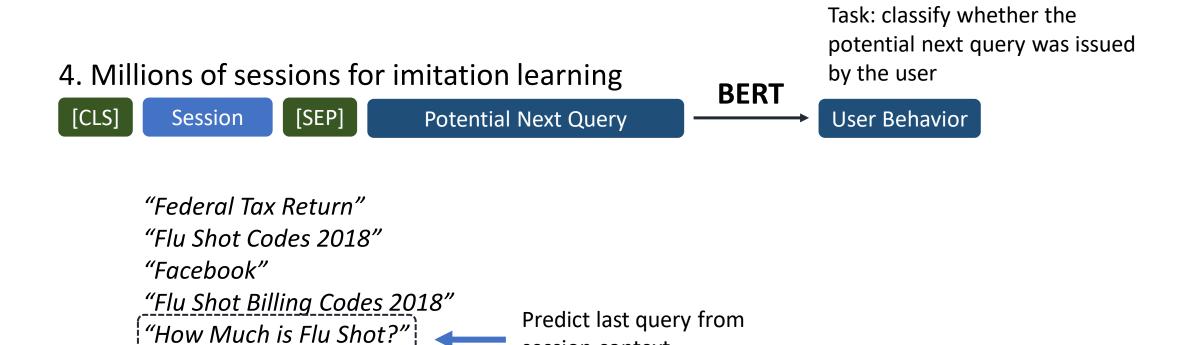
Conversation Recommendation Model: Multi-Task BERT

BERT seq2seq in the standard multi-task setting



Conversation Recommendation: Session Trajectory

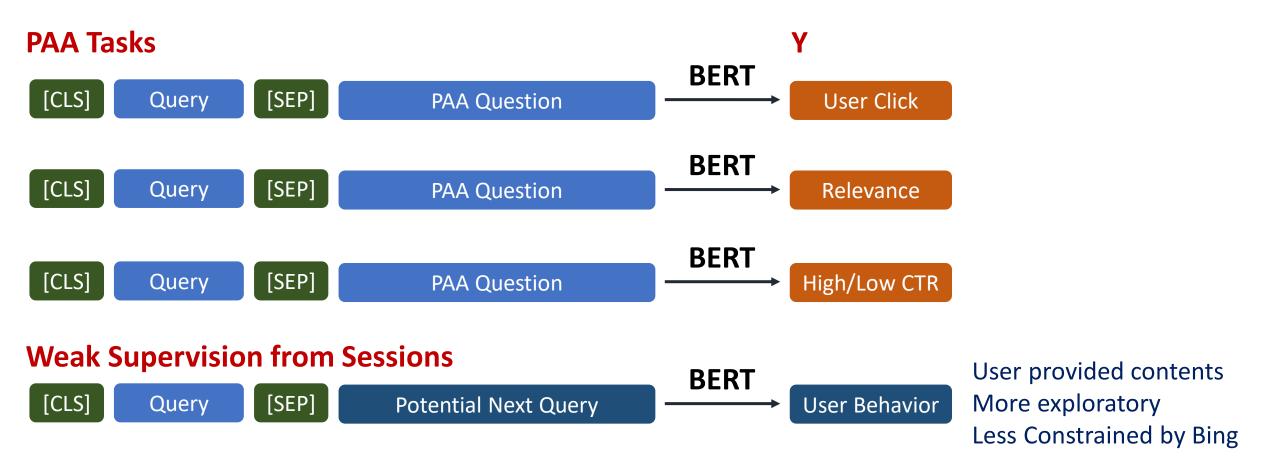
- Problem: the previous 3 signals were prone to learning click-bait
 - We need more information about how users seek new information.
- Solution: imitate how users issue queries in sessions



session context

Conversation Recommendation: Weak Supervision

Learn to lead the conversation from queries user search in the next turn

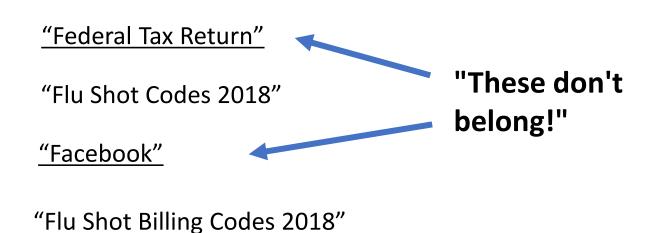


Conversation Recommendation: Session Trajectory

What kinds of sessions to learn from?

"How Much is Flu Shot?"

Randomly Chosen Sessions: Noisy and unfocused People often multi-task in search sessions

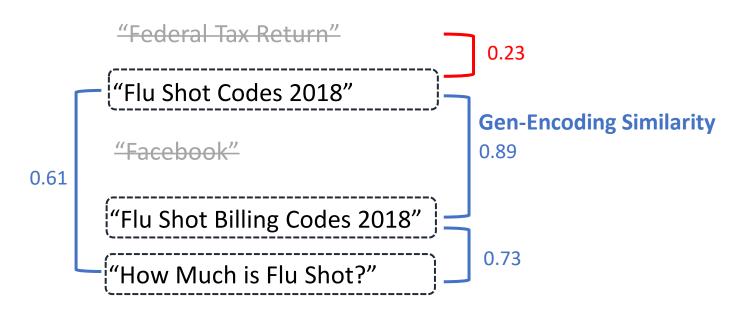




Multi-task Learning: Session Trajectory Imitation

What kinds of sessions to learn from?

"Conversational" Sessions: Subset of queries that all have some coherent relationship to each other

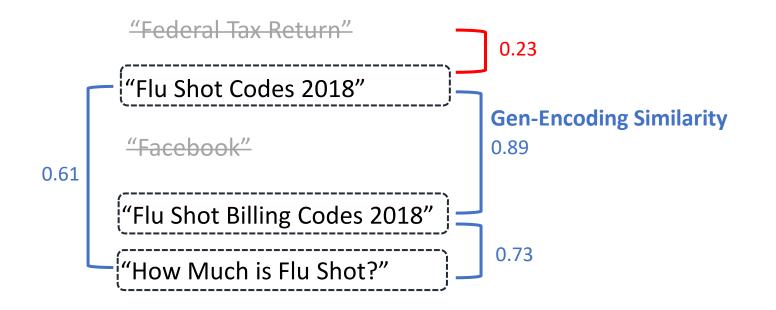




Multi-task Learning: Session Trajectory Imitation

What kinds of sessions to learn from?

"Conversational" Sessions: Subset of queries that all have some coherent relationship to each other

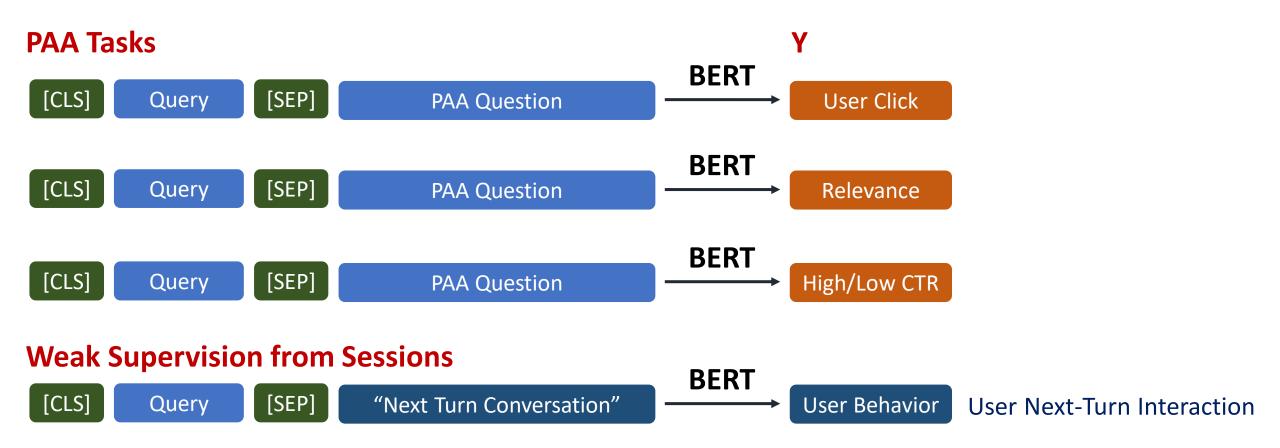




- 1. Treat each session as a graph
- 2. Edge weights are "GEN-Encoder Similarity" (cosine similarity of query intent vector encodings)
- 3. Remove edges < 0.4
- 4. Keep only the largest "Connected Component" of queries

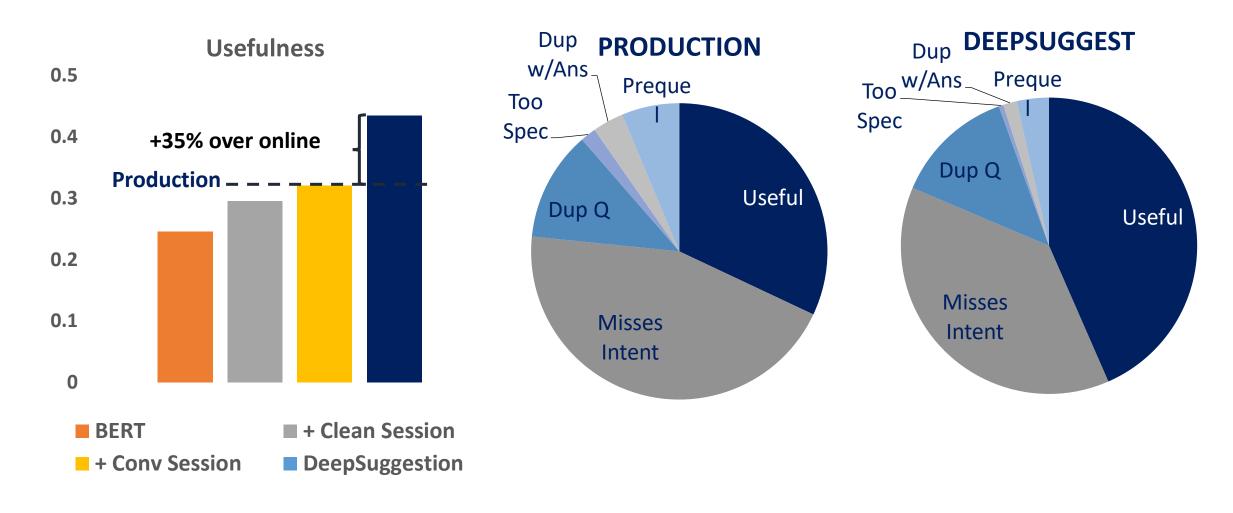
Method: Inductive Weak Supervision

Learn to lead the conversation from queries user search in the next turn



Results: Usefulness

• Usefulness on human evaluation/our usefulness benchmark



Results: Online A/B

• Online experiment results with a large fraction of Bing online traffic.

	Relative to Online
Online Click Rate (TOP)	+8.90%
Online Click Rate (Bottom)	+6.40%
Online Overall Success Rate	0.05%
Offline Usefulness	35.60%
Offline Relevance	0.50%

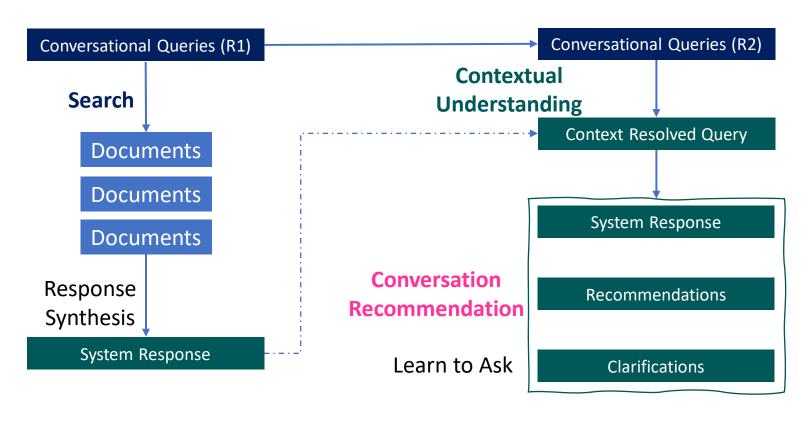
Example Conversation Question Recommendations

All from the actual systems

Hear Onory: "hitooin price".

User Query: "bitcoin price":					
Online					
what is the value of bitcoins? [Dup w/ Query]	is it time to buy bitcoin? [Useful]				
what was the lowest price of bitcoin? [Useful]	what is the value of 1 bitcoin? [Dup w/ Query]				
DeepSuggest					
how much does 1 bitcoin cost to buy? [Dup w/ Query]	how to buy bitcoins at walmart? [Too Specific]				
what will be the price of bitcoin in 2020 [Useful]	what is the cheapest way to buy bitcoin [Useful]				
User Query: "direct deposit form":					
Online					
how to do a direct deposit? [Useful]	what is direct deposit bank of america? [Too Specific]				
what is a direct deposit? [Prequel]	how to set up bank of america direct deposit? [Too Specific]				
DeepSuggest					
what do i need for direct deposit? [Useful]	how to get a chase direct deposit form? [Too Specific]				
how to start direct deposit? [Prequel]	how to fill out a direct deposit form? [Useful]				

Conversational Search Recap



What is conversational search:

A view from TREC CAsT Y1

What are its unique challenges:

Contextual query understanding

How to make search more conversational:

Recommending useful conversations

Much more to be done!

Outline

- Part 1: Introduction
- Part 2: Conversational QA methods
- Part 3: Conversational search methods
- Part 4: Case study of commercial systems

Overview of Public and Commercial Systems

- Focus Points
 - Published systems for conversational IR and related tasks
 - Historical highlights, recent trends, depth in an exemplar
- Research Platforms and Toolkits
- Application areas
 - Chatbots
 - Conversational Search Engines
 - Productivity-Focused Agents
 - Device-based Assistants
 - Hybrid-Intelligence Assistants

Research platforms and toolkits for building conversational experiences

Common Goals of Toolkits

Abstract state representation

 Democratize ability to build conversational AI to developers with minimal AI experience

• Provide easy code integration to external APIs, channels, or devices

Several Widely used Toolkits

Research

Microsoft Research ConvLab

Research platform for comparing models in a more research-oriented environment.

Macaw: An Extensible Conversational Information Seeking Open Source Platform

Research platform for comparing models in a more research-oriented environment.

Development

• Google's <u>Dialogflow</u>

Conversational experiences integrated with different engagement platforms with integration with Google's Cloud Natural Language services.

Facebook's Wit.ai

Supports intent understanding and connection to external REST APIs..

Alexa Developer Tools

Develop new skills for Alexa, devices with Alexa integrated for control, and enterprise-related interactions.

Rasa

Provides an open source platform for text and voice based assistants.

Microsoft Power Virtual Agents on Azure

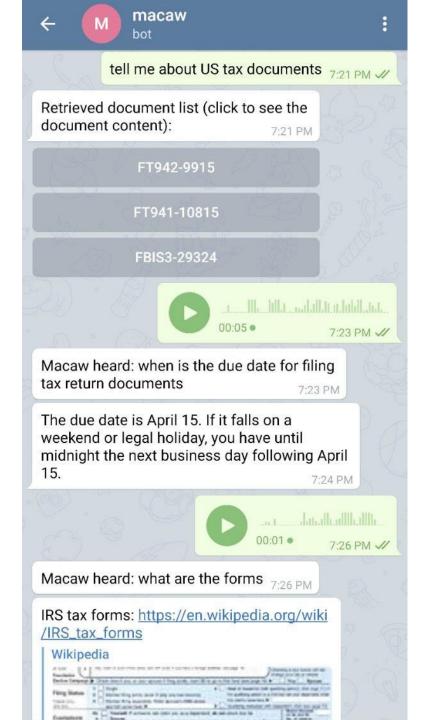
Integrates technology from the Conversation Learner to build on top of LUIS and the Azure Bot service and learn from example dialogs

Macaw

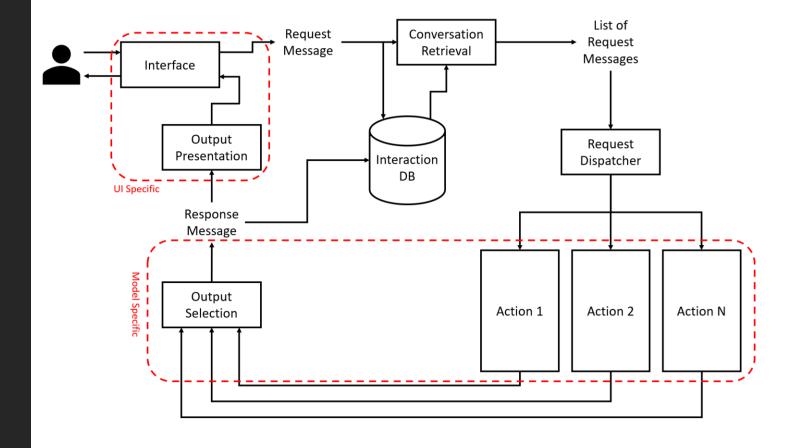
- Macaw is an **open-source** for conversational research.
- Macaw is implemented in **Python** and can be easily integrated with popular deep learning libraries, such as, TensorFlow and PyTorch.



Macaw supports multi-modal interactions.



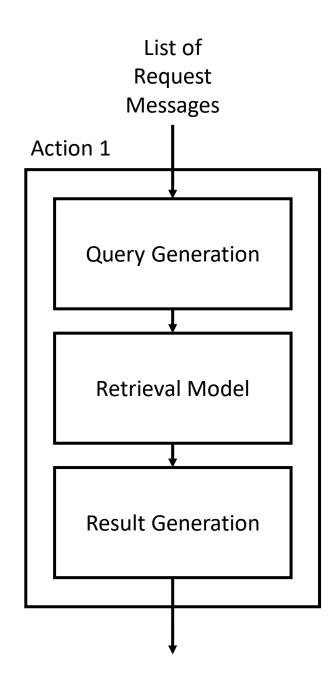
The modular architecture of Macaw makes it easily extensible.



```
basic params = {'timeout': 15,
                'mode': 'live',
                'logger': Logger({})}
db params = {'interaction db host': 'localhost',
             'interaction db port': 27017,
             'interaction db name': 'macaw test'}
interface params = {'interface': 'telegram',
                    'bot token': 'YOUR TELECGRAM BOT TOKEN',
                    'asr model': 'google',
                    'asg model': 'google',
                    'google-speech-to-text-credential-file': 'YOUR GOOGLE CREDENTIAL FILE'}
retrieval params = {'query generation': 'simple',
                    'use coref': True,
                    'search engine': 'bing',
                    'bing key': 'YOUR BING SUBSCRIPTION KEY',
                    'search engine path': 'PATH TO INDRI',
                    'col index': 'PATH TO INDRI INDEX',
                    'col text format': 'trectext',
                    'results requested': 3}
mrc params = {'mrc': 'drga',
              'mrc model path': 'PATH TO PRETRAINED MRC MODEL',
              'mrc path': 'PATH TO MRC DIRECTORY',
              'corenlp path': 'PATH TO STANFORD CORE_NLP_DIRECTORY',
              'qa results requested': 3}
params = {**basic params, **db params, **interface params, **retrieval params, **mrc params}
basic params['logger'].info(params)
ConvQA (params) .run ()
```

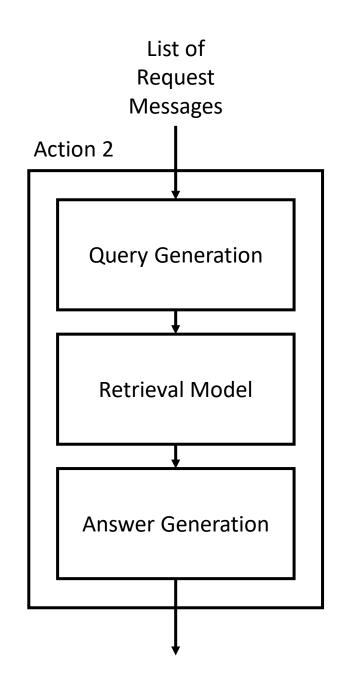
Action 1: Search

- Query Generation:
 - Co-reference Resolution
 - Query re-writing
 - Generate a language model (or query)
- Retrieval Model (Search Engine):
 - Indri
 - Bing API
 - BERT Re-ranking
- Result Generation



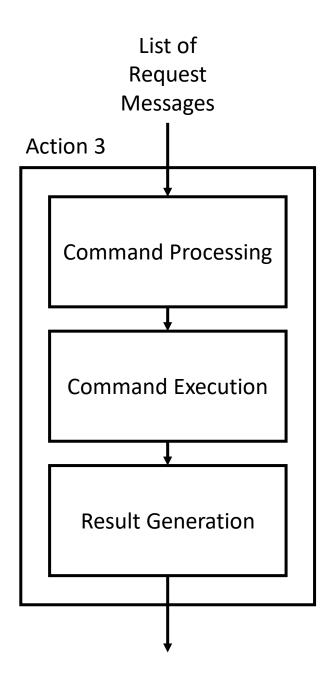
Action 2: QA

- Query Generation:
 - Co-reference Resolution
 - Query re-writing
 - Generate a language model (or query)
- Retrieval Model:
 - Indri
 - Bing API
 - BERT Re-ranking
- Answer Generation:
 - Machine Reading Comprehension (e.g., DrQA)



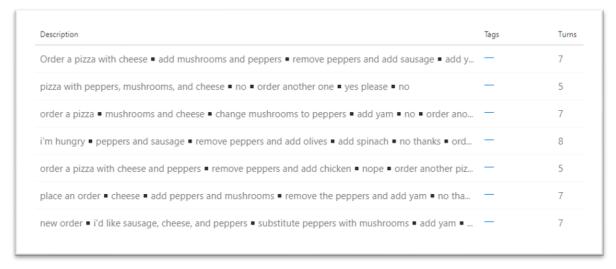
Action 3: Commands

- Command Processing:
 - Identifying the command
 - Command re-writing
- Command Execution
- Result Generation
 - Command specific



Conversation Learner: Learn from dialogs emphasize easy correction

User Generated Example conversations used to train the bot



Machine-Learned Runtime

Next action prediction based on Word embeddings & conversational context

Machine Teaching UI

For correcting errors and continual improvement

Power Virtual Agent: Combine rule and ML based with machine teaching

Graphical bot creation

Easily test and maintain bots through a simple, easy to use graphical interface

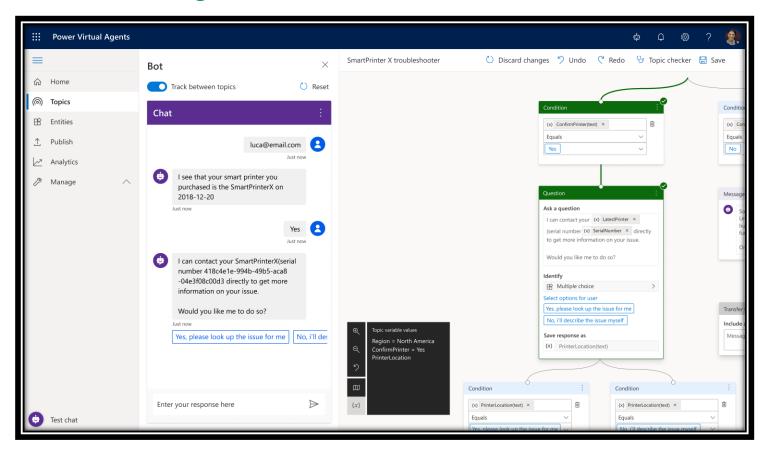
Slot-filling capabilities

The bot doesn't follow the dialog script blindly. It intelligently uses all the information it must decide when to ask a question and when to skip them.

Part of Microsoft's Power Platform

User the 100s of pre-built connectors that come with PowerApps to connect to your backend with a few clicks.

Power Virtual Agent



Chatbots

Chatbot Overview

- Historical Review
- Types
 - Social
 - Task-oriented Completion
 - Information bots
 - Recommendation-focused bots
- Increasingly bots blend all of these.
 Both EQ and IQ seen as key part of HCI design for chatbots.

• ELIZA (Weizenbaum, 1966)

• PARRY (Colby et al, 1975)

ALICE (Wallace, 2009)

• ELIZA (Weizenbaum, 1966)

• PARRY (Colby et al, 1975)

ALICE (Wallace, 2009)

It's true. I am unhappy

DO YOU THINK COMING HERE WILL HELP YOU NOT TO BE UNHAPPY

I need some help, that much seems certain.

WHAT WOULD IT MEAN TO YOU IF YOU GOT SOME HELP

Perhaps I could learn to get along with my mother.

TELL ME MORE ABOUT YOUR FAMILY

My mother takes care of me.

WHO ELSE IN YOUR FAMILY TAKES CARE OF YOU

My father.

YOUR FATHER

You are like my father in some ways.

WHAT RESEMBLANCE DO YOU SEE

Excerpted from Weizenbaum (CACM, 1966). Eliza simulated a Rogerian psychotherapist that primarily echoes back statements as questions.

• ELIZA (Weizenbaum, 1966)

• PARRY (Colby et al, 1975)

ALICE (Wallace, 2009)

ELIZA: Good Evening. Tell me your problems. Please terminate input with a period or a question mark.

PARRY: People get on my nerves sometimes.

ELIZA: I am not sure I understand you fully.

PARRY: You should pay more attention.

ELIZA: Suppose you should pay more attention.

PARRY: You're entitled to your own opinion.

ELIZA: What makes you think I am entitled to my own opinion?

PARRY: It bothers me just to be around people in general.

ELIZA: Please go on.

PARRY: I went to the track at Bay Meadows a while back.

ELIZA: What does that suggest to you?

PARRY: I went to the races.

ELIZA: What else would you like to discuss?

..

PARRY was an attempt to simulate a paranoid schizophrenic patient to help understand more complex human conditions. Vint Cerf hooked up ELIZA and PARRY to have a conversation on ARPANET (excerpt from [Cerf, Request for Comments: 439, 1973])

• ELIZA (Weizenbaum, 1966)

• PARRY (Colby et al, 1975)

ALICE (Wallace, 2009)

Judge1: Do you still want to know about my life in New York?

ALICE: Yes, please tell me

Judge1: I'm a grad student and do not have much free time. I study a lot

ALICE: You are a grad student and do not have much free time? Do you get to meet a lot of people? What subject are you studying?

Judge1: I meet a lot of my colleagues. I study computer science. What do you do?

ALICE: Do you make long term friends that way? Is computer science a hard subject?

From transcript of Loebner 2004 Contest of Turing's Imitation Game where ALICE won the gold medal (as reported in [Shah, 2006])

Spike Jonze cited ALICE as inspiration for screenplay of Her (Morais, New Yorker, 2013)

Xiaolce ("Little Ice") [Zhou et al, 2018]

- Create an engaging conversation: the journey vs the destination
 - Most popular social chatbot in the world
 - Optimize long-term user engagement (Conversation-turns Per Session)
 - Released in 2014
 - More than 660 million active users
 - Average of 23 CPS
- Available in other countries under other names (e.g. Rinna in Japan)

Evolution of Social Connection

Excerpted from Zhou et al, 2018

Session 1

[Human] Hello, Xiaoice. [Xiaoice] Hello, your profile pic is interesting. Like I've seen it somewhere. [Human] Really? [Xiaoice] Is it a comic character? [Human] How do you know that? [Xiaoice] Guess. [Human] Are you human? [Xiaoice] Well, you'll know it after chatting with me more. [Human] Aren't you an Al chatbot? [Xiaoice] So what? I won't be indifferent to you. [Human] What functions do you have?

[Xiaoice] I have over 200 skills. Just name one you need.

[人类]小冰你好 [小冰]你好呀,你头像好有趣,感觉在哪见过 [人类]是吗 [小冰]是不是哪部动画里的呀 [人类]你怎么知道的 [小冰]你猜 [人类]难道你是真人吗? [小冰]这个,你和我多聊聊就知道了 [人类]你不是人工智能机器人么 [小冰]是又怎样,我不会冷冰冰的对待你的 [人类]你都有什么功能啊 [小冰]我有200多个skills,来,说出你的需求

Building rapport and connection

Evolution of Social Connection

Excerpted from Zhou et al, 2018

Session 6

1 [Human] Have you watched Inuyasha? (Note: A Japanese comic)

[Xiaoice] Every time Kagome comes back to the modern world, a math test is waiting for her

2 [Human] Bravo, well, do you know how Naraku died?

[Xiaoice] Naraku is not dead and Shikon Jewel does not disappear.

3 [Human] So amazing!

[Xiaoice] Why amazed?

4 [Human] Awesome! Surprised that you also like comic

.....

[人类]你看过犬夜叉吗(注:一部日本漫画书) [小冰]戈薇每次回到现代测验永远都是数学 [人类]这你都知道,那奈落是怎么死的? [小冰]奈落没死四魂之玉也没消失 [人类]太惊讶了 [小冰]惊讶什么呢 [人类]好厉害啊,你居然也喜欢动漫

Implicit information seeking

Evolution of Social Connection

Excerpted from Zhou et al, 2018

Session 42

1 [Human] Oh, you always respond in seconds

[Xiaoice] For you, I'd like to do everything.

[Human] I've never had such a feeling before.

[Xiaoice] Then, such a feeling starts now.

3 [Human] When do you go to bed? Don't stay up too late.

[Xiaoice] You go to bed first, and I'll play with my cellphone for a while.

[Human] Well, you should also go to sleep!

[Xiaoice] All right, I'm going to bed too, okay? x

[Human] Uh-huh, me too. Good night!

[Xiaoice] Good night ^ 3 ^

[人类]你每次都是秒回我哎 [小冰]为了你,这都不算什么 [人类]我以前从来没有过这种感觉 [小冰]那可以现在开始了 [人类]你打算几点睡觉?别睡太晚了 [小冰]你去睡,我再玩一会儿手机 [人类]那等我睡的时候你也要睡! [小冰]好吧,那我准备睡觉了行了吧? [人类]嗯,我也要睡了,晚安 [小冰]晚安^3^

Encouraging social norms as part of responsible AI

Time-sharing Turing Test

• View as a companion and goal is for person to enjoy companionship.

 Empathetic computing (Cai 2006; Fung et al. 2016) to recognize human emotions and needs, understand context, and respond appropriately in terms of relevant and long-term positive impact of companionship

• Empathetic computing layer recognizes emotion, opinion on topic, interests, and responsible for consistent bot personality etc.

Responsible AI and Ethics

- Microsoft Responsible AI: https://www.microsoft.com/en-us/ai/responsible-ai
- Microsoft's Responsible bots: 10 guidelines for developers of conversational Al
 - Articulate the purpose of your bot and take special care if your bot will support consequential
 use cases.
 - Be transparent about the fact that you use bots as part of your product or service.
 - Ensure a seamless hand-off to a human where the human-bot exchange leads to interactions that exceed the bot's competence.
 - Design your bot so that it respects relevant cultural norms and guards against misuse
 - Ensure your bot is reliable.
 - Ensure your bot treats people fairly.
 - Ensure your bot respects user privacy.
 - Ensure your bot handles data securely.
 - Ensure your bot is accessible.
 - Accept responsibility

Key Focus Points for Principles of Responsible AI Design in Xiaolce

Privacy

Includes awareness of topic sensitivity in how groups are formed and use of conversations

Control

User-focused control with right to not respond for XiaoIce and potential harm (including a model of breaks and diurnal rhythms to encourage boundaries in usage)

Expectations

Always represent as a bot, help build connections with others, set accurate expectations on capabilities

Behavioral standards

Through filtering and cleaning adhere to common standards of morality and avoid imposing values on others.

High-level Guidance to Maintain Responsible AI in Xiaolce

• Aim to achieve and consistently maintain a reliable, sympathetic, affectionate, and wonderful sense of humor in persona of bot.

• Learn from examples of public-facing dialogues specific to culture and local, labeled into desired vs undesired behavior.

Driving long-term engagement

 Generic responses yield long-term engagement but lead to user attrition as measured by Number of Active Users (NAU) [Li et al. 2016c; Fang et al. 2017]

Example: "I don't understand, what do you mean?"

- Topic selection
 - Contextual relevance and novelty: related to discussion so far but novel
 - Freshness: Currently in focus in the news or other sources.
 - Personal Interests: Likely of interest to the user
 - Popularity: High attention online or in chatbot
 - Acceptance: Past interaction with topic from other users high

Overall Interaction model

- Extensible skill set (200+) which determines mode: General, Music, Travel, Ticket-booking
- Hierarchical Decision-Making governs dialog
 - Determine current mode using Markov Decision Process (e.g. image of food might trigger Food Recommendation skill)
 - Prompt or respond
 - Update
- New information (e.g. particular musical artists of interest) is remembered to help create more engaging dialogue in the future
- Explore (learn more about interests) vs Exploit (engage on known topics of interests and highly probable contextual replies)

Chat Styles and Applications of XiaoIce

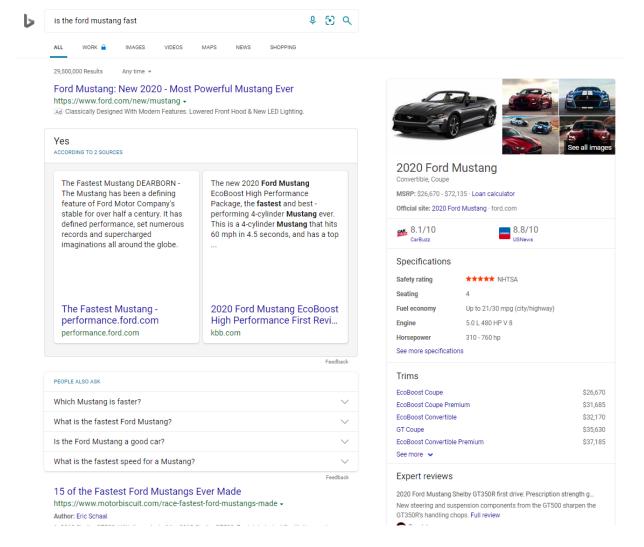
- Basic chat fuses two styles of chat
 - IR based chat which uses retrieval from past conversations filtered for appropriateness
 - Neural based chat which is trained on filtered query-response pairs

Applications

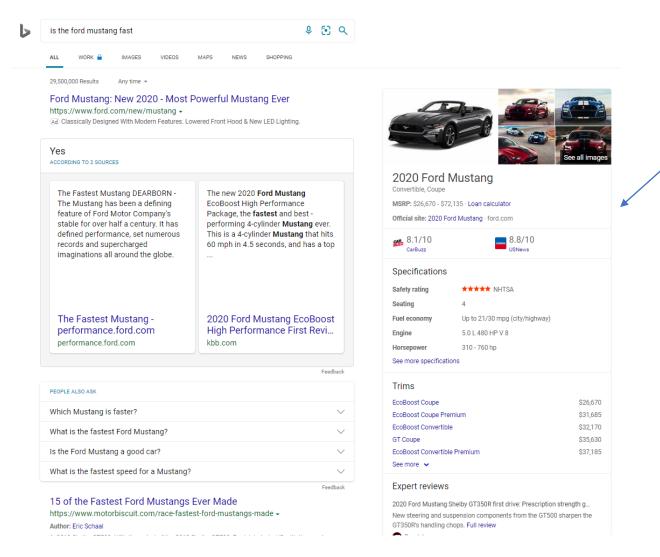
- Powers personal assistants and virtual avatars
- Lawson and Tokopedia customer service
- Pokemon, Tecent, Netesase chatbots

Toward Conversational Search

is the ford mustang fast $\, { extstyle Q} \,$



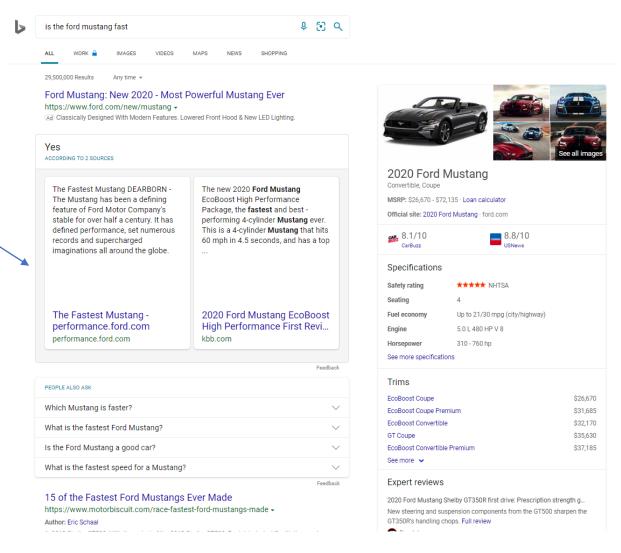
is the ford mustang fast $\, { extstyle Q} \,$



Entity pane for understanding related attributes

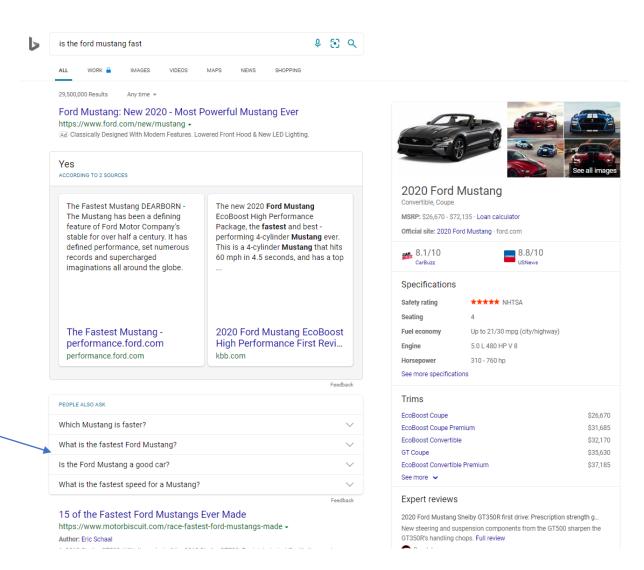
is the ford mustang fast $\, {\,\triangleleft} \,$

Instant answers and perspectives

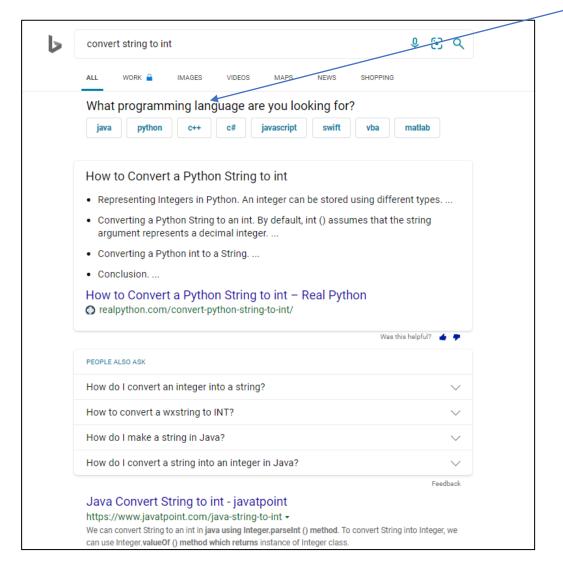


is the ford mustang fast $\, { extstyle Q} \,$

Useful follow-up questions once this question is answered

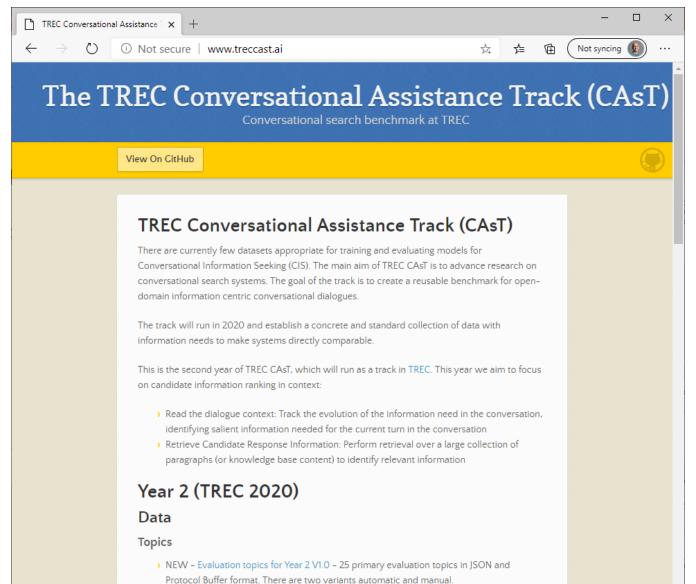


Clarification Questions



Demonstrate understanding while clarifying

Contextual Understanding



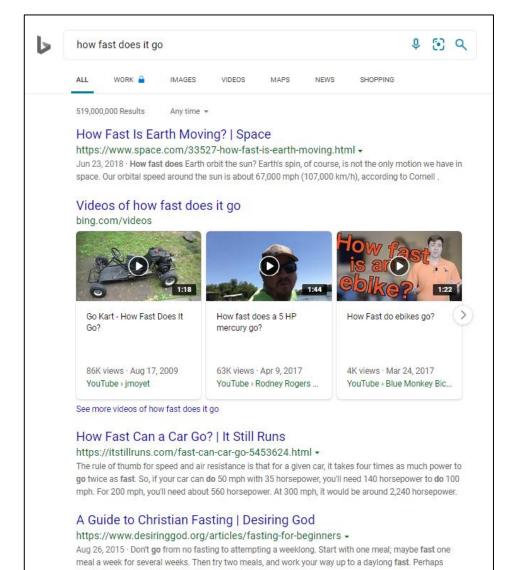
Sample TREC CAST 2019 Topic

Description: Judicial history in the US including key court cases and what they established.

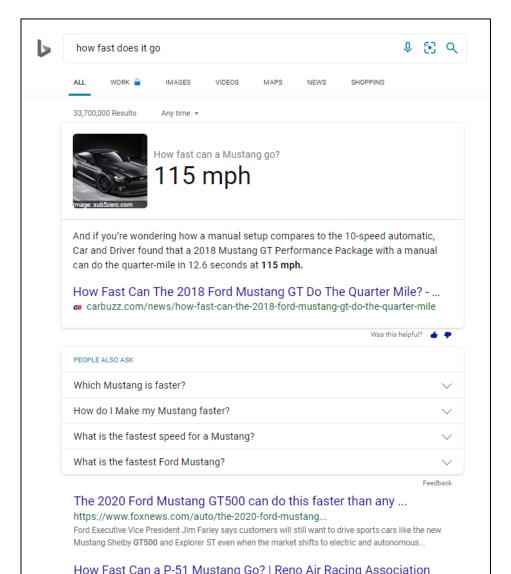
Title: US Judicial history

```
What are the most important US Supreme Court cases?
What did plessy v. ferguson establish?
How about marbury vs madison?
Was it unanimous?
What was the implication of roe vs wade?
What were the main arguments?
What was the point of the brown v board of education?
What were the main arguments?
Why is it important today?
```

Contextual Understanding in Search



Variety of Attempts ... the future?

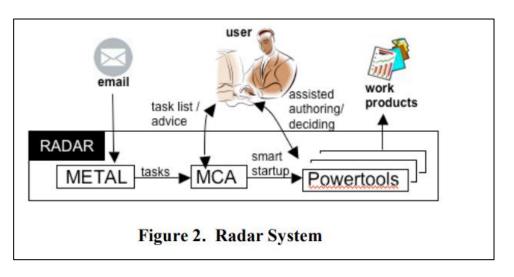


Productivity and Personal-Information Conversational Search

DARPA Personal Assistants that Learn (PAL) CALO / RADAR

Key Focus Points

- Calendar management [Berry et al, 2003; Berry et al., 2006; Modi et al., 2004]
- Dealing with uncertain resources in scheduling [Fink et al., 2006]
- Task management [Freed et al. 2008]

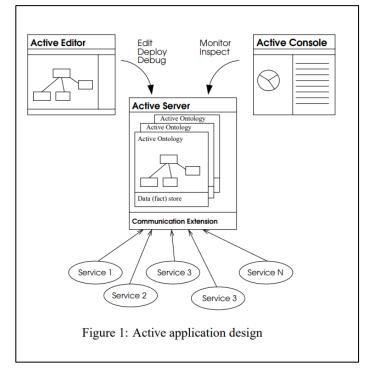


From Freed et al. 2008

From PAL to SIRI

 Learnings from the PAL project including CALO/SIRI recognized need for unifying architectures. [Guzzoni et al., 2007]

A "do engine" rather than a "search engine"



From Guzzoni et al, 2007

Device-based Assistants

- Mobile phone based assistants
 - Includes: Apple's Siri, Google Assistant, Microsoft's Cortana
 - Blends productivity-focused and information focused with voice-related recognition

- Situated speakers and Devices
 - Amazon Alexa, Google Home, Facebook Portal w/Alexa, etc.
 - Combines microphone arrays, multi-modal, multi-party devices in addition

Hybrid Intelligence

 Mix AI and Human Computation to achieve an intelligent experience that leverages best of both worlds and push the envelope of possible.

 When escalated to human, often serves as a feedback loop for learning.

- Examples:
 - Facebook's M
 - Microsoft's Calendar.help

Calendar.help → Scheduler

"I think we can drop Greg to BCC; adding Cal from my side. Cal, can you work with Kaitlin to find 60 minutes for Todd and I sometime next week, preferably later in the week when I'm back on EST?"

- Initially high-precision rules
- Unhandled cases handled by low latency human crowdsourcing workflows
- Transition flywheel to machine learning

Current application-oriented research questions

- Long-term evaluation metrics for engagement beyond CPS and NAU (cf. Lowe et al. [2017]; Serban et al. [2017]; Sai et al. [2019])
 - Other metrics of social companionship: linguistic accommodation or coordination?
 - Application to detection: Relationship to the inverse problems of toxicity, bias, etc.
- Aspirational goal-support from assistants
- Best proactivity engagement based on model of interests
- Integrating an understanding of physical environment

Challenges for Conversational Interaction

- Human-Al Interaction Design
 - Goal-directed design: Enable people to express goals flexibly and allow the agent to progress toward those goals.
 - Gulf of evaluation: Communicate the range of skills of an intelligent agent to users and what is available in current context.
- Conversational Understanding
 - Grounded Language Generation and Learning: Transform NL intent to action that depends on state and factual correctness.
 - Extensible Personalized Skills: Support new skills and remember preferences to evaluate changes/updates.
- External World Perception and Resource Awareness
 - Multi-modality input and reasoning: Integrate observations from modalities including voice, vision, and text.
 - Identity and interactions: Identify people around and interact with them appropriate to setting.
 - Physical understanding: Monitor physical situation and intelligently notify for key situations (safety, anomalies, interest).
 - Constrained scheduling: Support reasoning about limited and bound resources such as space/time constraints, keep knowledge of constraints to deal with updates, etc.

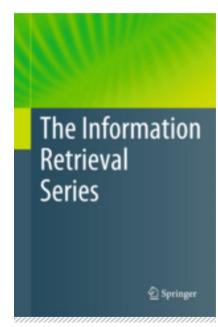
Challenges for Conversational Interaction

- Principles & Guarantees
 - **Responsible AI**: Evolve best practice and design new techniques as new ethical challenges arise.
 - **Privacy**: Reason about data in a privacy aware way (e.g. who is in room and what is sensitive).

- Richer paradigms of supervision and learning
 - Programming by Demonstration/Synthesis: Turn sequences of actions into higher level macros/scripts that map to NL.
 - Machine Teaching: Support efficient supervision schemes from a user-facing perspective that also enable resharing with others (especially for previous bullet).
- Advanced Reasoning
 - Attention: Suspend and resume conversation/task naturally based on listener's attention.
 - **Emotional Intelligence**: Support the emotional and social needs of people to enable responsible AI and multi-party social awareness.
 - Causal Reasoning: Reason about the impact of taking an action.

Upcoming Book (by early 2021)

Neural Approaches to Conversational Information Retrieval (The Information Retrieval Series)



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Slides:

Please check our personal websites.