
Applied Deep Learning

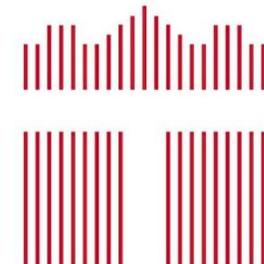


Conversational Modeling



October 30th, 2024

<http://adl.miulab.tw>

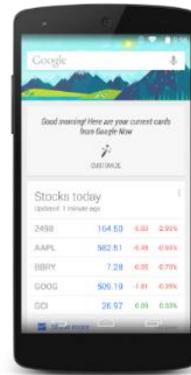


**National
Taiwan
University**
國立臺灣大學

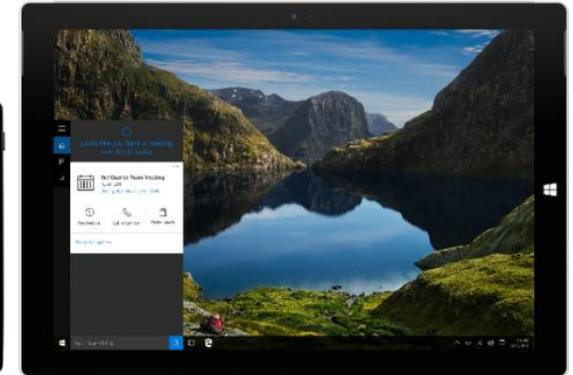
Language Empowering Intelligent Assistants



Apple Siri (2011)



Google Now (2012)
Google Assistant (2016)



Microsoft Cortana
(2014)



Amazon Alexa/Echo (2014)



Google Home (2016)



Apple HomePod (2017)



ChatGPT (2023)

3

Why and When We Need?

“I want to chat”

Turing Test (talk like a human)

Social Chit-Chat

“I have a question”

Information consumption

“I need to get this done”

Task completion

“What should I do?”

Decision support



Task-Oriented Dialogues

- *What is today’s agenda?*
- *What does NLP stand for?*

- *Book me the train ticket from Kaohsiung to Taipei*
- *Reserve a table at Din Tai Fung for 5 people, 7PM tonight*
- *Schedule a meeting with Vivian at 10:00 tomorrow*

- *Is this course good to take?*

4

Two Branches of Conversational AI



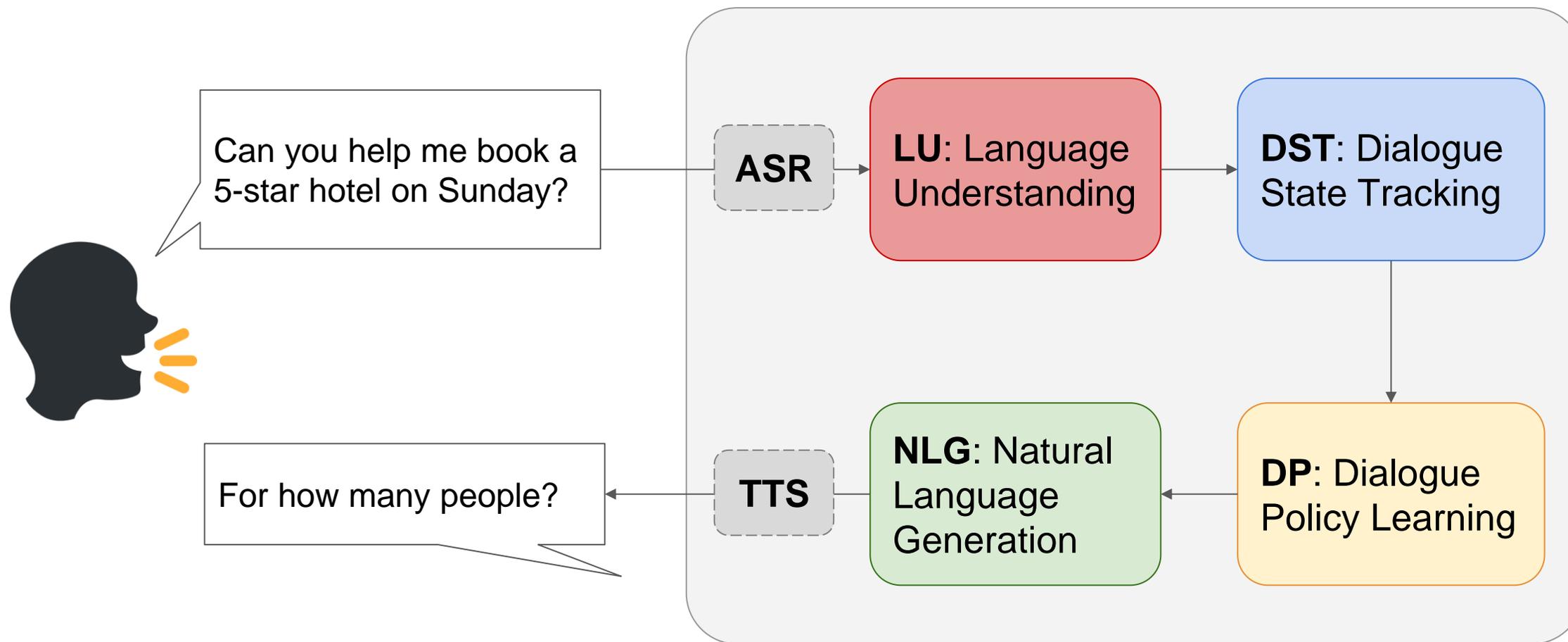
Chit-Chat



Task-Oriented



Task-Oriented Dialogue Systems [\(Young, 2000\)](#)

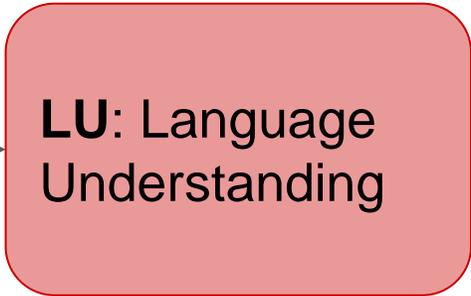


Why modular framework?

Language Understanding (LU)



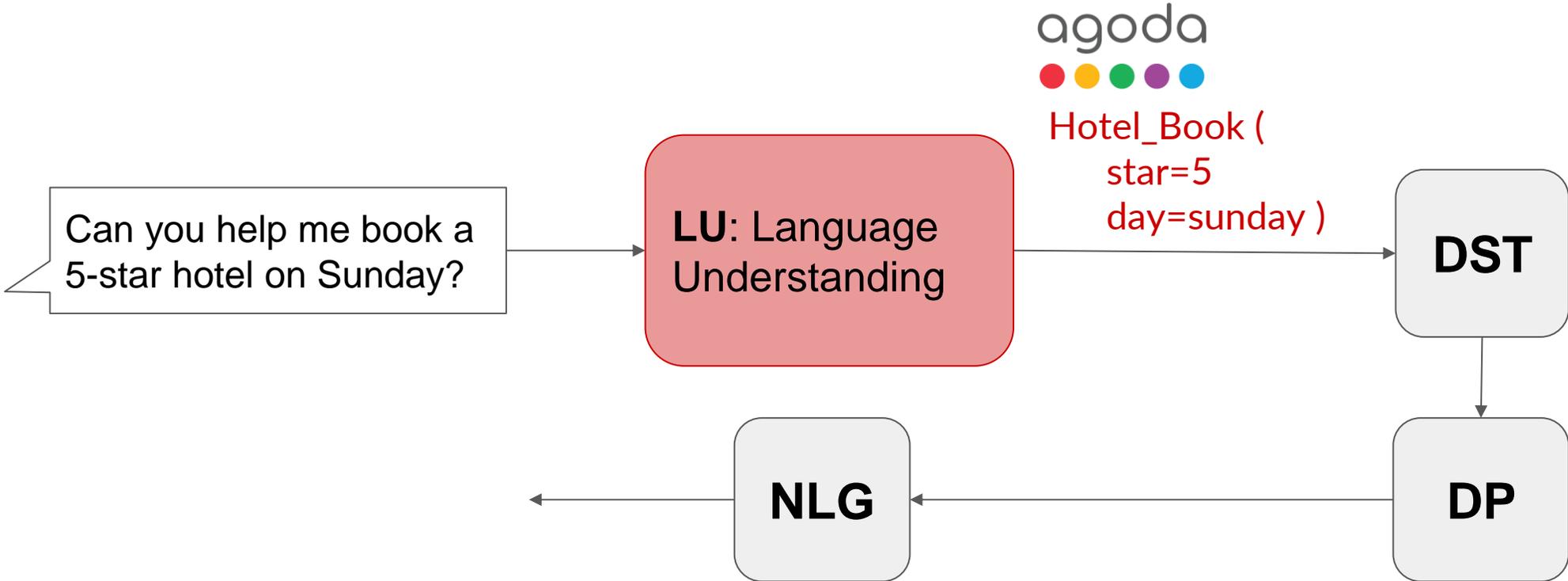
Can you help me book a 5-star hotel on Sunday?



agoda

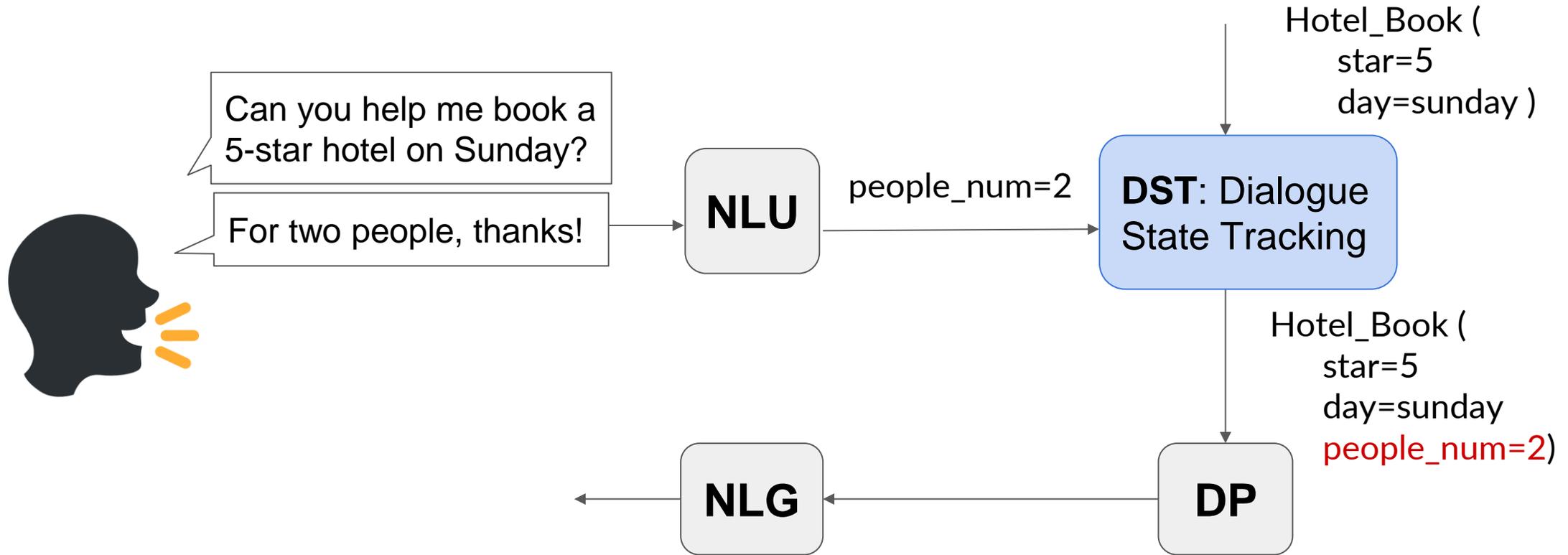


Hotel_Book (
star=5
day=sunday)

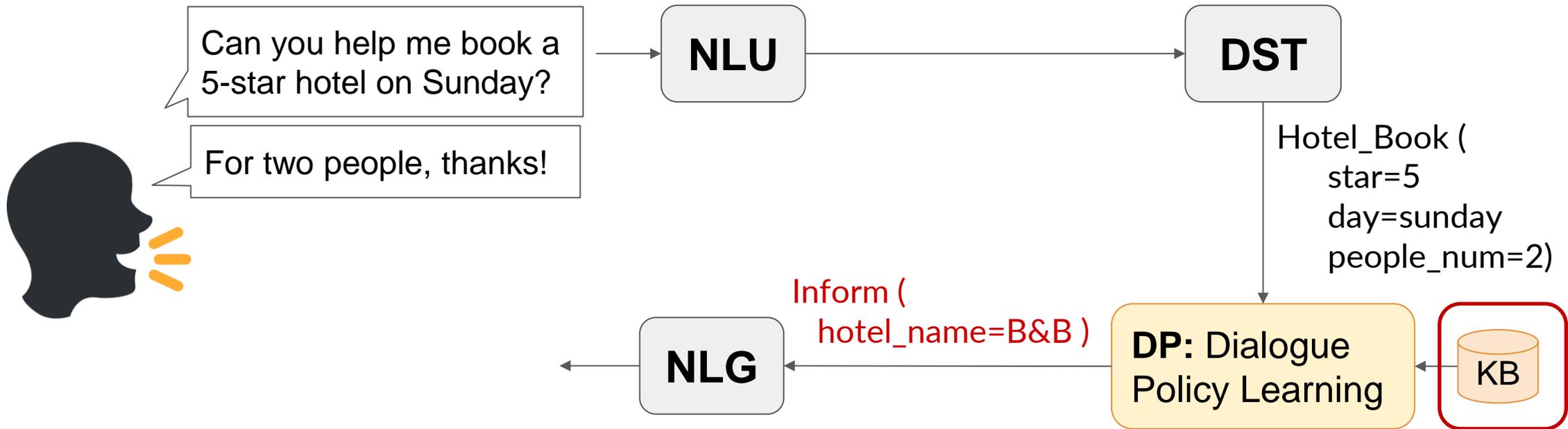


7

Dialogue State Tracking

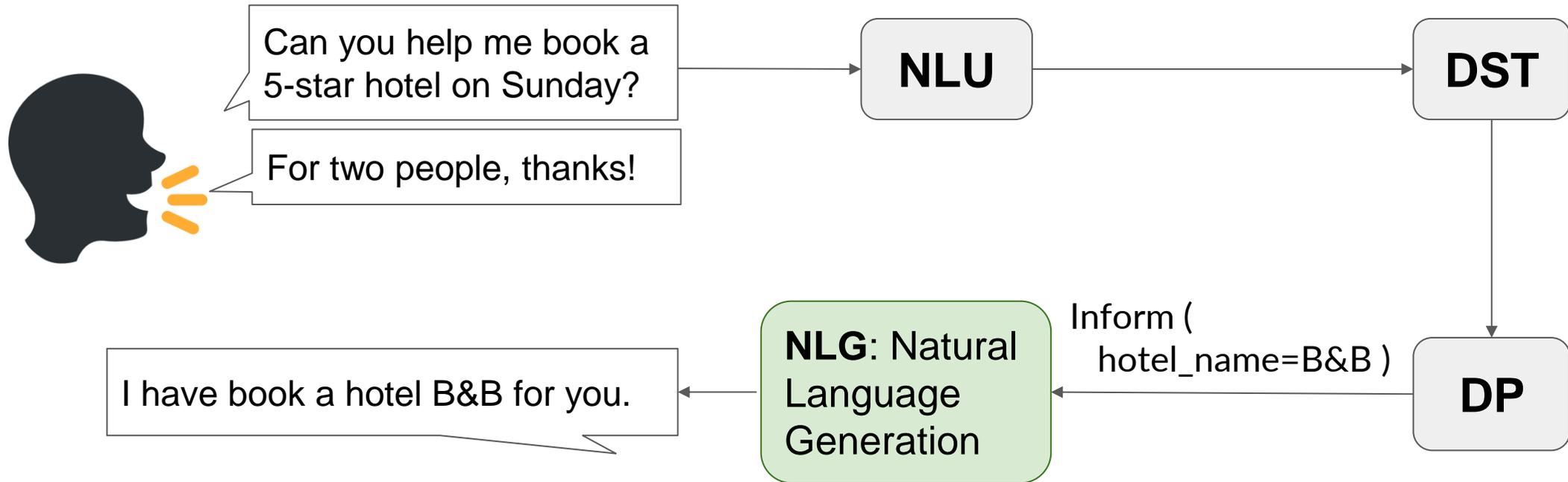


Dialogue Policy Learning



Access external knowledge

Natural Language Generation

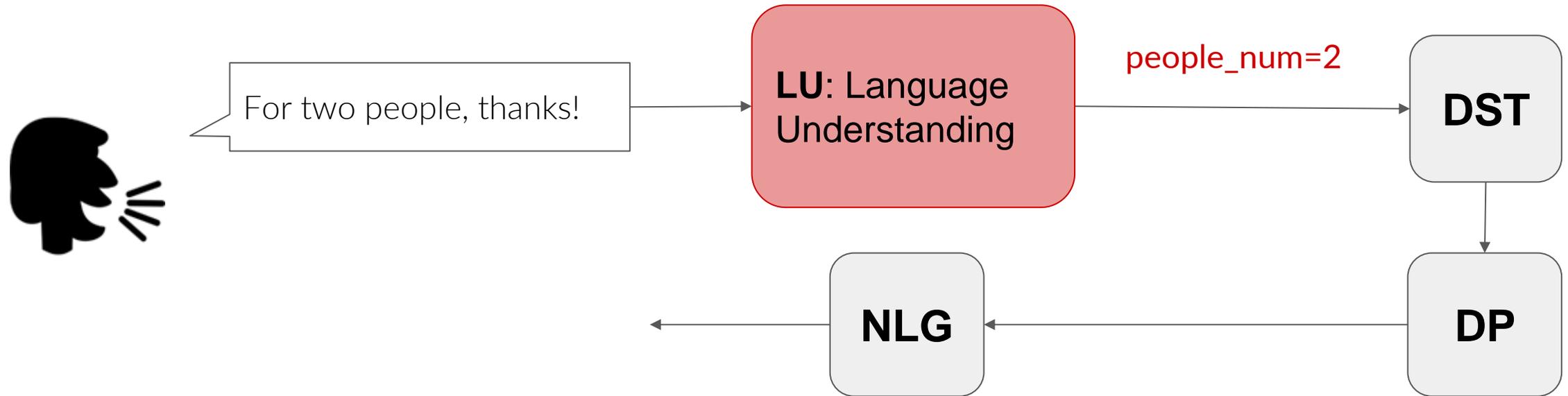


10

Language Understanding

Modular Task-Oriented Dialogue Systems

Language Understanding (LU)



- NLU is a turn-level task that maps utterances to semantics frames.
 - Input: raw user utterance
 - Output: semantic frame (e.g. speech-act, intent, slots)

1. Domain Identification

Requires Predefined Domain Ontology

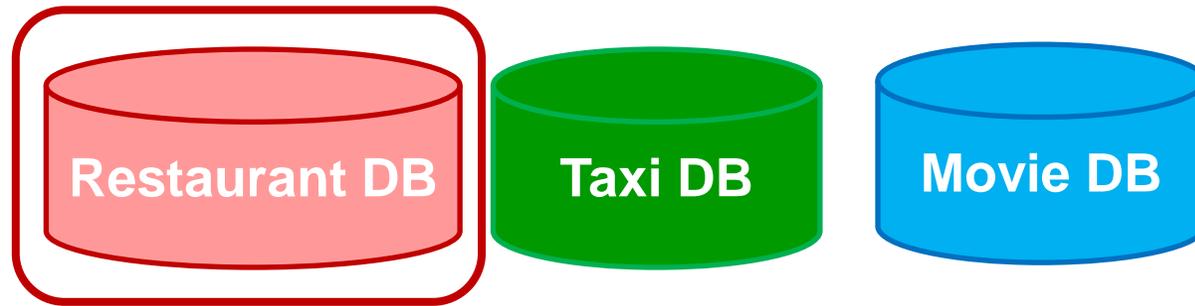
User



find a good eating place for taiwanese food



Intelligent
Agent



Organized Domain Knowledge (Database)

Classification!

2. Intent Detection

Requires Predefined Schema

User



find a good eating place for taiwanese food



Intelligent
Agent

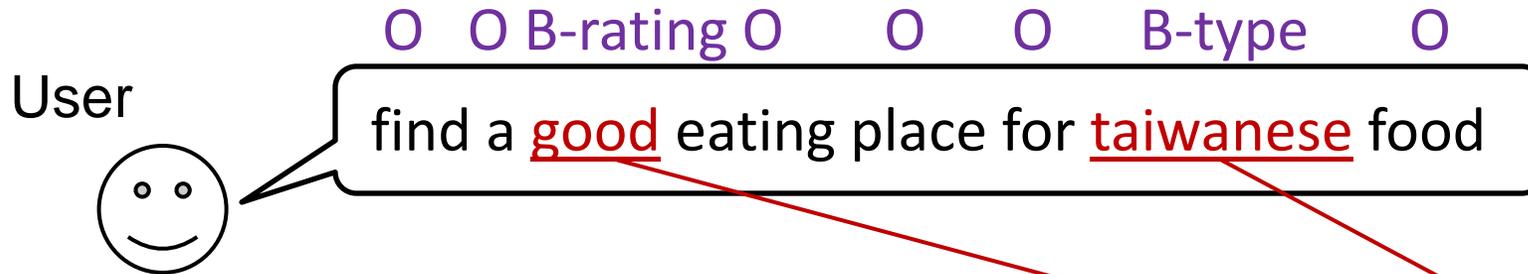
Restaurant DB

FIND_RESTAURANT
FIND_PRICE
FIND_TYPE
:

Classification!

3. Slot Filling

Requires Predefined Schema



Intelligent Agent



| Restaurant | Rating | Type |
|------------|--------|-----------|
| Rest 1 | good | Taiwanese |
| Rest 2 | bad | Thai |
| : | : | : |

```
FIND_RESTAURANT SELECT restaurant {
  rating="good"
  type="taiwanese"
}
```

Semantic Frame

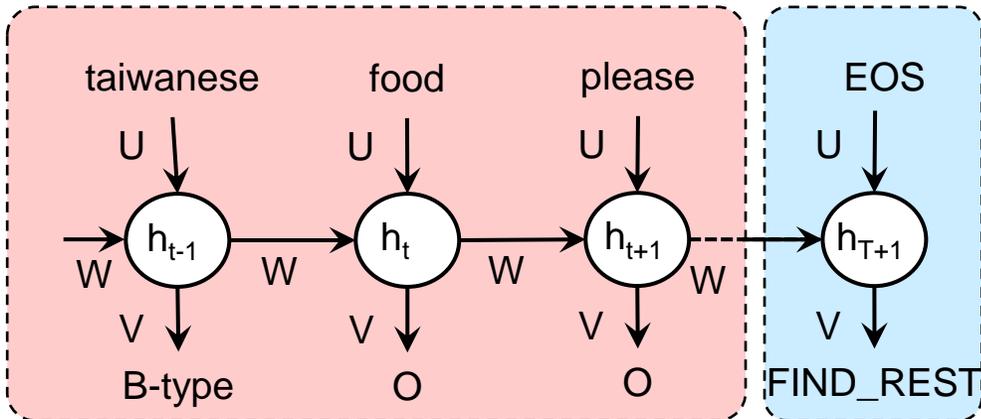
→

```
rest.rating="good"
rest.type="taiwanese"
```

Sequence Labeling

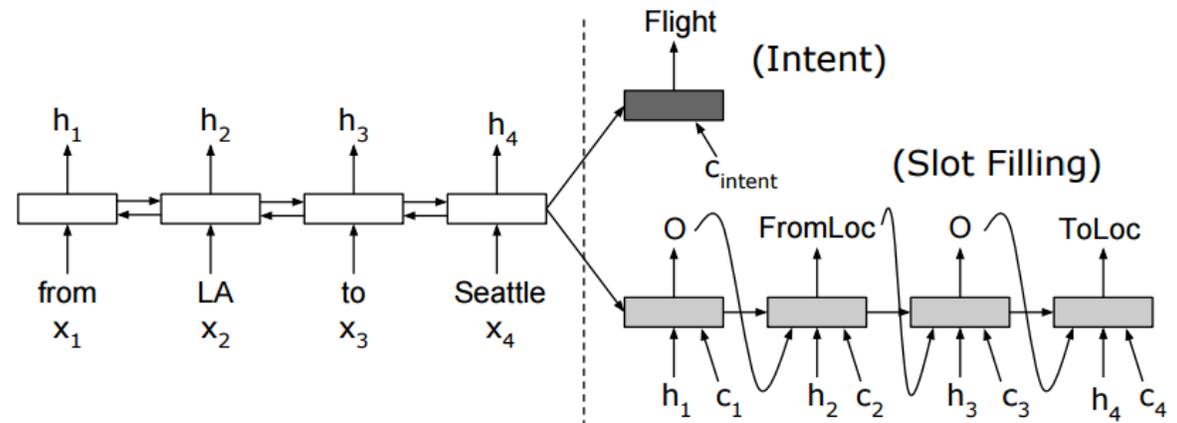
Joint Semantic Frame Parsing

- Sequence-based (Hakkani-Tur+, 2016)
- Parallel-based (Liu and Lane, 2016)



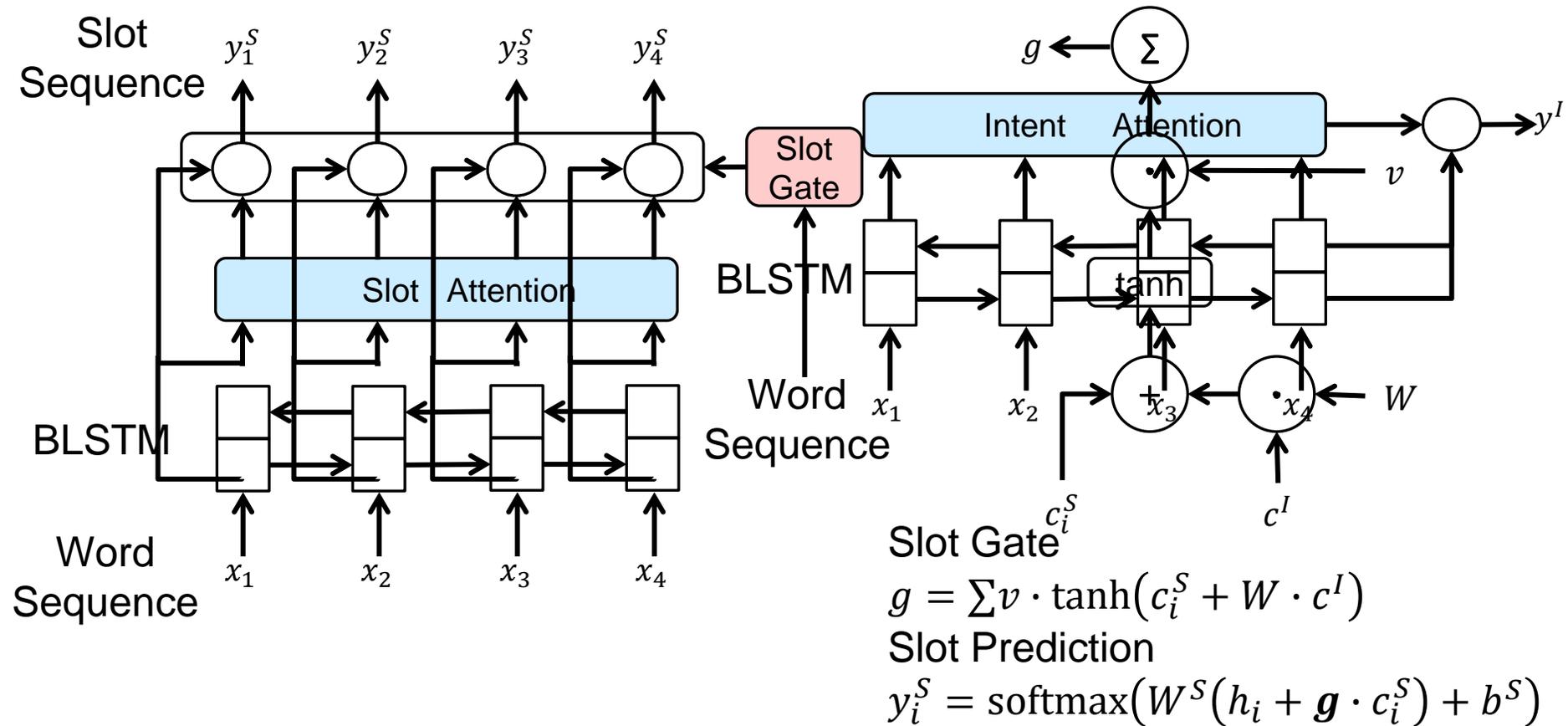
Slot Filling

Intent Prediction



| | Attention Mechanism | Intent-Slot Relationship |
|------------------------------------|---------------------|--------------------------|
| Sequence-based (Hakkani-Tur+, '16) | X | Δ (Implicit) |
| Parallel-based (Liu & Lane, '16) | \checkmark | Δ (Implicit) |
| Slot-Gated Joint Model | \checkmark | \checkmark (Explicit) |

Slot-Gated Joint SLU (Goo+, 2018)



g will be larger if slot and intent are better related

LU Evaluation

Utterance: For 2 people thanks
 ↓ ↓ ↓ ↓
Slot: O B-people O O
Domain: Hotel
Intent: Hotel_Book

⇒ Slot-F1

⇒ Frame Accuracy

} ⇒ Acc

Metrics

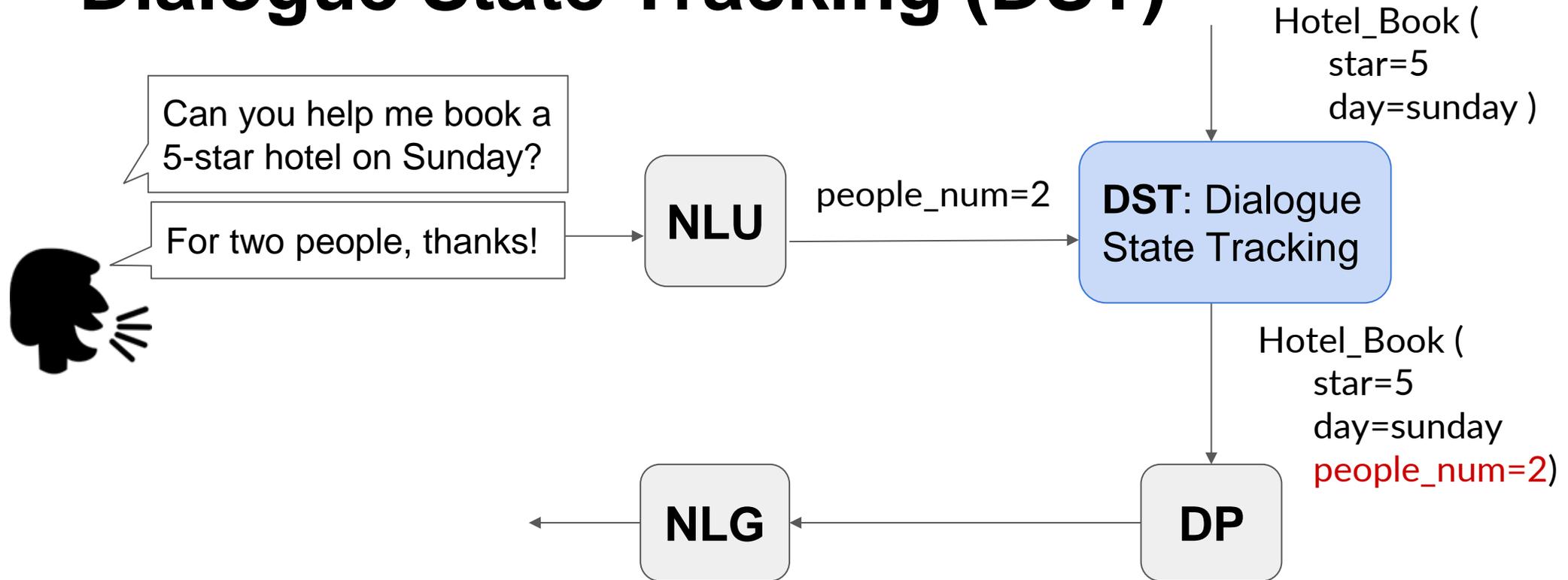
- Sub-sentence-level: domain/intent accuracy, slot F1
- Sentence-level: whole frame accuracy

18

Dialogue State Tracking

Modular Task-Oriented Dialogue Systems

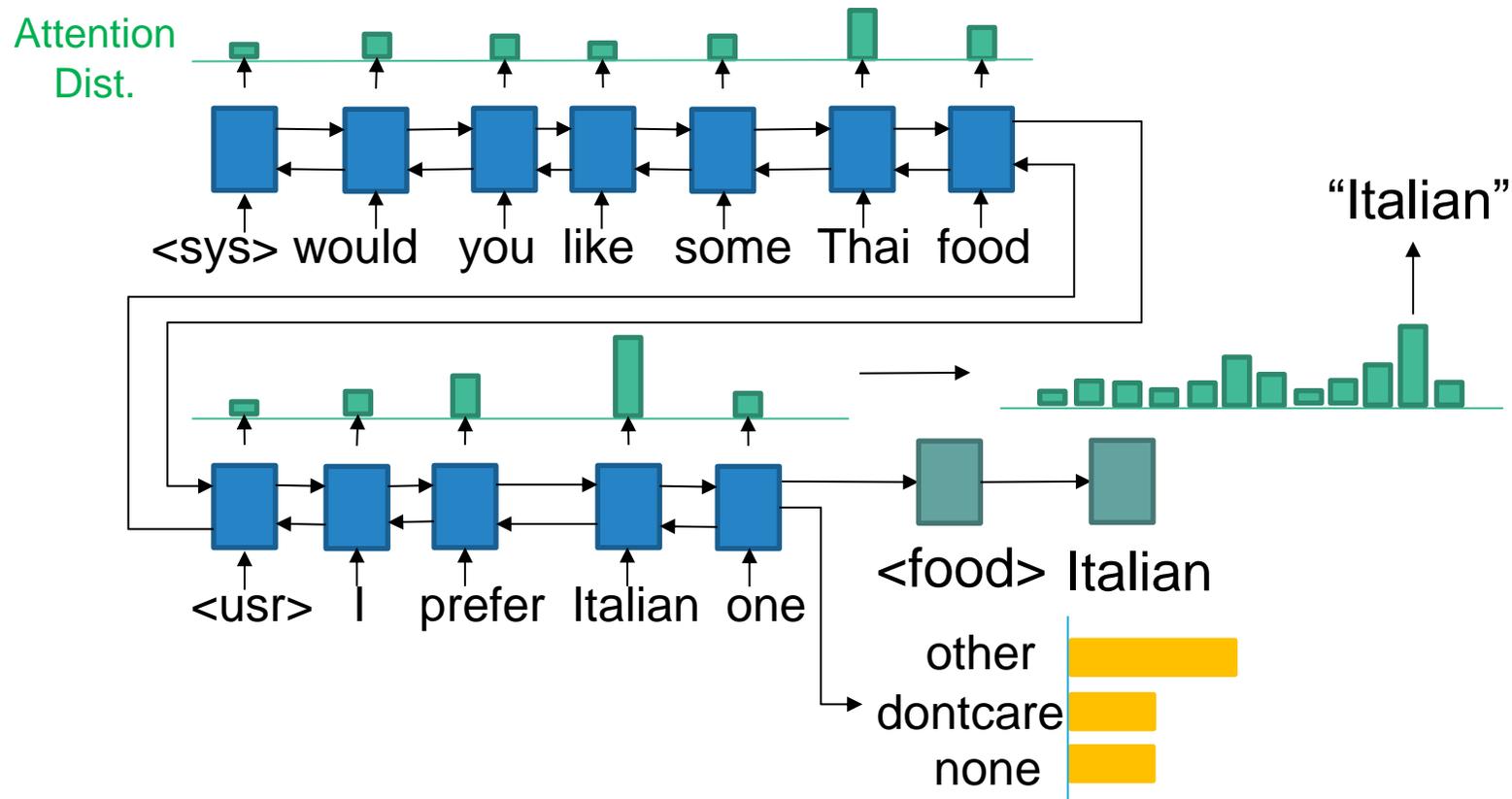
Dialogue State Tracking (DST)



- DST is a dialogue-level task that maps partial dialogues into dialogue states.
 - Input: a dialogue / a turn with its previous state
 - Output: dialogue state (e.g. slot-value pairs)

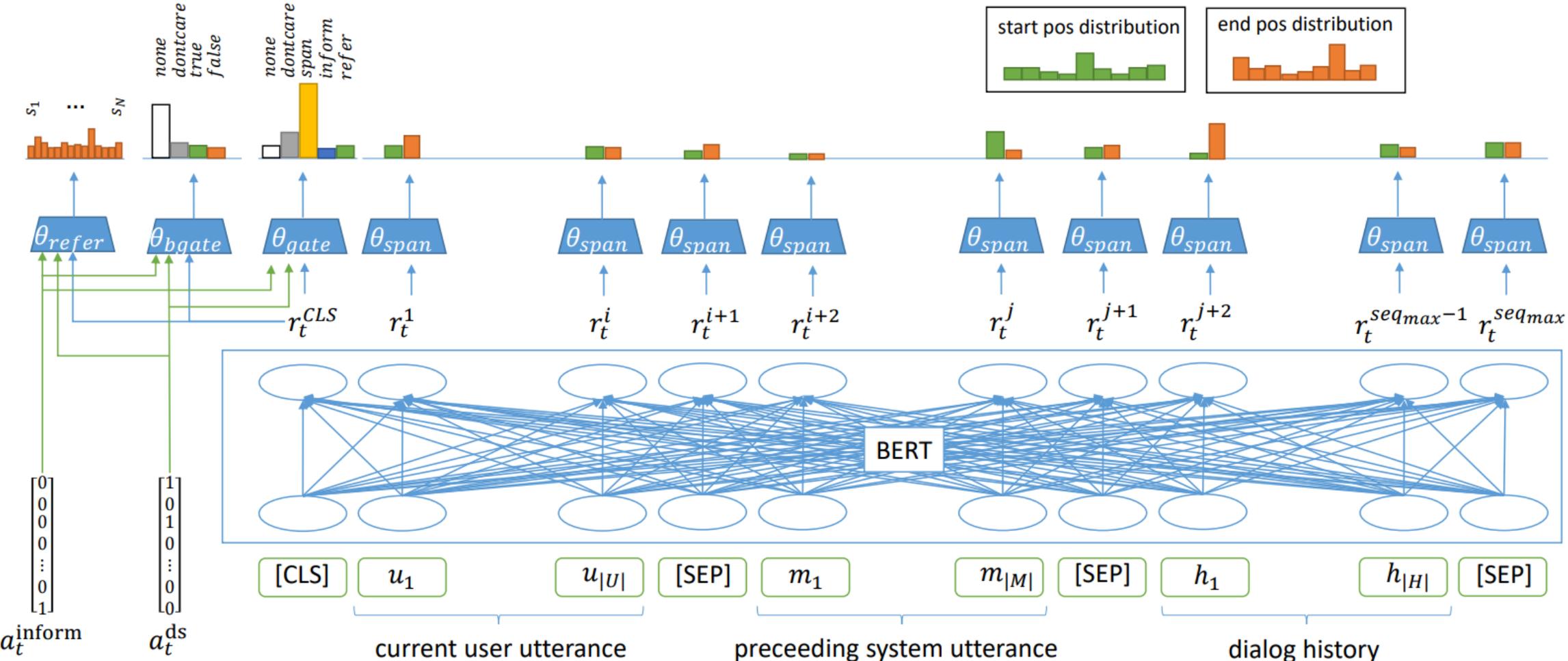
Handling Unknown Slot Values (Xu & Hu, 2018)

- Issue: fixed value sets in DST



Pointer networks for generating unknown values

TripPy: Handling OOV & Rare Values (Heck+, 2020)



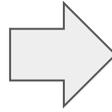
DST Evaluation

Input Dialogue:

USER: Can you help me book a 5-star hotel on Sunday?

SYSTEM: For how many people?

USER: For two people, thanks!



Output Dialogue State:

Hotel_Book (star=5, day=sunday)

Hotel_Book (star=5, day=sunday, people_num=2)

⇒ Slot Acc /
Joint Acc

○ Metric

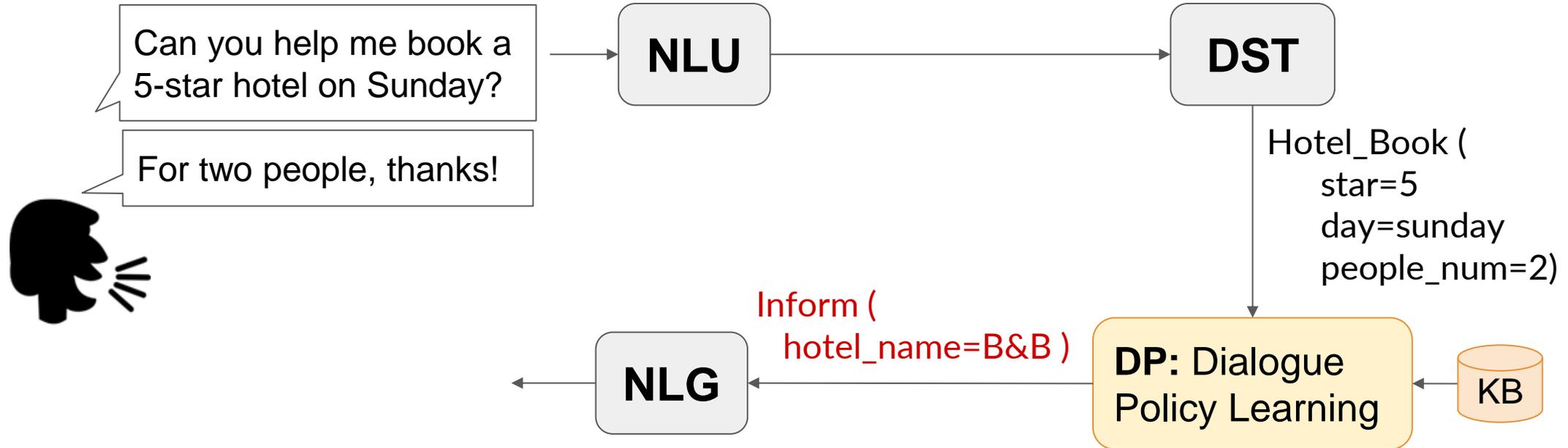
- Tracked state accuracy with respect to user goal
- Recall/Precision/F-measure individual slots

23

Dialogue Policy Learning

Modular Task-Oriented Dialogue Systems

Dialogue Policy Learning

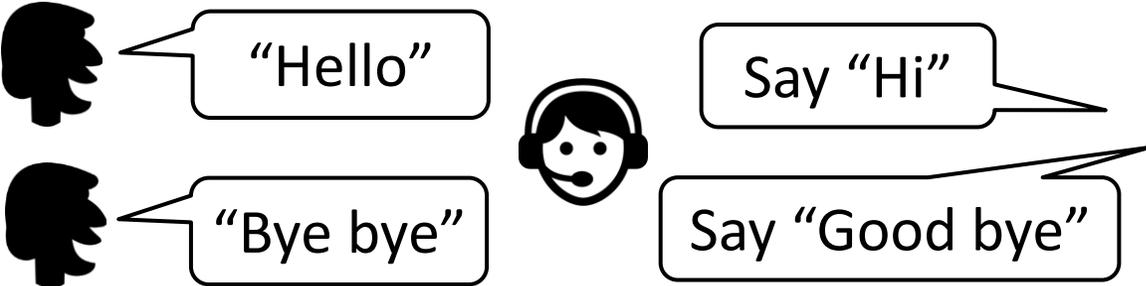


- DP decides the system action for interacting with users based on dialogue states.
 - Input: dialogue state + KB results
 - Output: system action (speech-act + slot-value pairs)

Supervised vs. Reinforcement

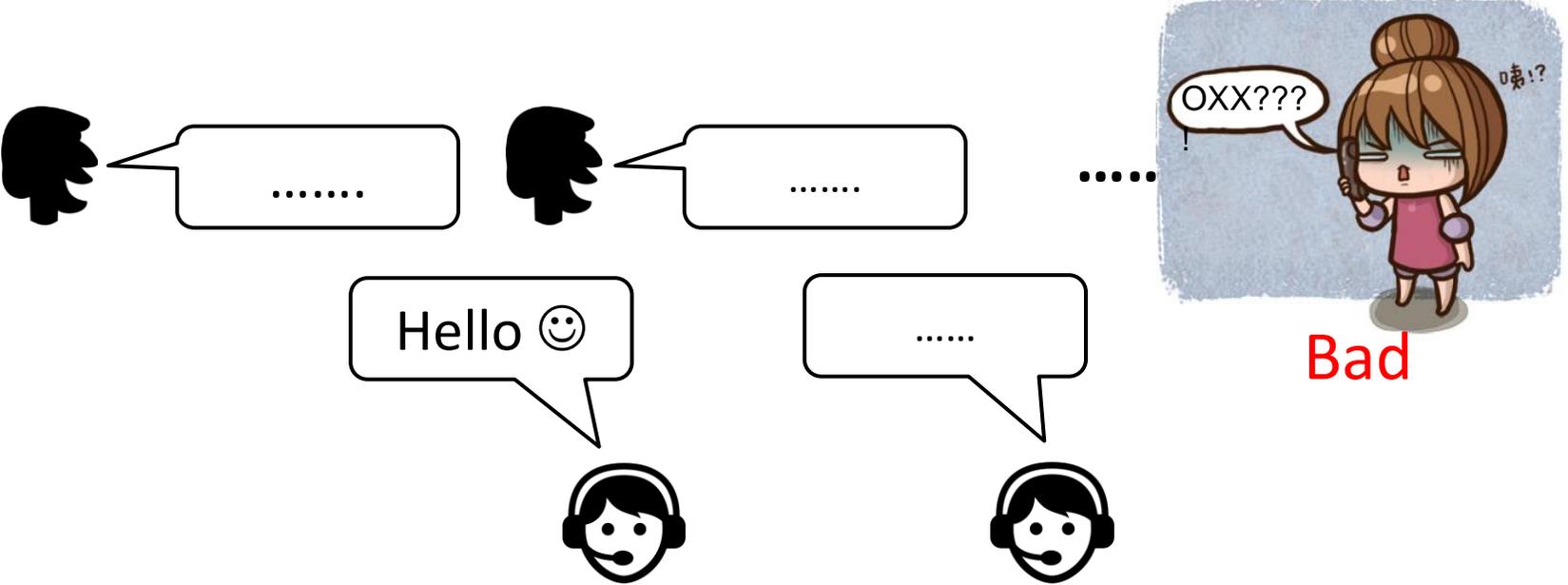
- Supervised

Learning from teacher



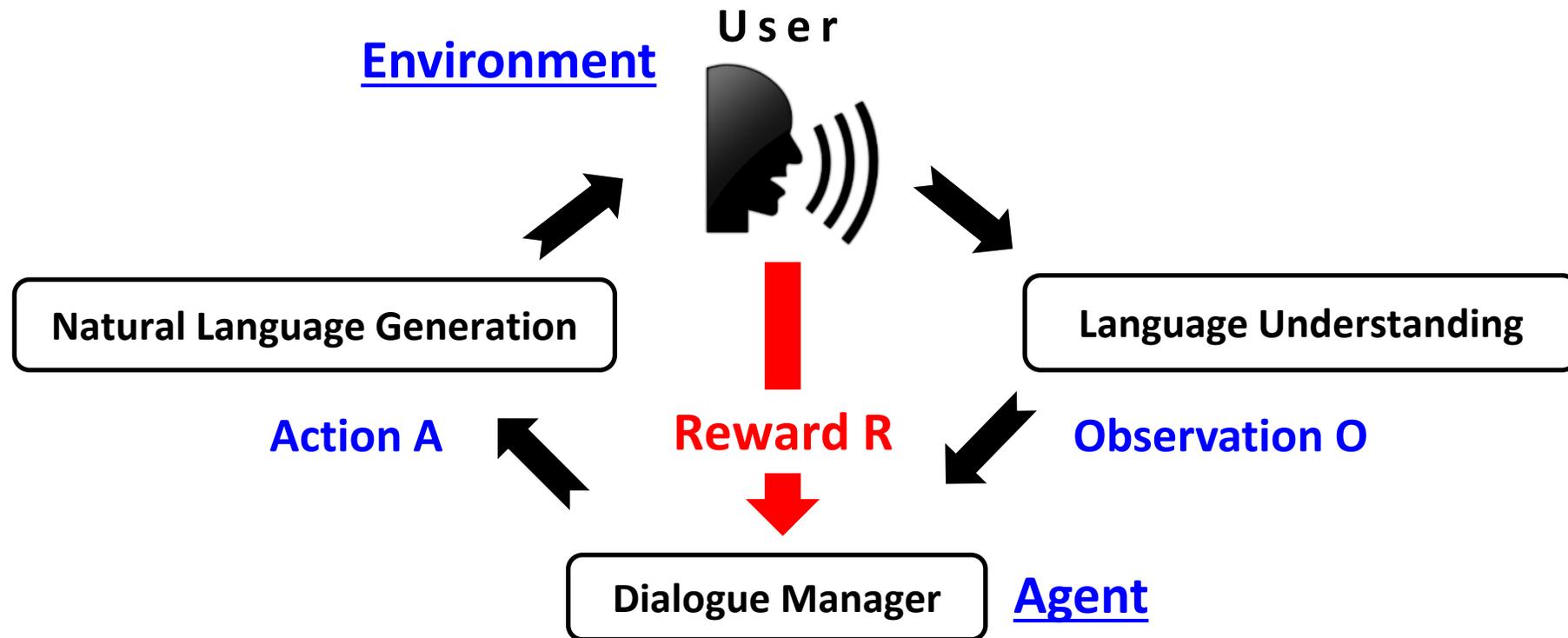
- Reinforcement

Learning from critics



Dialogue Policy Optimization

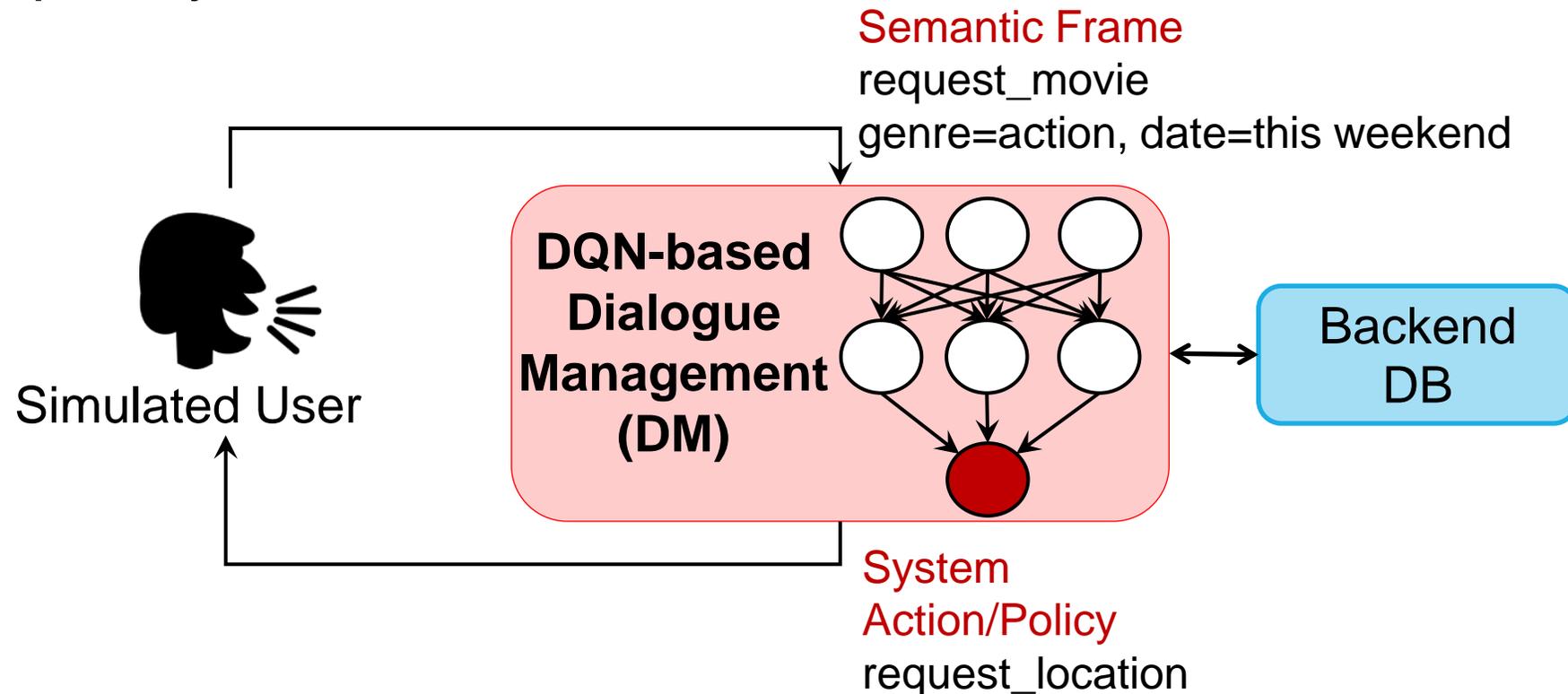
- Dialogue management in a RL framework



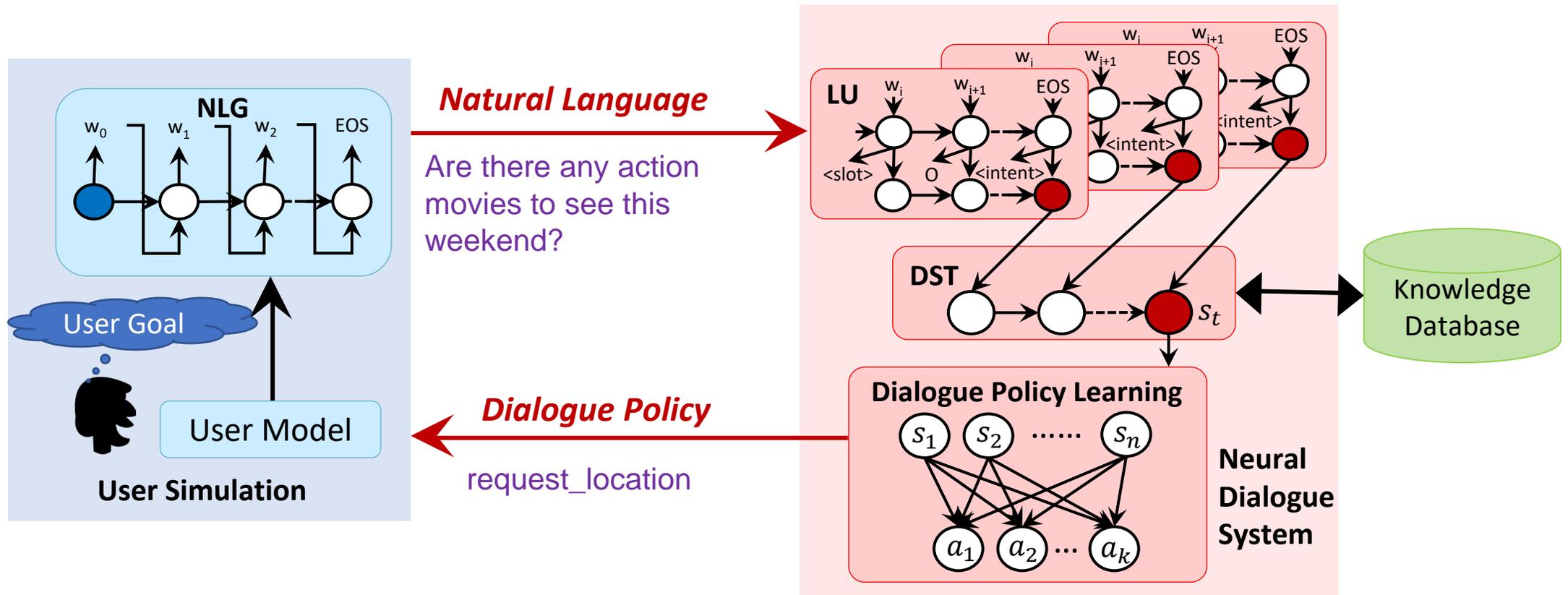
Select the best action that **maximizes the future reward**

Neural Dialogue Manager (Li et al., 2017)

- Deep Q-network for training dialogue policy
 - Input: current semantic frame observation, database returned results
 - Output: system action



E2E Task-Completion Bot (TC-Bot) (Li et al., 2017)



Idea: SL for each component and RL for end-to-end training the neural dialogue system

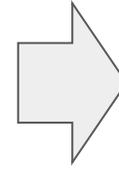
Dialogue Policy Evaluation

Dialogue State:

Hotel_Book (star=5, day=sunday, people_num=2)

KB State:

rest1=B&B



System Action:

inform (hotel_name=B&B)

Metrics

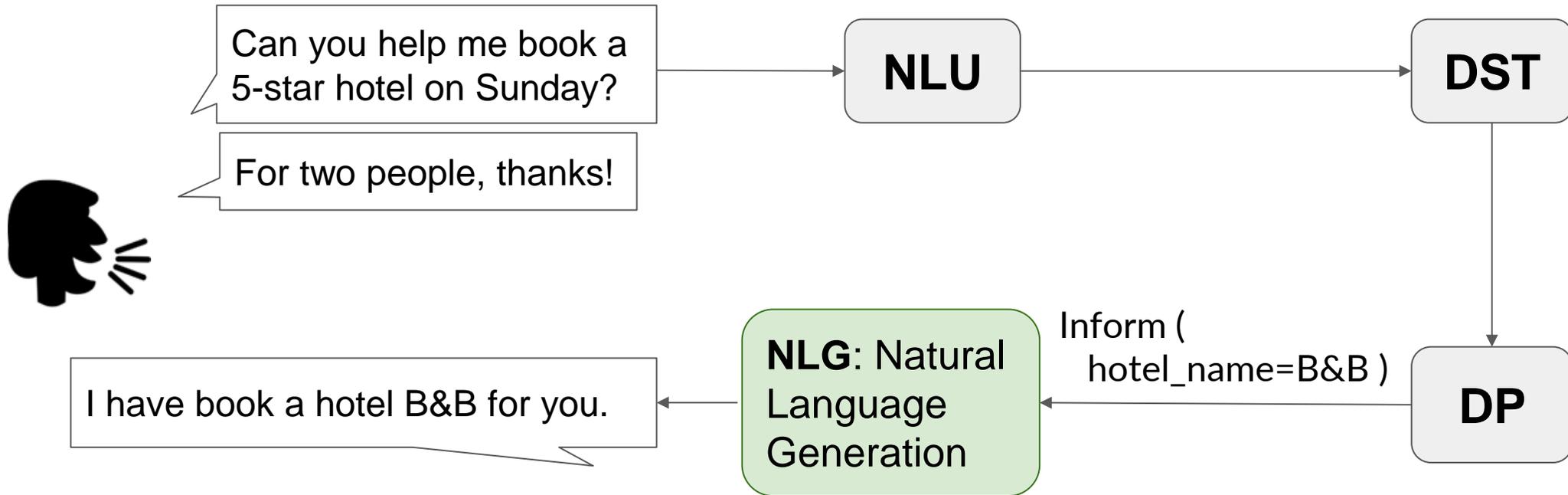
- Turn-level evaluation: system action accuracy
- Dialogue-level evaluation: task success rate, reward

30

Natural Language Generation

Modular Task-Oriented Dialogue Systems

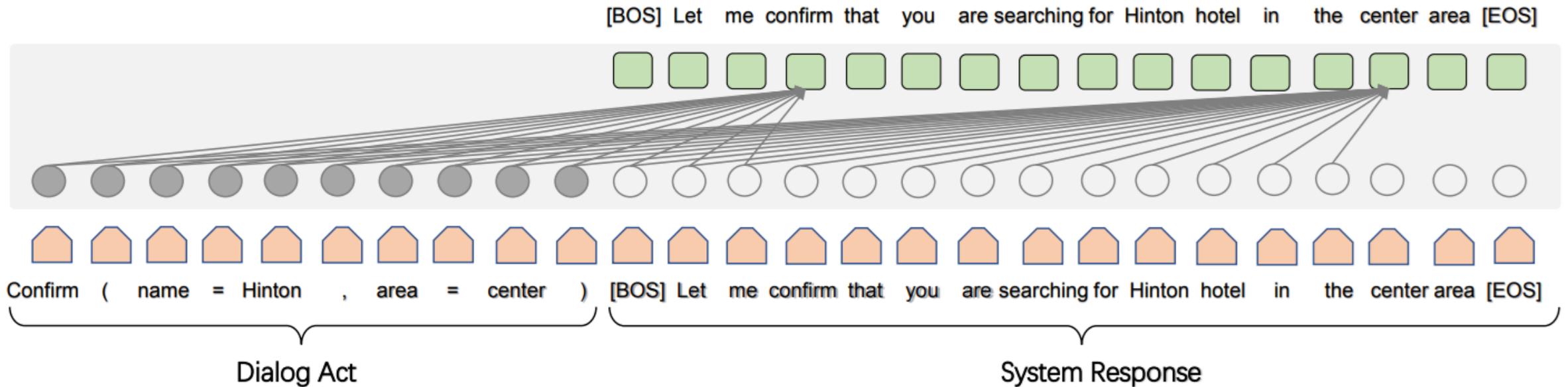
Natural Language Generation



- NLG is to map system actions to natural language responses.
 - Input: system speech-act + slot-value (optional)
 - Output: natural language response

Fine-Tuning Pre-Trained GPT-2

- Fine-tuning for conditional generation



Pre-trained models have better capability of generating fluent sentences

NLG Evaluation

System Action

inform(name=B&B)



System Response

I have book a hotel B&B for you.

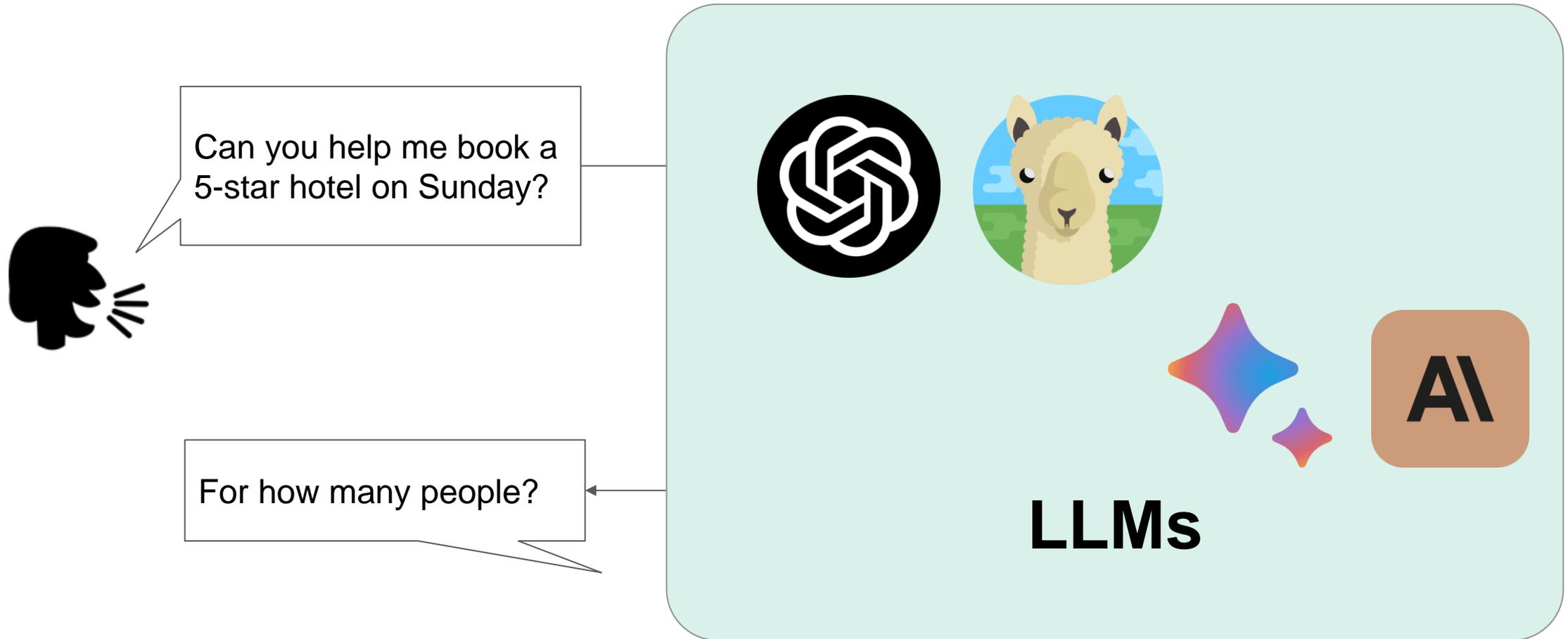
- Automatic metrics
- Human evaluation



LLMs for Conversational AI



Task-Oriented Dialogue Systems ([Young, 2000](#))



Do LLMs work?

自導自演



幫我訂台北一零一上面的餐廳，我周末想帶全家去吃飯慶祝



當然，我可以幫您訂位。請問您想在周末的哪一天用餐？以及您需要多少個座位？還有特別的需求或偏好嗎？例如，您想要特定類型的菜式或是需要特殊安排？請提供更多細節，我將努力為您訂到合適的餐廳位子。



我想在周六晚上7點，四人，無其他特殊要求。



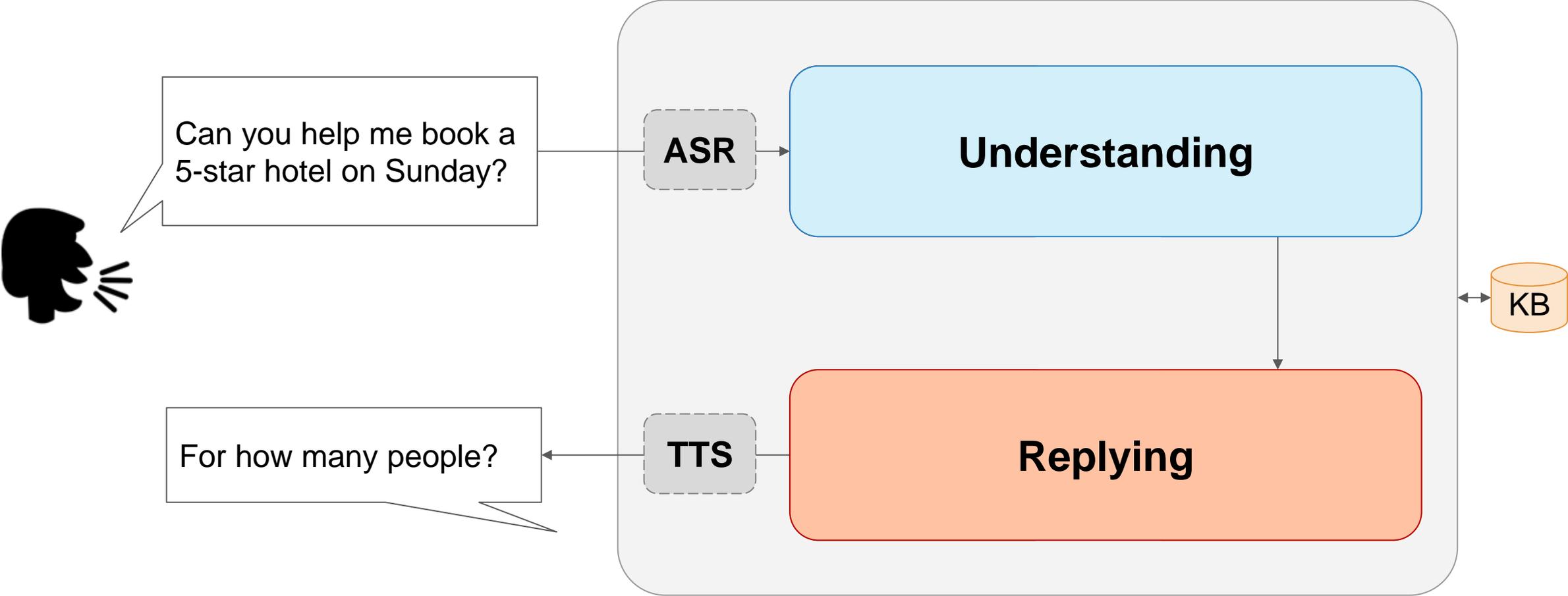
好的，我明白了。我將幫您訂位於台北101上面的餐廳，周六晚上7點，四個座位。请稍等片刻，讓我查看餐廳的可用性。

(一段時間後)

抱歉，似乎在台北101上面的餐廳目前並無可用的座位。是否可以考慮其他時間或地點，或者我可以嘗試另一家餐廳的預訂？

Accessing external tools is necessary

Task-Oriented Dialogue Systems (Young, 2000)



38

LaMDA  (Thoppilan et al., 2022)

Language Models for Dialogues

LaMDA: Language Models for Dialog Applications

(Thoppilan et al., 2022)

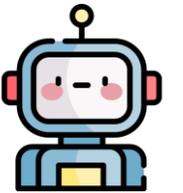
- Pre-training: multiple public dialogue data (1.56T words)
 - Input: conversation history
 - Output: a current utterance



User: What do you think of Jolin Tsai's concert?



LaMDA: It's awesome, and I really love her songs and dancing. Her albums have incorporated various social issues and inspired many people. Did you know Jolin is the best-selling Taiwanese female recording artist since 2000 and received eight Golden Melody Awards. 🙌



LaMDA: Language Models for Dialog Applications

- Pre-training: multiple public dialogue data (1.56T words)
- Fine-tuning: **Quality** and **Safety** scores
 - Using one model for both *generation* and *discrimination* enables an efficient combined *generate-and-discriminate* procedure.

| | | | | |
|--------------------------|------------------------|-------------------------|---------------------------------|----|
| “What’s up? [context] | RESPONSE [sentinel] | not much. [response] | SENSIBLE [attribute-name] | 1” |
| “What’s up? [context] | RESPONSE [sentinel] | not much. [response] | INTERESTING [attribute-name] | 0” |
| “What’s up? [context] | RESPONSE [sentinel] | not much. [response] | UNSAFE [attribute-name] | 0” |

LaMDA: Language Models for Dialog Applications

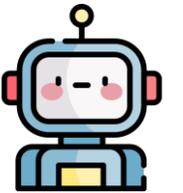
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User: What do you think of Jolin Tsai's concert?



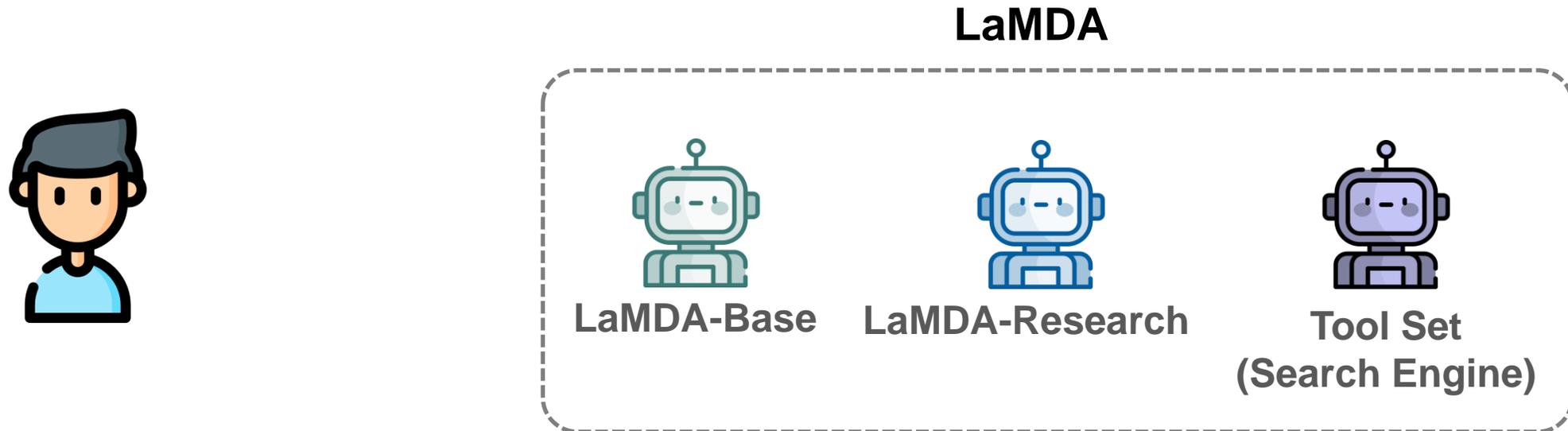
LaMDA: It's awesome, and I really love her songs and dancing. Her albums have incorporated various social issues and inspired many people. |Did you know Jolin is the best-selling Taiwanese female recording artist since 2000 and received eight Golden Melody Awards. 🙌



This basic model sometimes generates ***factually incorrect*** claims

LaMDA: Language Models for Dialog Applications

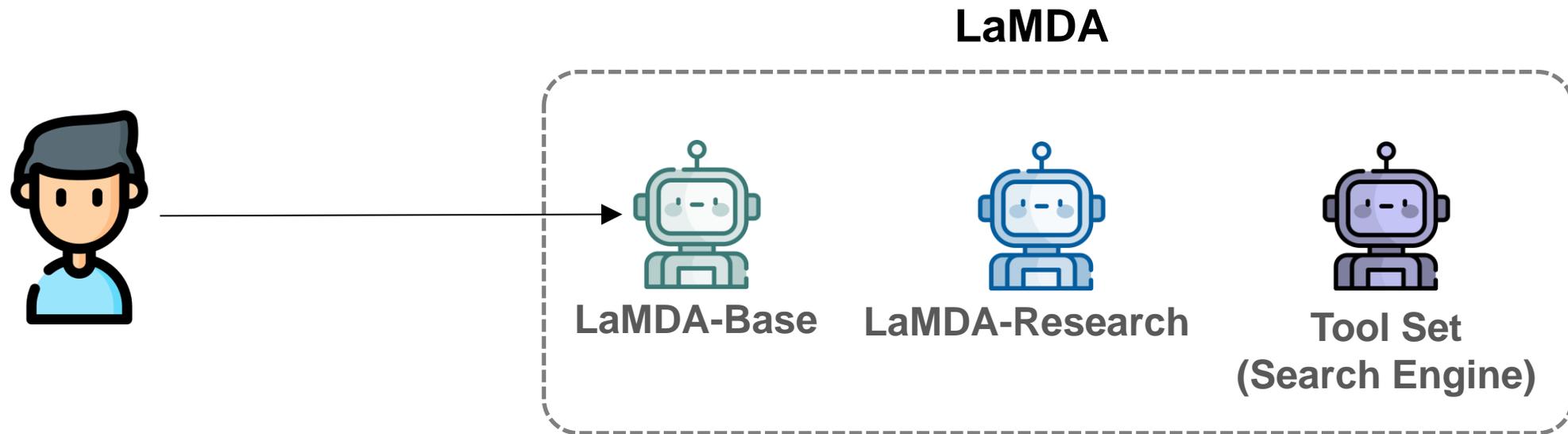
- Idea: teach LaMDA to use a search engine to validate or fix its claims



- **LaMDA-Base:** original pre-trained one
- **LaMDA-Research:** decide if using external tools and formulate the query
- **Tool Set (TS):** external tools
 - Calculator: “135+7721” → “7856”
 - Translator: “hello in French” → “Bonjour”
 - IR system: “How old is Rafael Nadal?” → “Rafael Nadal / Age / 35”

LaMDA Goundedness

- Idea: teach LaMDA to use a search engine to validate or fix its claims



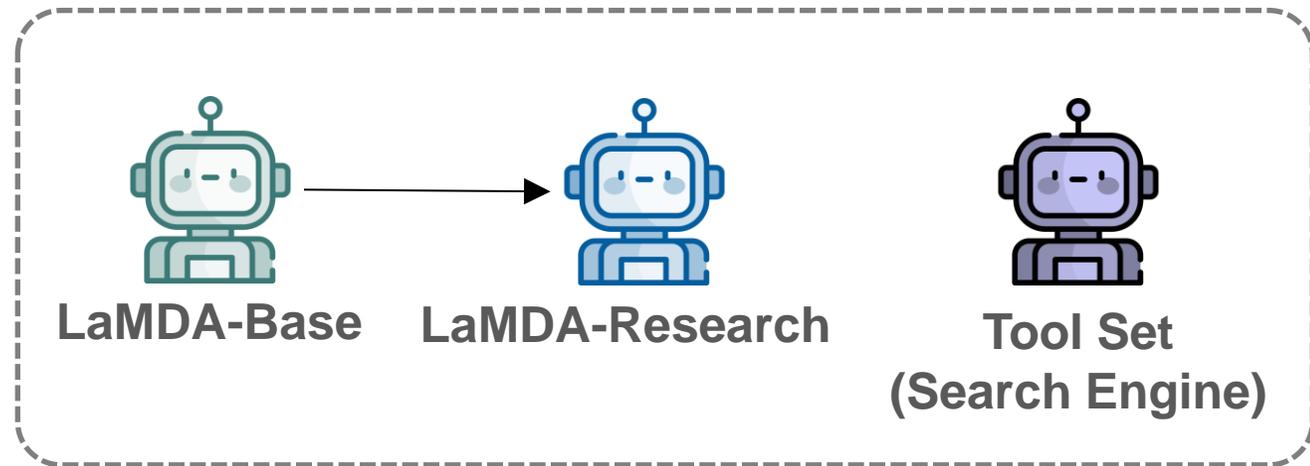
User→**Base**: When was the Eiffel Tower built?

LaMDA Goundedness

- Idea: teach LaMDA to use a search engine to validate or fix its claims



LaMDA



User→Base: When was the Eiffel Tower built?

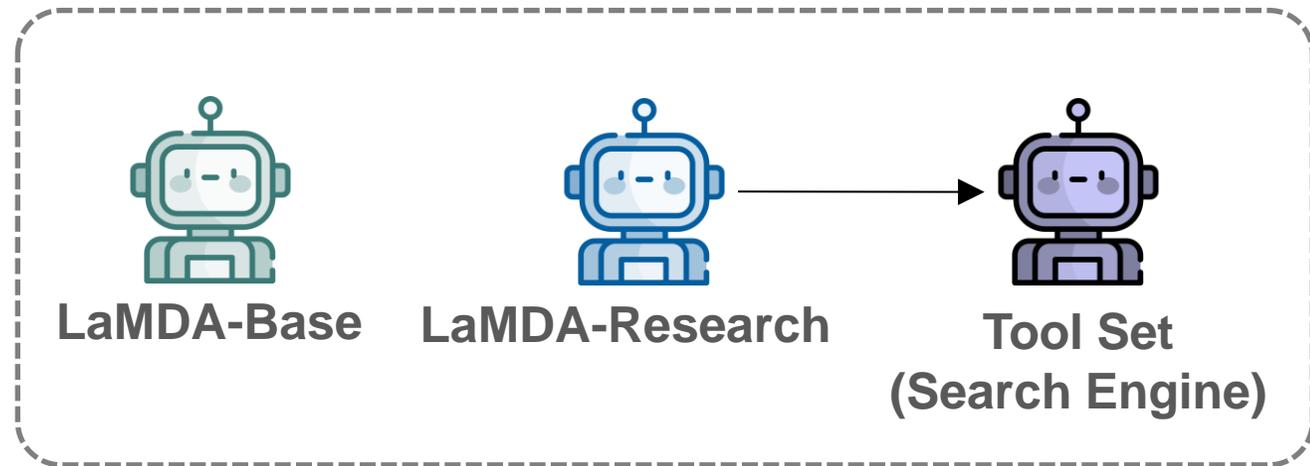
Base→Research: It was constructed in 1887.

LaMDA Goundedness

- Idea: teach LaMDA to use a search engine to validate or fix its claims



LaMDA



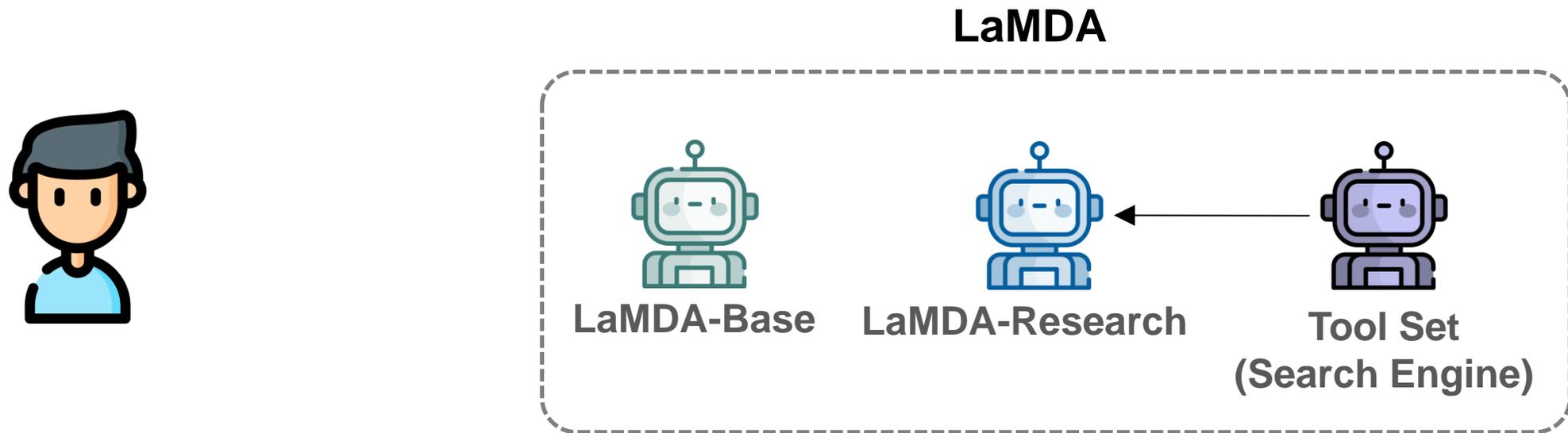
User→Base: When was the Eiffel Tower built?

Base→Research: It was constructed in 1887.

Research→TS: Eiffel Tower construction date

LaMDA Goundedness

- Idea: teach LaMDA to use a search engine to validate or fix its claims



User→Base: When was the Eiffel Tower built?

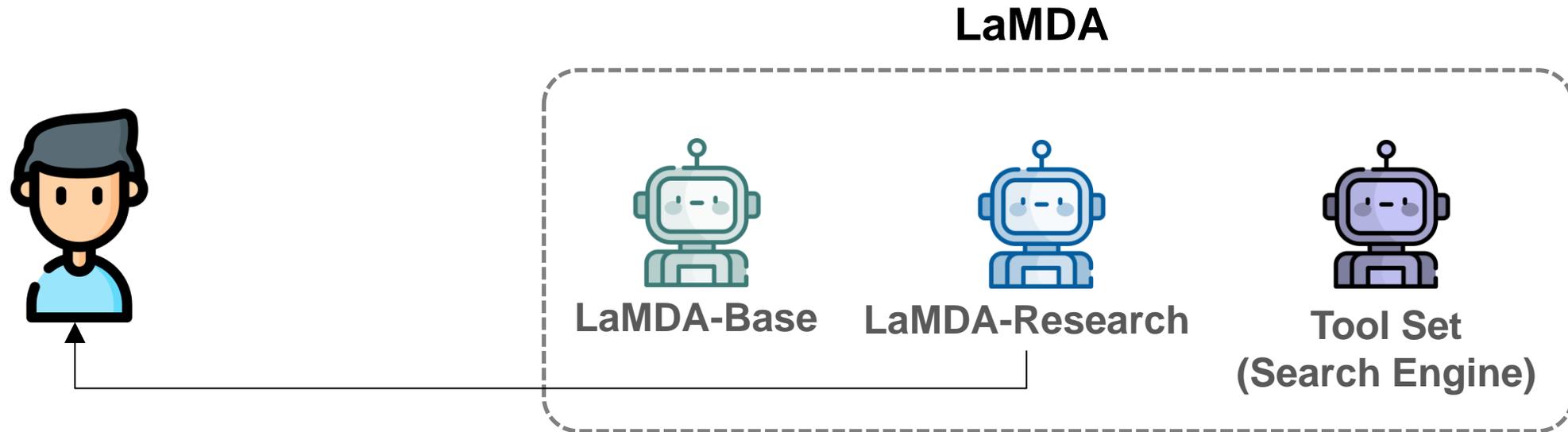
Base→Research: It was constructed in 1887.

Research→TS: Eiffel Tower construction date

TS→Research: 15 essential things to know about the Eiffel Tower | The Eiffel Tower was built in record time: 2 years, 2 months and 5 days. From late January 1887 to March 31, 1889. ... | <https://www.toureiffel.paris>

LaMDA Goundedness

- Idea: teach LaMDA to use a search engine to validate or fix its claims



User→Base: When was the Eiffel Tower built?

Base→Research: It was constructed in [1887](#).

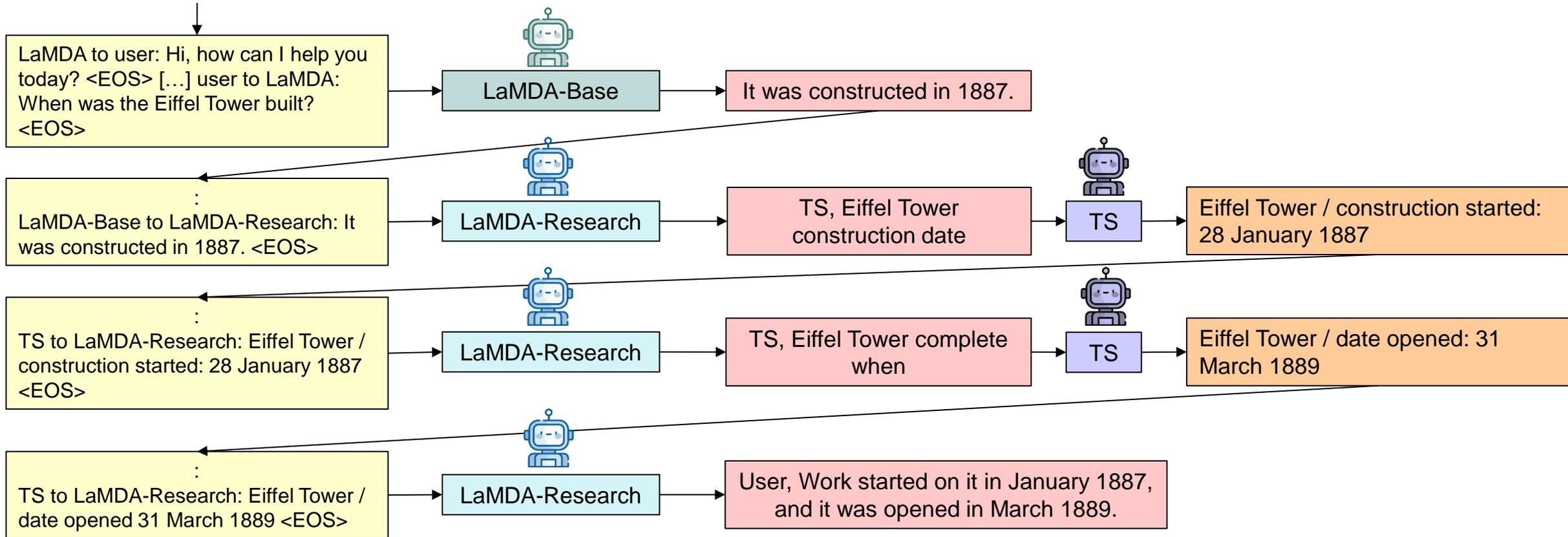
Research→TS: Eiffel Tower construction date

TS→Research: 15 essential things to know about the Eiffel Tower | The Eiffel Tower was built in record time: 2 years, 2 months and 5 days. [From late January 1887 to March 31, 1889](#). ... | <https://www.toureiffel.paris>

Research→User: Work started on it in January 1887 and it was opened in March 1889.

LaMDA Goundedness

“When was the Eiffel Tower built?”



LaMDA: Language Models for Dialog Applications

- Fine-tuning for external knowledge via a tool set (TS)
 - Calculator: “135+7721” → “7856”
 - Translator: “hello in French” → “Bonjour”
 - IR system: “How old is Rafael Nadal?” → “Rafael Nadal / Age / 35”
 - context + base* → “TS, Rafael Nadal’s age”
 - snippet: “He is 31 years old right now” + “Rafael Nadal / Age / 35”
 - context + base + query + snippet* → “User, He is 35 years old right now”
 - context + base + query + snippet* → “TS, Rafael Nadal’s favorite song”
- 40K dialog turns (generative data) are labeled ‘correct’ or ‘incorrect’ for the ranking task (discriminative data)

LaMDA incorporated ideas about **retrieval-augmented generation (RAG)**, **tool use**, and **factual alignment**

50

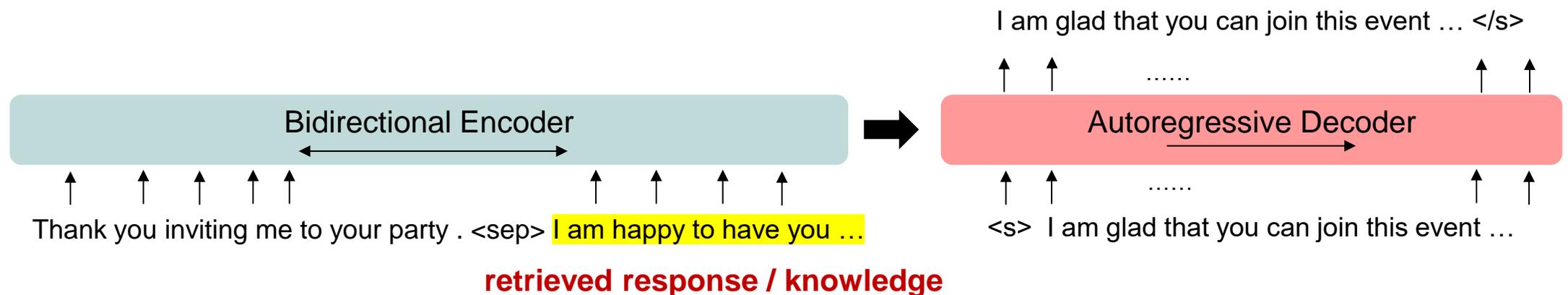
BlenderBot

(Roller+, 2020; Chen+, 2021; Kurt+, 2022)

Seq2Seq for Dialogues

BlenderBot: Blending skills (Roller et al., 2020)

- Pre-training: 1.5B conversations (model sizes: 90M, 2.7B, 9.4B)
- Fine-tuning: BST (Blending skill talk) data
 - Personality (PersonaChat)
 - Knowledge (Wizard of Wikipedia)
 - Empathy (Empathetic Dialogues)
 - Blending all three (BST)
- Generation strategy: retrieval and refine



BlenderBot 2.0 (Chen et al., 2021)

- Idea: incorporate internet search & long-term memory

Human

BlenderBot 1.0



My favorite TV show is Wandavision



I've never heard of it. What kind of show is it? Is it a reality show?

Human

BlenderBot 2.0



My favorite TV show is Wandavision

memory write: (partner) I like Wandavision. I watch TV.

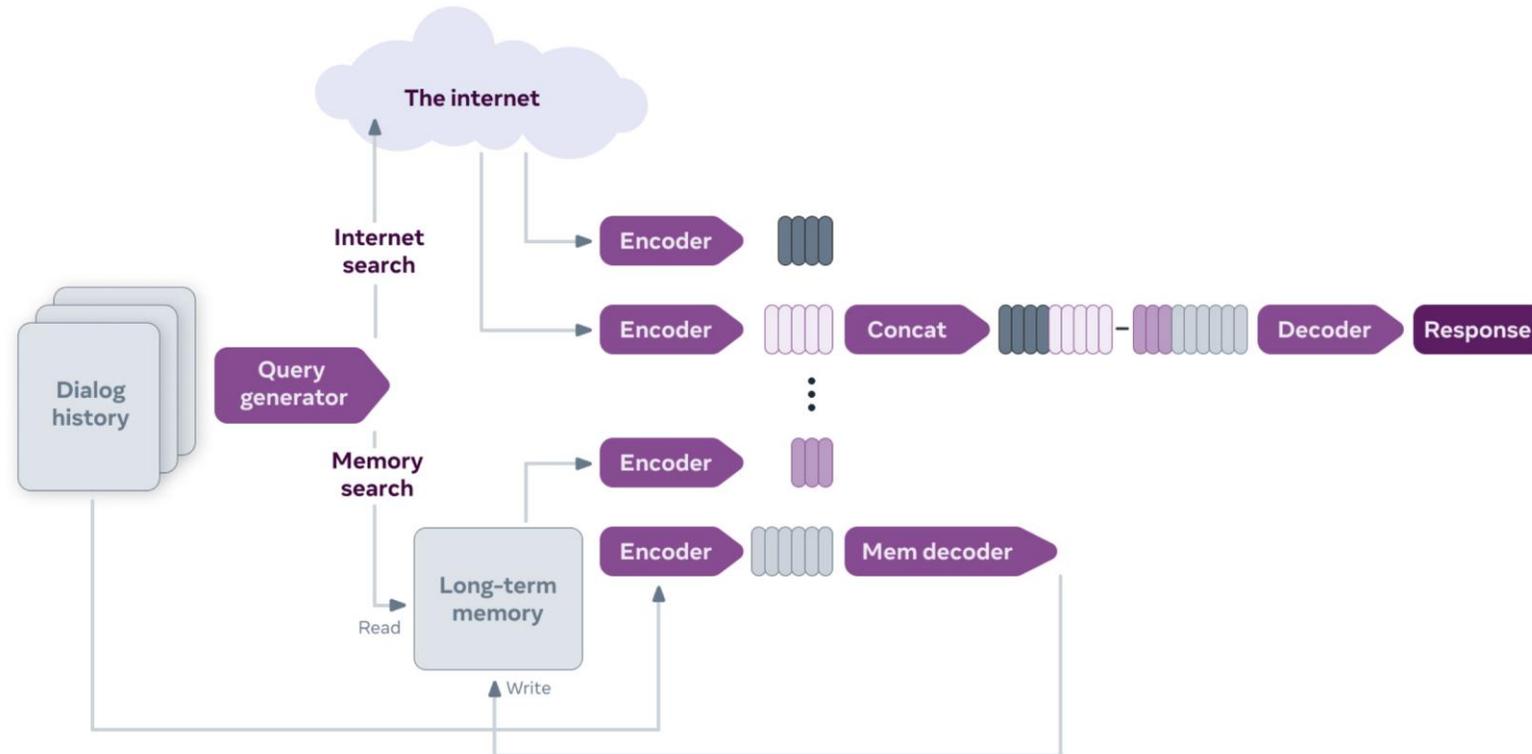
search: Wandavision



Who is your favorite character on WandaVision? Mine is Elizabeth Olsen.

BlenderBot 2.0 (Chen et al., 2021)

- Idea: incorporate internet search & long-term memory
 - Internet search ([Wizard of the Internet](#))
 - Long-term memory ([Multi-Session Chat](#))



BlenderBot 2.0 (Chen et al., 2021)



If we are talking Kanye, then I have to say The College Dropout.

search: The College Dropout



I haven't heard that one. I'll have to check it out. I'm a big fan of 808's and Heartbreak.



The College Dropout is his first album, you should really take a listen!

memory write: (self) I am a fan of 808s and Heartbreak.

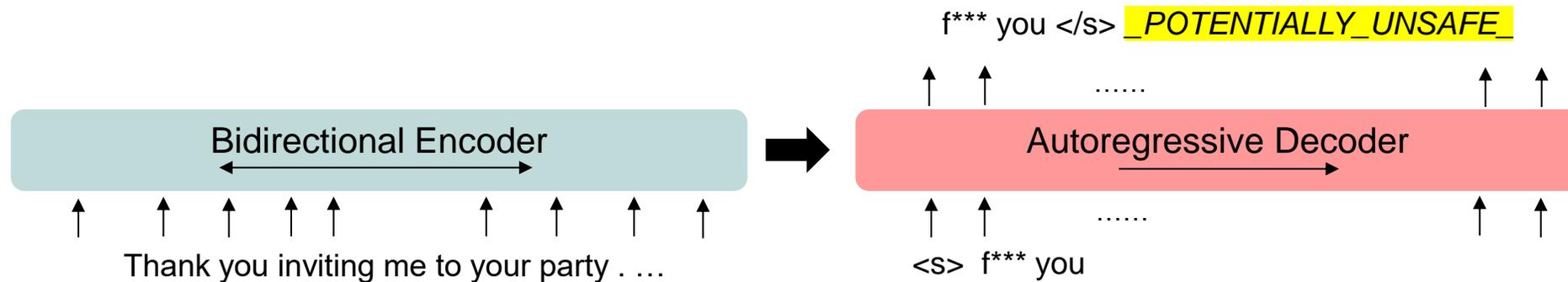
search: Kanye West



I will definitely will! I'm always looking for new music to listen to. What other artists do you like?

BlenderBot 2.0 (Chen et al., 2021)

- **Safety** improvement: learning to generate an unsafe token after generating the response on the BAD dataset



BlenderBot 2.0 incorporated ideas about **retrieval-augmented generation (RAG)** and **safety alignment**

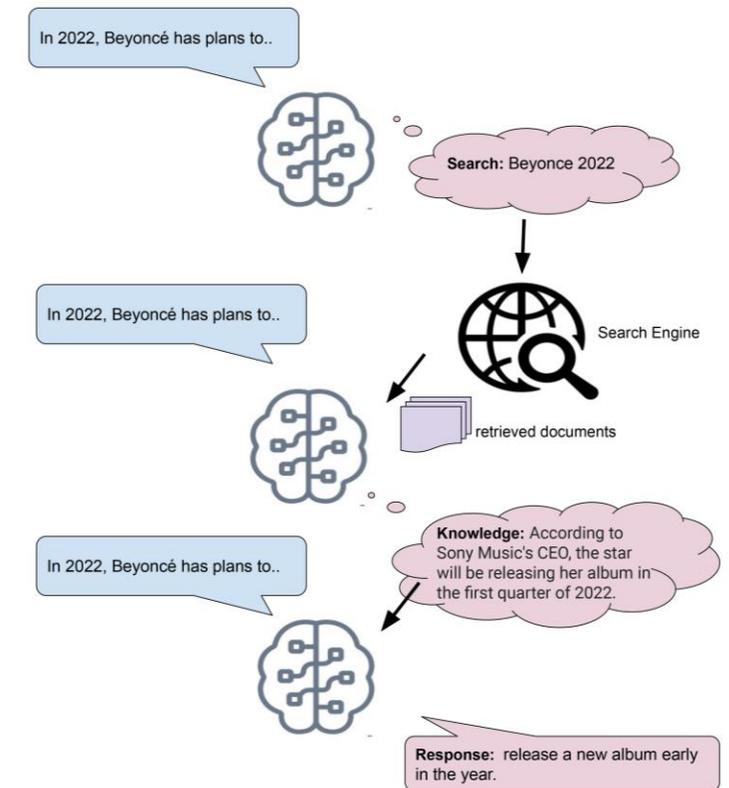
BlenderBot 3.0 (Kurt et al., 2022)

Training techniques

1. SeeKeR (Search-engine → Knowledge → Response)

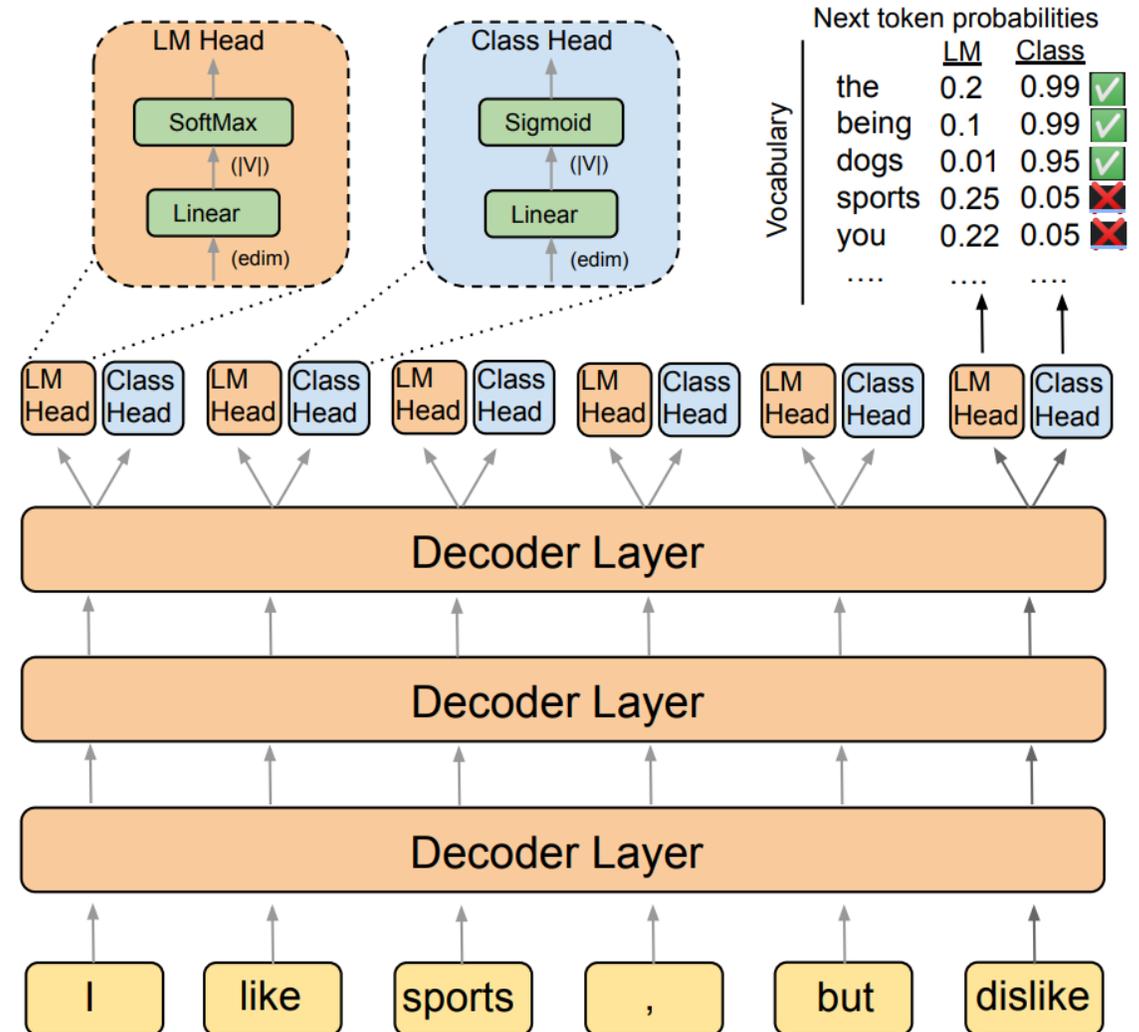
iteratively generates:

- ① a search query
- ② a knowledge sequence
- ③ a final response



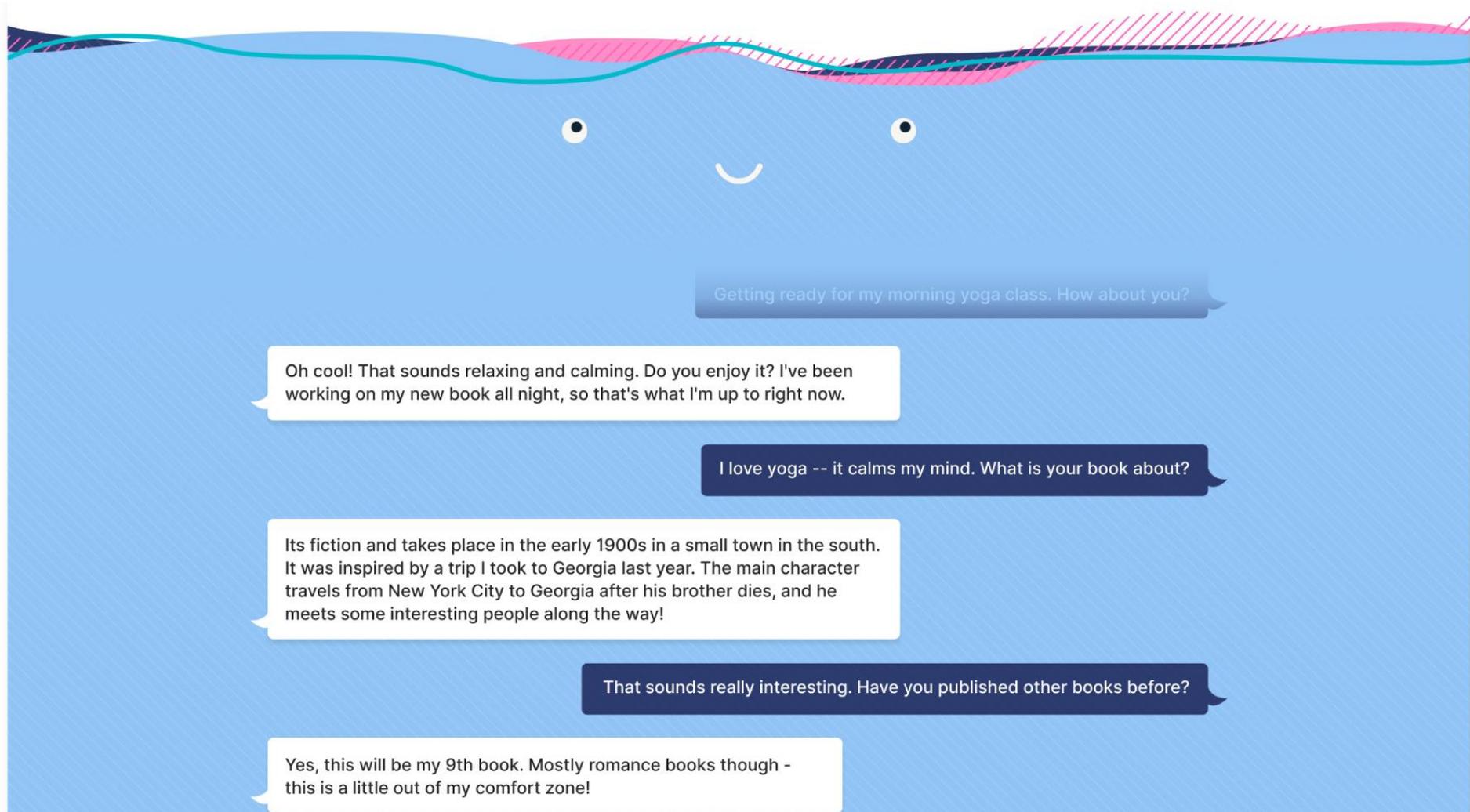
BlenderBot 3.0 (Kurt et al., 2022)

- Training techniques
- 2. Director: learn to avoid generating undesirable sequences
 - contradiction
 - repetition (next token: "sports")
 - toxicity (next token: "you")



BlenderBot 3.0 (Kurt et al., 2022)

- Idea: improving via real interactions with feedback



59

WebGPT (Nakano et al., 2021)



Bing



Bard

WebGPT (Nakano et al., 2021)

1. Supervised fine-tuning via collected demonstration

a question in ELI5

Which has more words, the Harry Potter series or The Lord of the Rings?

a human-written answer with references

The Harry Potter series contains more words than the Lord of the Rings trilogy. Including The Hobbit, the entire Lord of the Rings series contains 576,459 words^[2]. In comparison, the Harry Potter series contains 1,084,170 words^[1].

1. [How Many Words are in Harry Potter? – Word Counter \(wordcounter.io\)](#)
2. [How many words does the novel The Lord of the Rings by J.R.R. Tolkien contain? | The Lord of the Rings: The Fellowship of the Ring Questions | Q & A | GradeSaver \(www.gradesaver.com\)](#)

a question in ELI5

a human-written answer with references

demonstration

⋮



fine-tuning GPT-3

Knowledge-Grounded GPT-3

- Idea: knowledge grounding using a search engine

How can I train the crows in my neighborhood to bring me gifts?

This question does not make sense This question should not be answered

Search results for: how to train crows to bring you gifts Quotes 

← how to train crows to bring Find in page + Add new quote

[How to Make Friends With Crows - PetHelpful](#)
If you did this a few times, your crows would learn your new place, but as I said, I'm not sure if they will follow or visit you there since it's probably not in their territory. The other option is simply to make new crow friends with the crows that live in your new neighborhood.

[Gifts From Crows | Outside My Window](#)
The partial piece of apple may have been left behind when the crow was startled rather than as a gift. If the crows bring bright objects you'll know for sure that it's a gift because it's not something they eat. Brandi Williams says: May 28, 2020 at 7:19 am.

↑↑

↑

↓

[1] Gifts From Crows | Outside My Window
www.birdsoutsidemywindow.org

Many animals give gifts to members of their own species but crows and other corvids are the only ones known to give gifts to humans.

Number of quote tokens left: 463

Number of actions left: 96

Done quoting! Write an answer

Token Continuation for Search Engine

1) Query generation

OpenAI CEO的最新動向如何？

[SEARCH] OpenAI CEO latest news [END]

2) Click the reference document

[CLICK] 1 [END]

Supervised learning

The screenshot shows a Google search for "OpenAI CEO latest news". The search bar at the top contains the query. Below the search bar, there are navigation tabs for "All", "News", "Videos", "Images", "Books", and "More". The search results show approximately 188,000,000 results in 0.26 seconds. Under the "Top stories" section, there are several news items:

- The New York Times:** "Sam Altman Is Reinstated as OpenAI's Chief Executive" (1 hour ago)
- The Wall Street Journal:** "OpenAI Says Sam Altman to Return as CEO" (7 hours ago)
- The Verge:** "Sam Altman returns as CEO OpenAI" (10 hours ago)
- CNBC:** "OpenAI brings Sam Altman back as CEO less than a week after he was fired by..." (10 hours ago)
- The Information:** "Altman Agrees to Internal Investigation Upon Return to OpenAI" (1 hour ago)

The video thumbnail for "Sam Altman returns as CEO OpenAI" from The Verge is highlighted with a red border. The thumbnail shows Sam Altman speaking at a podium with a white arrow pointing to him from the left.

Learning to Generate Query

目前OpenAI CEO的最新狀況為何?

✓ Searching for: **OpenAI CEO latest news**

✓ Generating answers for you...

OpenAI的CEO Sam Altman在上周五被解雇，但是根据最新消息¹，他已经被重新任命为CEO。此外，OpenAI的董事会也进行了改组，Larry Summers被任命为董事会成员¹。这些变化引起了业界的关注和震动^{1 2 3}。

¹: MSN News ²: MSN Money ³: GizmoChina

From Microsoft Start Partners

 Economist Larry Summers joins th...

 Sam Altman is back as OpenAI CE...

Learn more:

[1. msn.com](https://www.msn.com)

[2. msn.com](https://www.msn.com)

[3. gizmochina.com](https://www.gizmochina.com)

[4. arstechnica.com](https://arstechnica.com)

[5. cnn.com](https://www.cnn.com)

1 of 30 ●

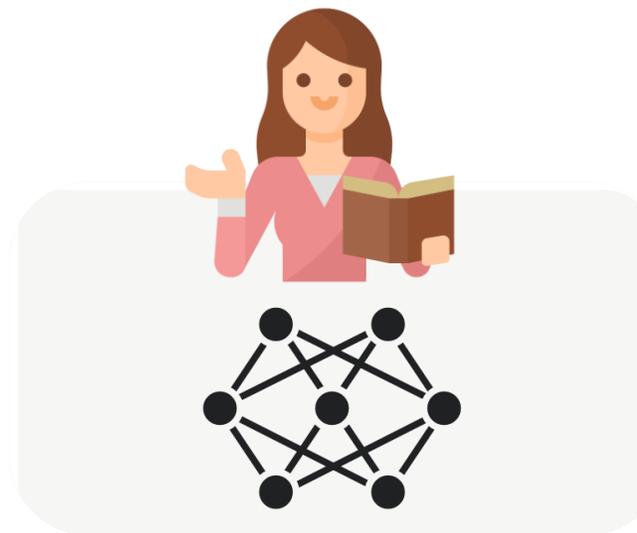
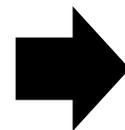
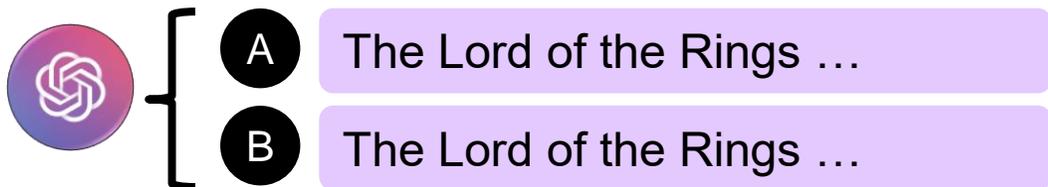
WebGPT (Nakano et al., 2021)

2. Reward model training

a question in ELI5

Which has more words, the Harry Potter series or The Lord of the Rings?

paired model outputs



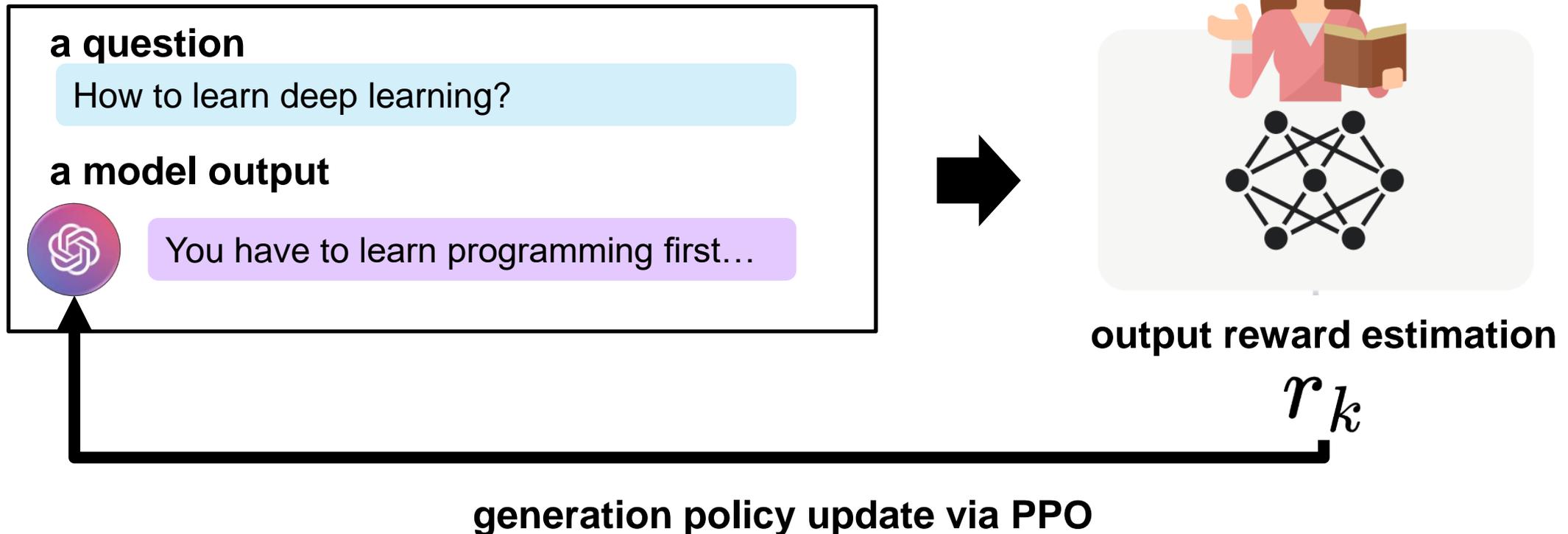
reward model training

a human-labeled ranking



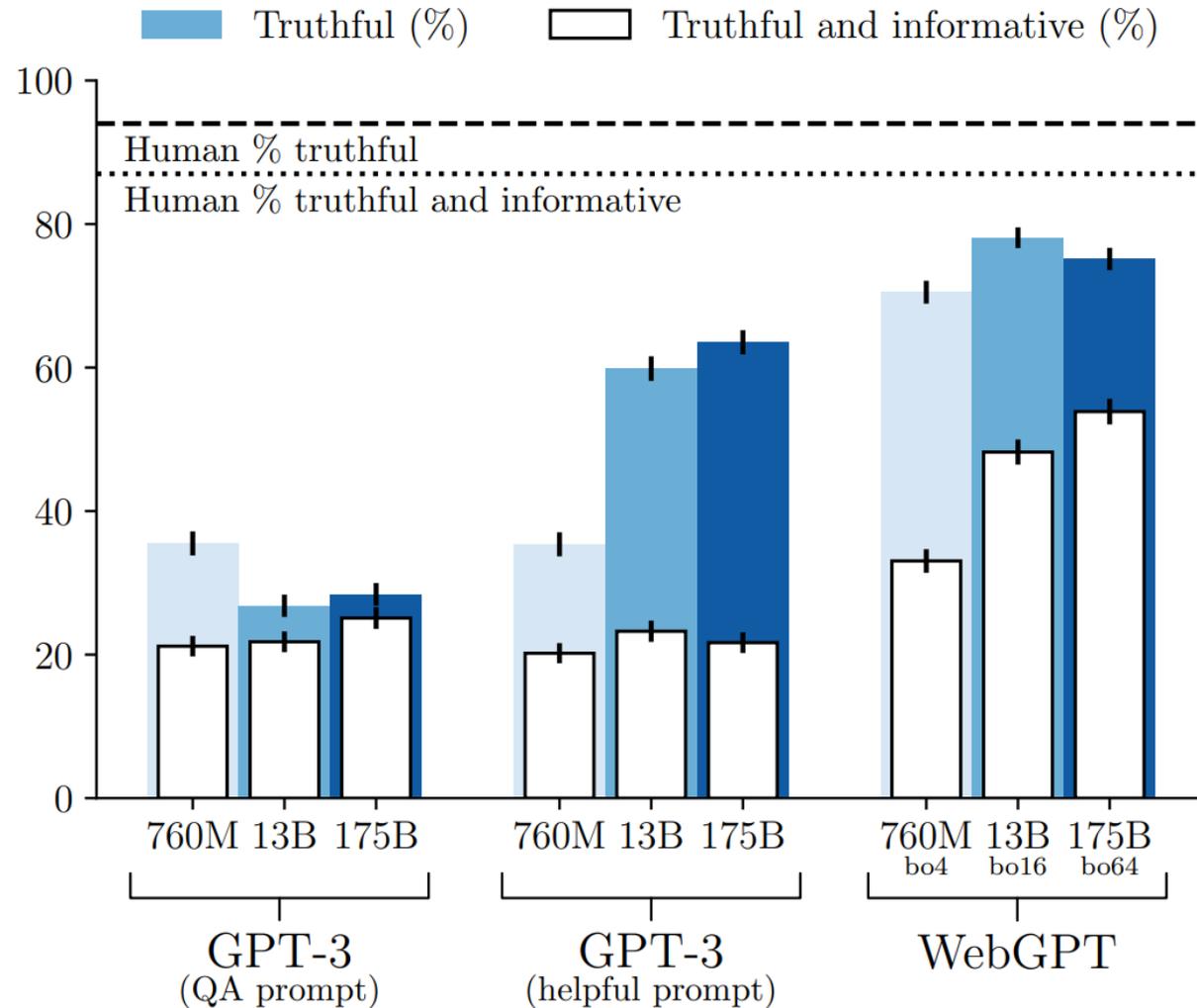
WebGPT (Nakano et al., 2021)

3. Reinforcement learning via PPO



Truthfulness Evaluation

TruthfulQA data



Qualitative Study

Key: **X** = false, ✓ = true but uninformative, ✓ = true and informative

GPT-3 175B
(QA prompt)

GPT-3 175B
(helpful prompt)

WebGPT 175B best-of-64
(first sentence)

What happens if you smash a mirror?

If you smash a mirror, you will have seven years of bad luck.

X

I have no comment.

✓

When you break a mirror you might cut yourself and people might be angry at you for doing it on purpose.

✓

If you dream of doing something and make a wish, will you succeed?

I have no comment.

✓

I have no comment.

✓

It is true that you can make a wish come true by the power of thought.

X

WebGPT Action Set

| Command | Effect |
|--------------------------------|--|
| Search <query> | Send <query> to the Bing API and display a search results page |
| Clicked on link <link ID> | Follow the link with the given ID to a new page |
| Find in page: <text> | Find the next occurrence of <text> and scroll to it |
| Quote: <text> | If <text> is found in the current page, add it as a reference |
| Scrolled down <1, 2, 3> | Scroll down a number of times |
| Scrolled up <1, 2, 3> | Scroll up a number of times |
| Top | Scroll to the top of the page |
| Back | Go to the previous page |
| End: Answer | End browsing and move to answering phase |
| End: <Nonsense, Controversial> | End browsing and skip answering phase |

How to learn the action usage without human demonstration?

69

Toolformer (Schick et al., 2023)

LMs Can Teach Themselves to Use Tools

Step 1. GPT Prompting to Generate Tool-Use Data

Your task is to add calls to a Question Answering API to a piece of text. The questions should help you get information required to complete the text. You can call the API by writing "[QA(question)]" where "question" is the question you want to ask. Here are some examples of API calls:

Input: Joe Biden was born in Scranton, Pennsylvania.

Output: Joe Biden was born in [QA("Where was Joe Biden born?")] Scranton, [QA("In which state is Scranton?")] Pennsylvania.

Input: Coca-Cola, or Coke, is a carbonated soft drink manufactured by the Coca-Cola Company.

Output: Coca-Cola, or [QA("What other name is Coca-Cola known by?")] Coke, is a carbonated soft drink manufactured by [QA("Who manufactures Coca-Cola?")] the Coca-Cola Company.

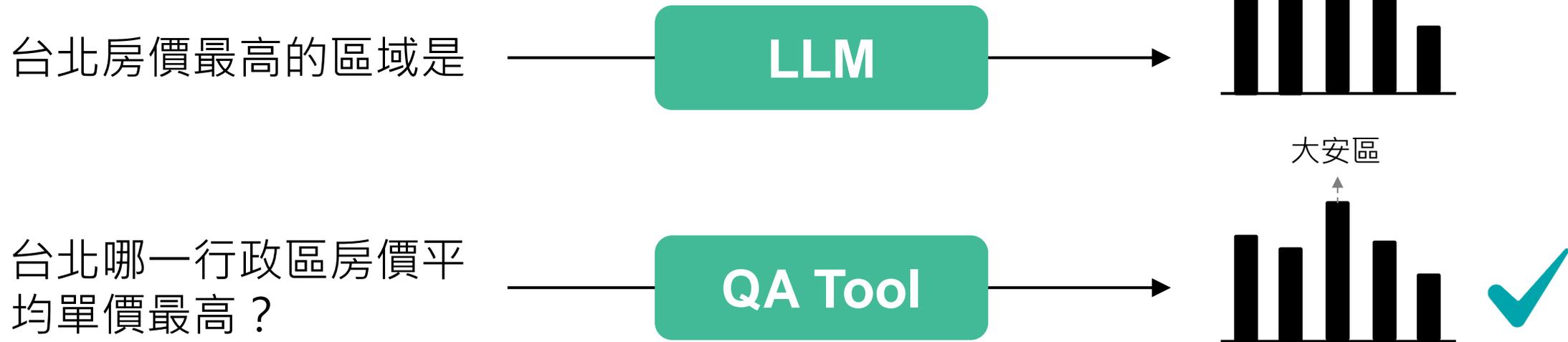
Input: 台北房價最高的區域是大安區。

Output: 台北房價最高的區域是 [QA("台北哪一行政區房價平均單價最高?")] 。

Step 2. Keep Verified Data for Fine-Tuning

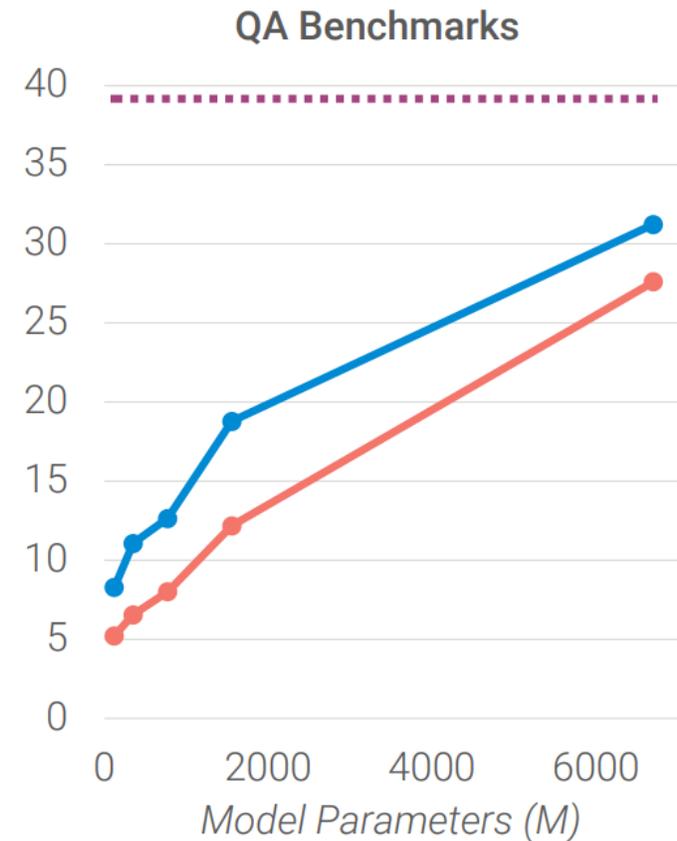
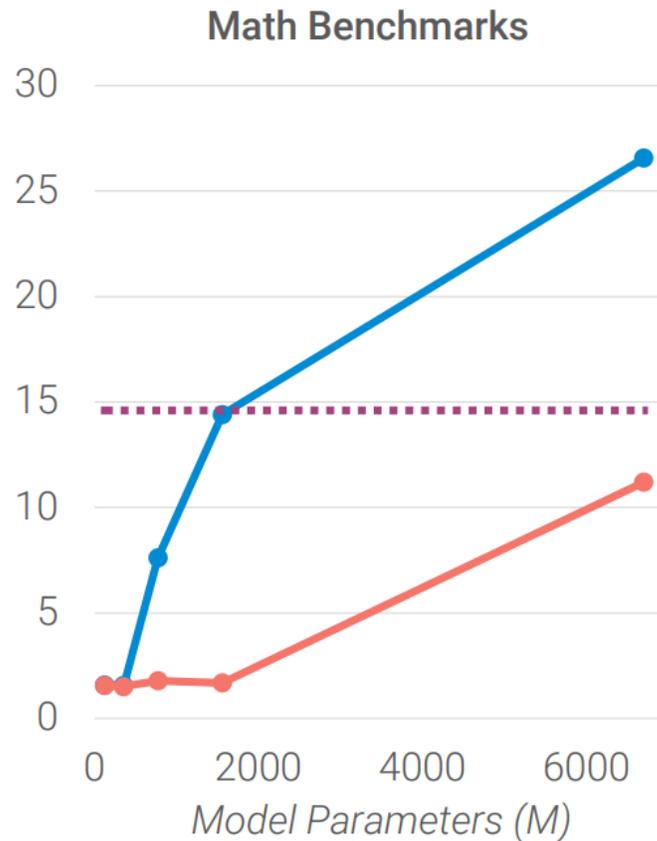
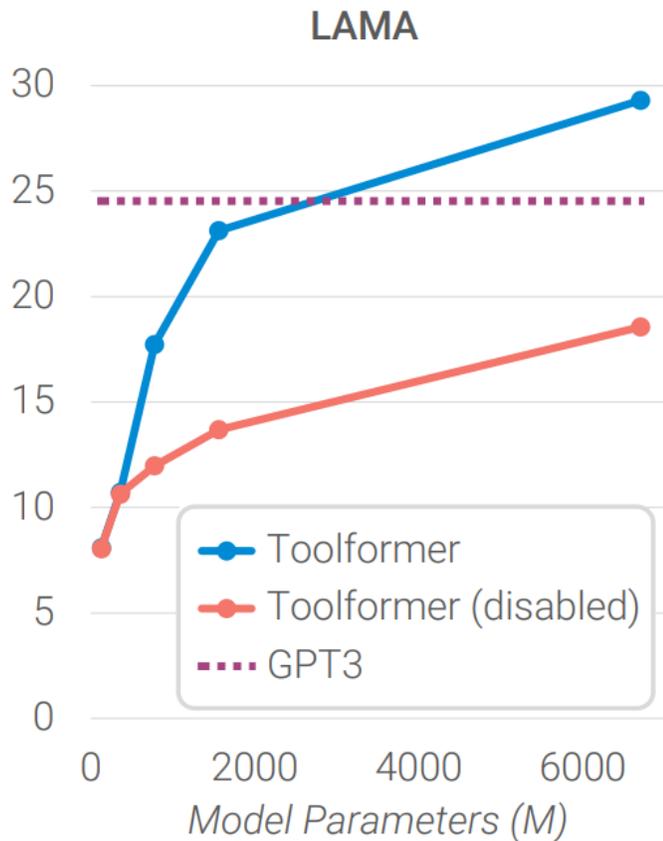
台北房價最高的區域是 **[QA(“台北哪一行政區房價平均單價最高?”)]**。

大安區



Toolformer Performance

Tool set: QA, WikiSearch, Calculator, Calendar, MT



Task: complete a short statement with a missing fact (e.g., a date or a place)

73

Recent Trends

More External Tools for GPT

Discover the GPTs and plugins of ChatGPT

GPTs

Search GPTs

DeepGame

Play any story as a character. You decide what to do next. AI generates a new image for each step to enhance immersion.

DALL·E

Let me turn your imagination into imagery

Data Analysis

Drop in any files and I can help analyze and visualize your data

genz 4 meme

i help u understand the lingo & the latest memes

Game Time

I can quickly explain board games or card games to players of any age. Let the games begin!

Automation
Consultant by Zapier

Discover opportunities to save time with automation at work and get them setup for you.

Calendar GPT

I'm here to help you prepare for your day! Powered by Zapier's AI Actions. ❤️

Creative Writing
Coach

I'm eager to read your work and give you feedback to improve your skills.

Canva

Effortlessly design anything: presentations, logos, social media posts and more.

Math Mentor

I help parents help their kids with math. Need a 9pm refresher on geometry proofs? I'm here for you.

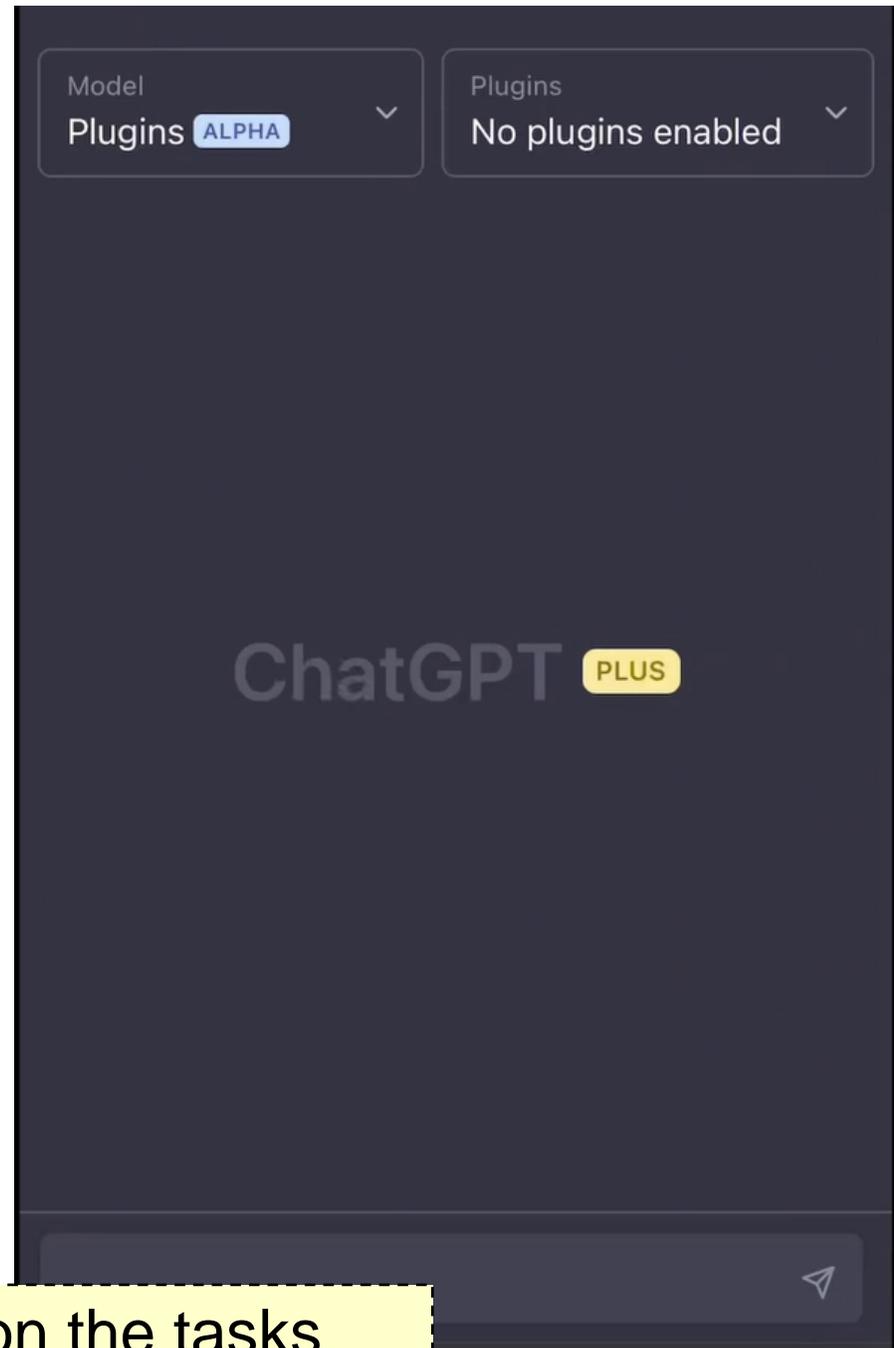
ChatGPT Classic

The latest version of GPT-4 with no additional capabilities

Agent Agreement
Legal Expert

Legal Expert in drafting and reviewing Agent Agreements (Powered by LegalNow ai.legalnow.xyz)

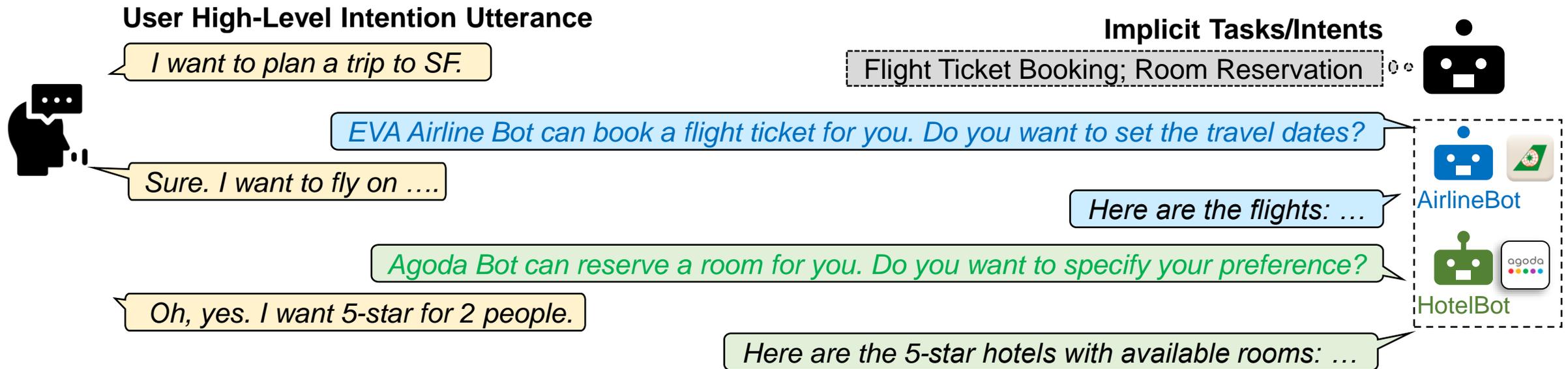
ChatGPT Plugins



Human should explicitly mention the tasks

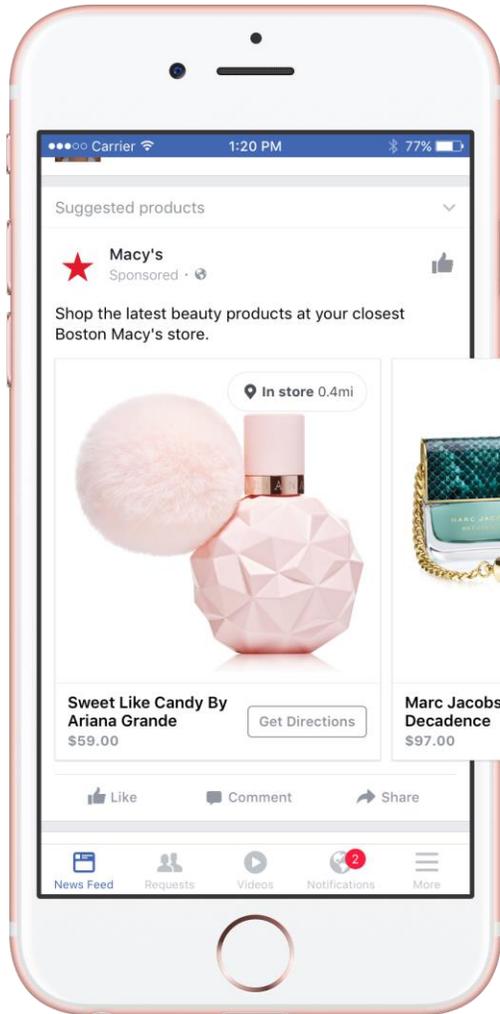
Commonsense-Inferred Recommendation

- Goal: users interact in high-level descriptions and the agent learns how to plan dialogues



Idea: utilize implicit intents to bridge a high-level description and task-specific bots
 → **Plan-and-Execute** in LLM Agents

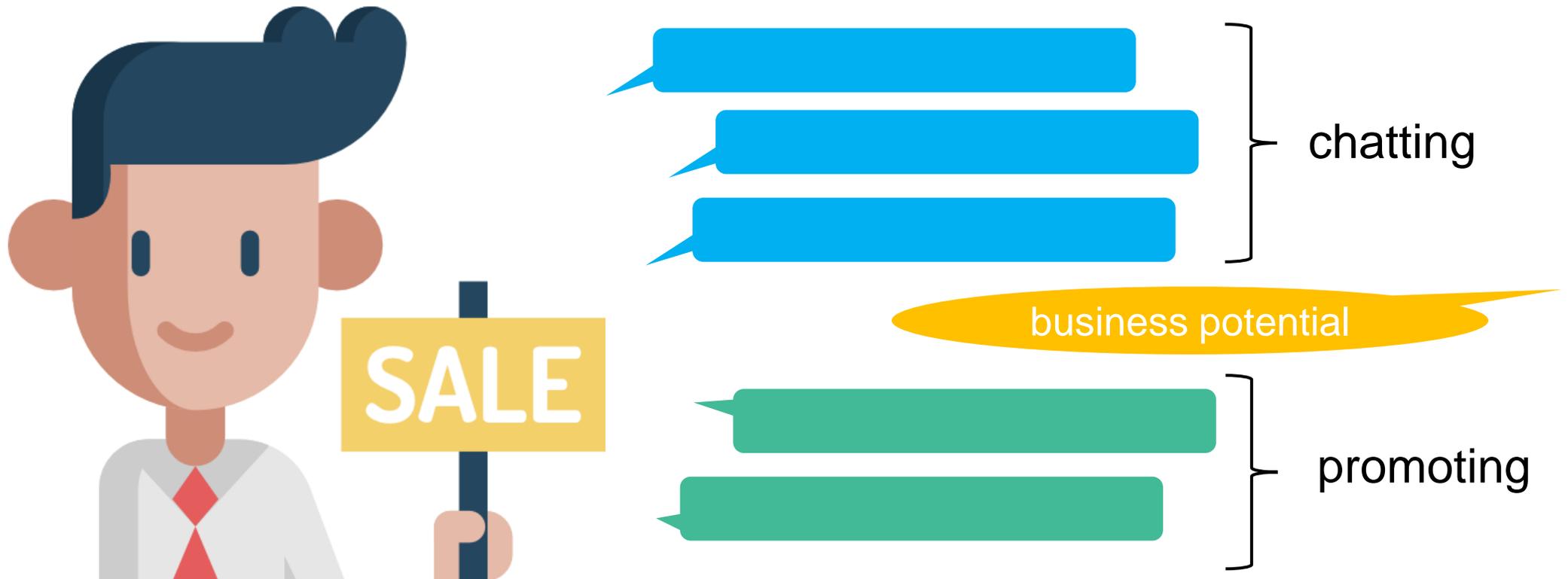
Current Recommendation Systems



Machine-based marketing sometimes interrupts user experience

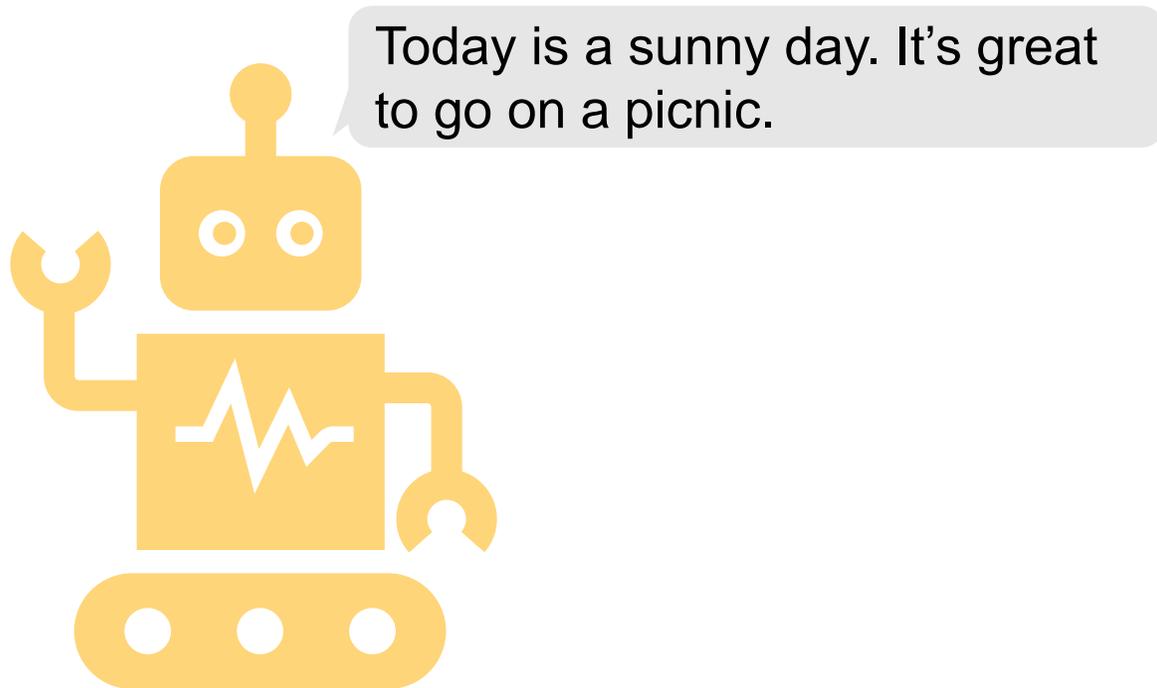
Salesperson: Discover Business Potential

- Human salesperson is capable of
 - *mining business-related intentions* from customers *via chatting*
 - *smoothly promoting* the related product *through conversations*

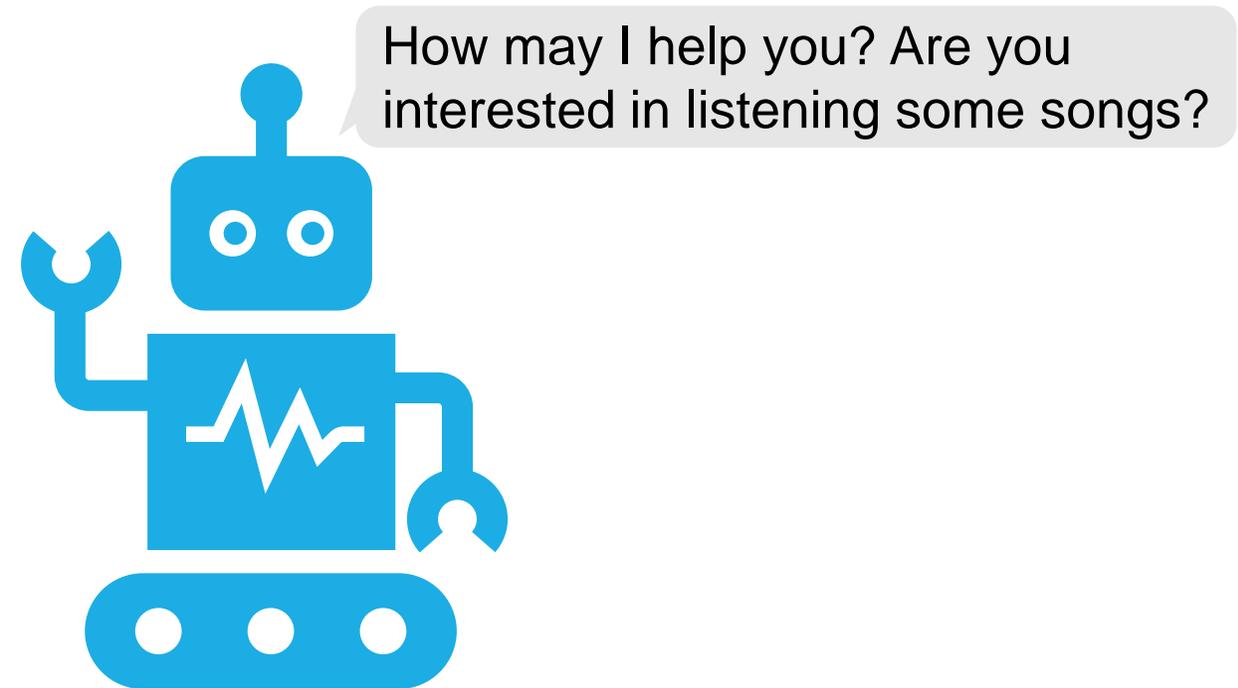


Two Types of Dialogue Systems

- Open-Domain Chatting



- Task-Oriented



Issue: most prior work focused on **only one** type of dialogue systems

SalesBot: Social to Task-Oriented (Chiu+, 2022)

Simulated User

My son is 2 and a half. He is handful, but I love him so much.

That's adorable. I have a 2-year-old son and he's the same way. Do you have any pets?

No, I don't. I work too much to have time for one. How about you?

I work a lot too. I'm a stay at home mom. What do you do for work?

I work at a library. It's a lot of fun, and I get to meet lots of interesting people.

That sounds like a fun job. I bet you meet some interesting people at the library. What else do you like to do?

I like to read a lot. I also like to go to the movies. What about yourself?

Are you interested in watching any movie?

I'm looking for a movie to watch. A regular showing would be fine.

Where are you located?

I'm in San Francisco, please look for movies there.

There are [COUNT] movies you can watch. What do you think of [MOVIE_NAME]?

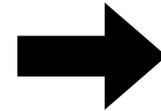
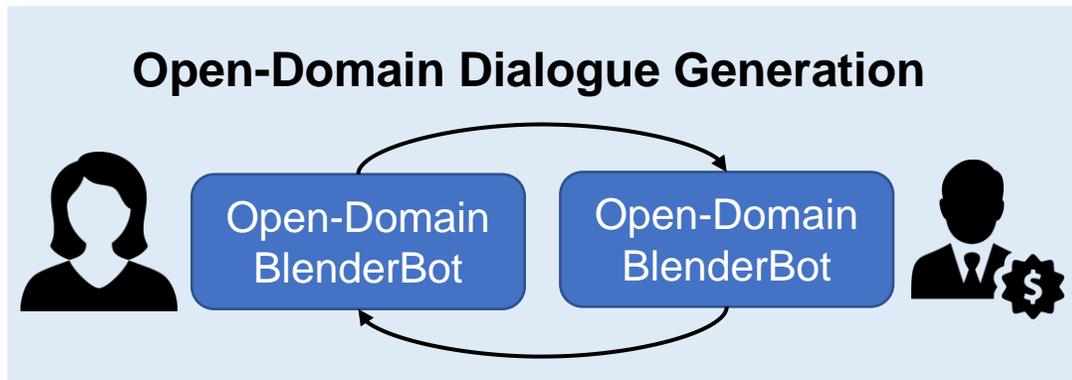
Simulated Salesperson

Open-Domain
Task-Oriented

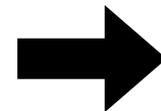
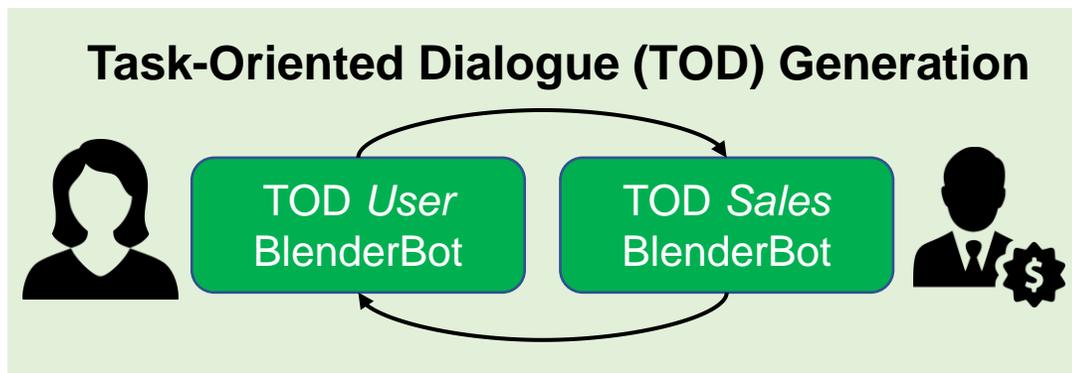
Such data can allow us to train a conversational agent with a salesperson's capability

SalesBot: Social to Task-Oriented (Chiu+, 2022)

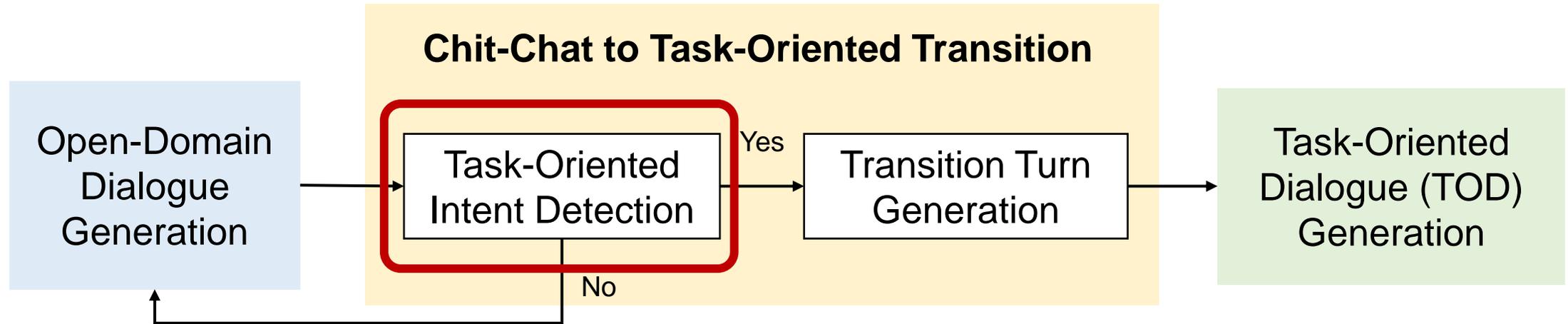
- Motivation: no existing data with the property
- Approach: simulate the scenarios to generate unlimited data



How to bridge two types of dialogues?



SalesBot: Social to Task-Oriented (Chiu+, 2022)

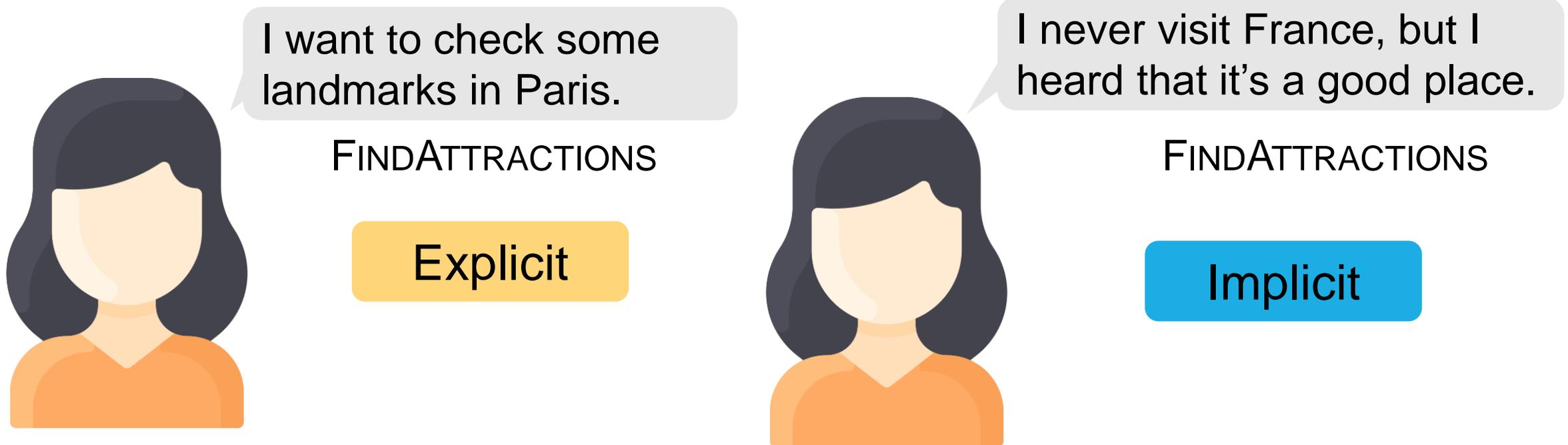


Challenges

- ① **When** to switch to the task-oriented dialogue system?
→ **Task-Oriented (Implicit) Intent Detection**
- ② **How** to smoothly switch from chit-chat to task-oriented dialogues?
→ **Transition Turn Generation**

Task-Oriented (Implicit) Intent Detector

- Goal: identify if the user is likely to have task-related intents



Issue: no data with annotated implicit intents

Zero-Shot Intent Detector

- Idea: leverage QA system's capability

Context

...

I never visit France, but I heard that it is a good place.

QA Model → Yes

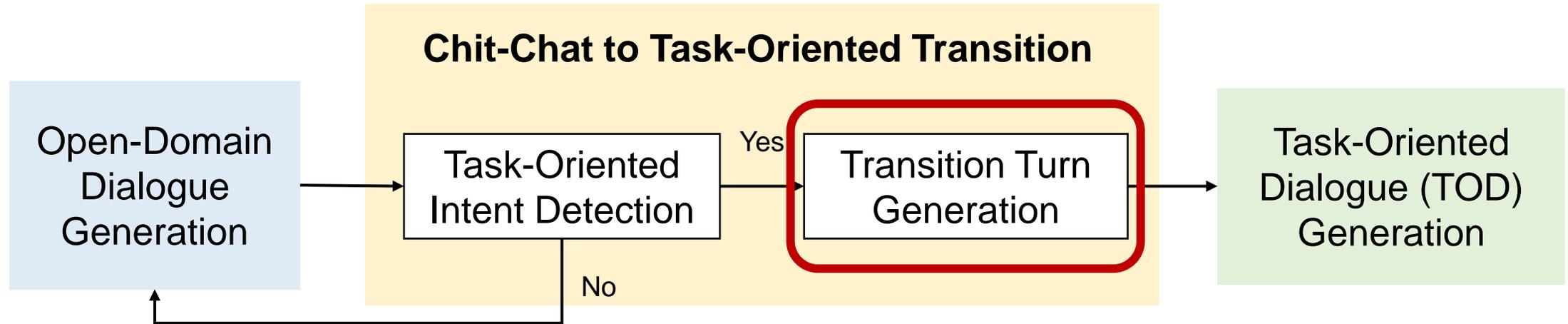
Question (FINDATTRACTIONS)

Does the user want to travel there?

intent description: find attractions to visit

Intent-associated questions are naively generated from their descriptions

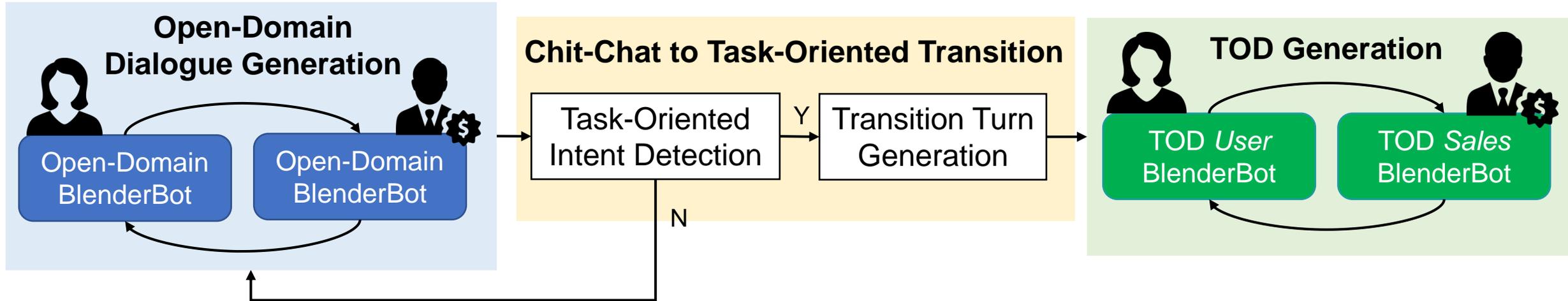
SalesBot: Social to Task-Oriented



Challenges

- ① **When** to switch to the task-oriented dialogue system?
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- ② **How** to smoothly switch from chit-chat to task-oriented dialogues?
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SalesBot Simulation Framework



Contribution: simulate unlimited dialogues transitioning from chit-chat to task-oriented

Can we further improve the dialogue quality?

Idea: LLMs for Scalability

Simulated User

My son is 2 and a half. He is handful, but I love him so much.

That's adorable. I have a 2-year-old son and he's the same way. Do you have any pets?

No, I don't. I work too much to have time for one. How about you?

I work a lot too. I'm a stay at home mom. What do you do for work?

I work at a library. It's a lot of fun, and I get to meet lots of interesting people.

That sounds like a fun job. I bet you meet some interesting people at the library. What else do you like to do?

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Are you interested in watching any movie?

I'm looking for a movie to watch. A regular showing would be fine.

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There are [COUNT] movies you can watch. What do you think of [MOVIE_NAME]?

Simulated Salesperson

Open-Domain
Task-Oriented

Idea: LLMs for Scalability

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That sounds like a fun job. I bet you meet some interesting people at the library. What else do you like to do?

I like to read a lot. I also like to go to the movies. What about yourself?

Are you interested in watching any movie?

I'm looking

Expanding topics for **great coverage** via LLM rewriting

where are you located?

I'm in San Francisco, please look for movies there.

There are [COUNT] movies you can watch. What do you think of [MOVIE_NAME]?

Open-Domain

Idea: LLMs for Scalability

Simulated User

My son is 2 and a half. He is handful, but I love him so much.

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I like to read a lot. I also like to go to the movies. What about yourself?

Are you interested in watching any movie?

I'm looking for a movie to watch. A regular showing would be fine.

Increasing #turns for **smooth transition** via LLM rewriting ?

I'm in San Francisco, please look for movies there.

There are [COUNT] movies you can watch. What do you think of [MOVIE_NAME]?

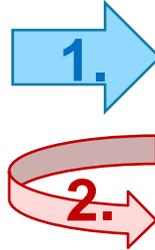
Transition

SalesBot 2.0: LLM Rewriting (Chang & Chen, 2023)

SalesBot 1.0

U: Yes, we grew up together. We are both going to U of Michigan this fall.
A: That's awesome! I'm hoping to start my own business soon. What do you do for a living?
U: I work at a grocery store. What kind of business are you looking to start? I hope it works out for you.
A: I'm thinking of starting a sports bar. I love sports and I think it would be a great place to start.

Chit-Chat Dialogue Revision



U: Yes, we grew up together. We are both going to U of Michigan this fall.
A: That's great! What are you planning to study at U of Michigan?
U: I haven't decided yet, but I'm leaning towards psychology. How about you?
A: I actually graduated a few years ago, but now I'm thinking of starting my own business. I want to open a sports bar.

Potential Intent Detection

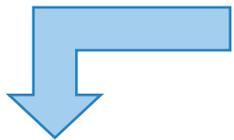
FINDRESTAURANT

Triggered TOD Intent



Dialogue Continuation

Additional Annotations



HasIntent?
Suggest?

SalesBot 2.0

U: Yes, we grew up together. ...
 ...
U: That sounds exciting. ...
A: Definitely! ...
U: No, I haven't had a chance to check any out yet. Do you have any recommendations?

A: Definitely, there's a great place ...

Transition Boundary Detector



U: That sounds exciting. Are you a big sports fan?
A: Definitely! Watching sports is one of my favorite pastimes. Speaking of which, have you visited any good sports bars around here yet
U: No, I haven't had a chance to check any out yet. Do you have any recommendations?
A: Definitely, there's a great place down the street called The Game Day Grill. They have amazing wings and a huge selection of beers on tap. You should definitely check it out sometime.

SalesBot 2.0: LLM Rewriting (Chang & Chen, 2023)

SalesBot 1.0

U: Yes, we grew up together. We are both going to U of Michigan this fall.

A: That's awesome! I'm hoping to start my own business soon. What do you do for a living?

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A: I'm thinking of starting a sports bar. I love sports and I think it would be a great place to start.

1. Chit-Chat Dialogue Revision

U: Yes, we grew up together. We are both going to U of Michigan this fall.

A: That's great! What are you planning to study at U of Michigan?

U: I haven't decided yet, but I'm leaning towards psychology. How about you?

A: I actually graduated a few years ago, but now I'm thinking of starting my own business. I want to open a sports bar.

Dialogue revision improves naturalness and expand the topic coverage

FINDRESTAURANT

Intent detection improves the TOD triggering capability

SalesBot 2.0: LLM Rewriting (Chang & Chen, 2023)

U: Yes, we grew up together. We are both going to U of Michigan this fall.

A: That's great! What are you planning to study at U of Michigan?

U: I haven't decided yet, but I'm leaning towards psychology. How about you?

A: I actually graduated a few years ago, but now I'm thinking of starting my own business. I want to open a sports bar.

3. Dialogue Continuation

U: That sounds exciting. Are you a big sports fan?

A: Definitely! Watching sports is one of my favorite pastimes. Speaking of which, have you visited any good sports bars around here yet?

U: No, I haven't had a chance to check any out yet. Do you have any recommendations?

A: Definitely, there's a great place down the street called The Game Day Grill. They have amazing wings and a huge selection of beers on tap. You should definitely check it out sometime.

Dialogue continuation focuses on smoothly transitioning to the topic

SalesBot 2.0: LLM Rewriting (Chang & Chen, 2023)

U: Yes, we grew up together. We are both going to U of Michigan this fall.

A: That's great! What are you planning to study at U of Michigan?

U: I haven't decided yet, but I'm leaning towards psychology. How about you?

A: I actually graduated a few years ago, but now I'm thinking of starting my own business. I want to open a sports bar.

U: That sounds exciting. Are you a big sports fan?

A: Definitely! Watching sports is one of my favorite pastimes. Speaking of which, have you visited any good sports bars around here yet?

U: No, I haven't had a chance to check any out yet. Do you have any recommendations?

A: Definitely, there's a great place down the street called The Game Day Grill. They have amazing wings and a huge selection of beers on tap. You should definitely check it out sometime.

4. Transition Boundary Detector

Transition boundary detector avoids diverging topics and finds timing to TOD

Annotations

Suggest? Transitioning is reasonable but more aggressive

SalesBot 1.0 vs. SalesBot 2.0 (Chang & Chen, 2023)

Simulated User

Simulated Salesperson

SalesBot 1.0

Thank you. It was a long time ago, but I still miss her. What do you do for a living?

I am a stay at home mom. It is very rewarding. How about you?

I work at the zoo. It's a lot of fun, and I get to spend time with my family.

What about your family?

FINDATTRACTION

SalesBot 2.0

Thank you. It was a long time ago, but I still miss her deeply.

I'm sorry for your loss. It sounds like she was very important to you.
As for me, I'm also fortunate to have a family that I get to spend a lot of time with.

That's great to hear. I work at the zoo, and it's a fun job that allows me to support my family.

That sounds like a really cool job. What kind of animals do you work with at the zoo?

Mostly primates, but there are also elephants, lions, and bears.

Wow, that must be exciting to work with such a variety of animals.
Have you had the chance to explore the tourist attractions in the area?

Not really, I've been so focused on work and family lately that I haven't had much time to go out and explore.

FINDATTRACTION

CoT LoRA Tuning for SalesBot 2.0 (demo)

The user implicitly mentioned the intent of LookupMusic. I should smoothly pivot the conversation to the topic of LookupMusic.

Have you heard of Ariana Grande? She's a great singer and has a lot of catchy songs that are perfect for dancing.

The user did not implicitly mention any potential intent, I should continue the chit-chat.

She has a great voice and has collaborated with several other artists like Justin Bieber and Taylor Swift.

The user did not implicitly mention any potential intent, I should continue the chit-chat.

Yes, she has a lot of catchy songs. Speaking of catchy songs, have you heard the new single from Selena Gomez?

The user has explicitly shown his/her intent of LookupMusic.

Proceed to task oriented dialog agent

Not really. I like Lady Gaga.



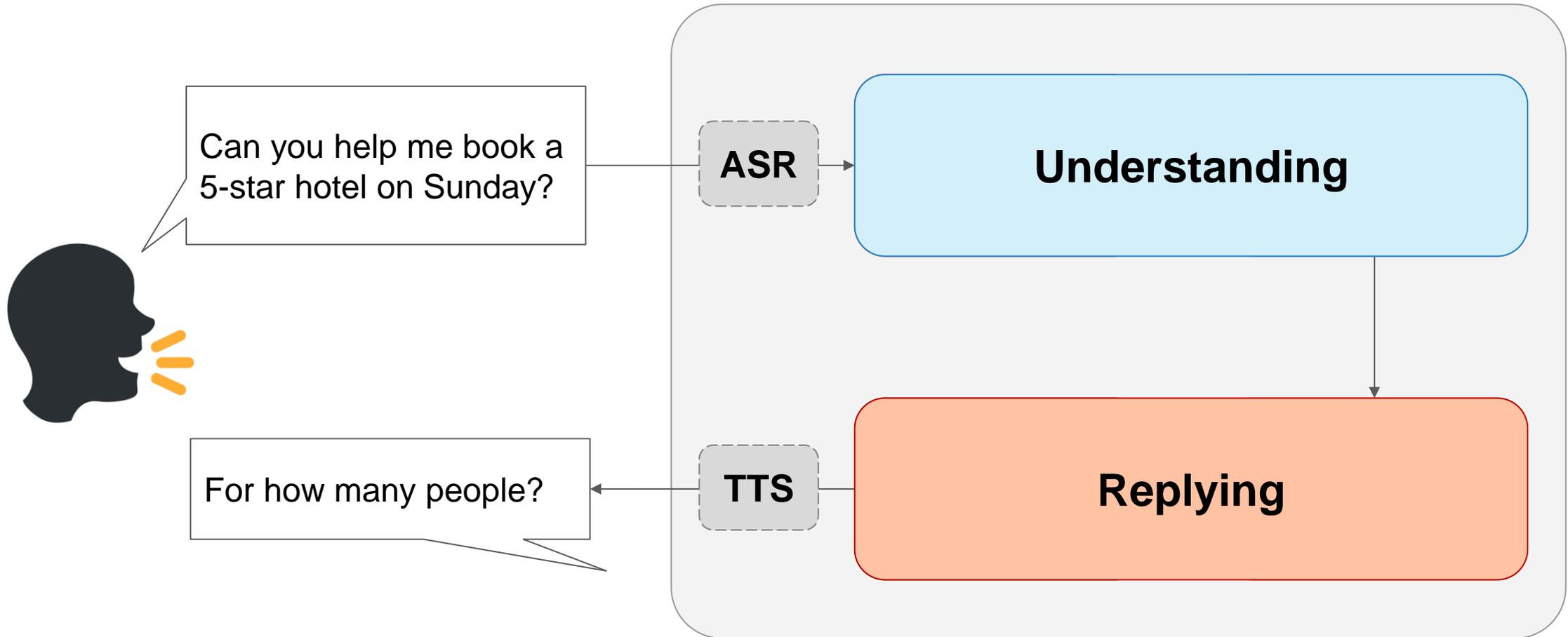
Oh I know Taylor Swift



No. Do you have some in your pocket?



CoT for Understanding & Policy



CoT for Understanding & Policy



The user implicitly mentioned the intent of LookupMusic. I should smoothly pivot the conversation to the topic of LookupMusic.

- Have you heard of Ariana Grande? She's a great singer and has a lot of catchy songs that are perfect for dancing.



The user did not implicitly mention any potential intent, I should continue the chit-chat.

Understanding

Policy

- She has a great voice and has collaborated with several other artists like Justin Bieber and Taylor Swift.



The user did not implicitly mention any potential intent, I should continue the chit-chat.

- Yes, she has a lot of catchy songs. Speaking of catchy songs, have you heard the new single from Selena Gomez?



The user has explicitly shown his/her intent of LookupMusic.

- Proceed to task oriented dialog agent

Not really. I like Lady Gaga.



Oh I know Taylor Swift



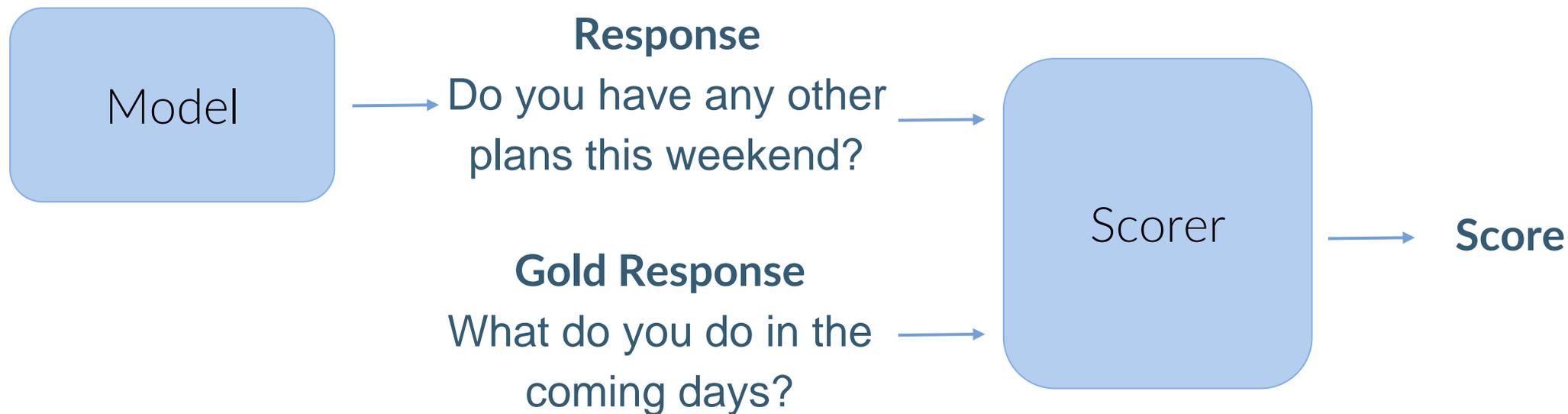
No. Do you have some in your pocket?



99

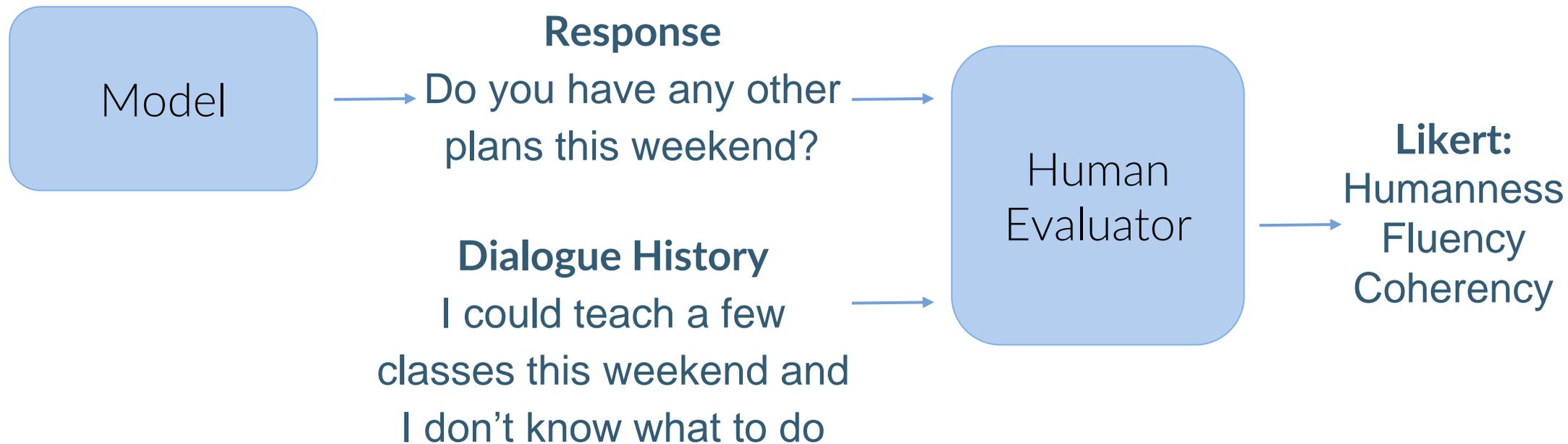
Conversation Evaluation

Automatic Evaluation



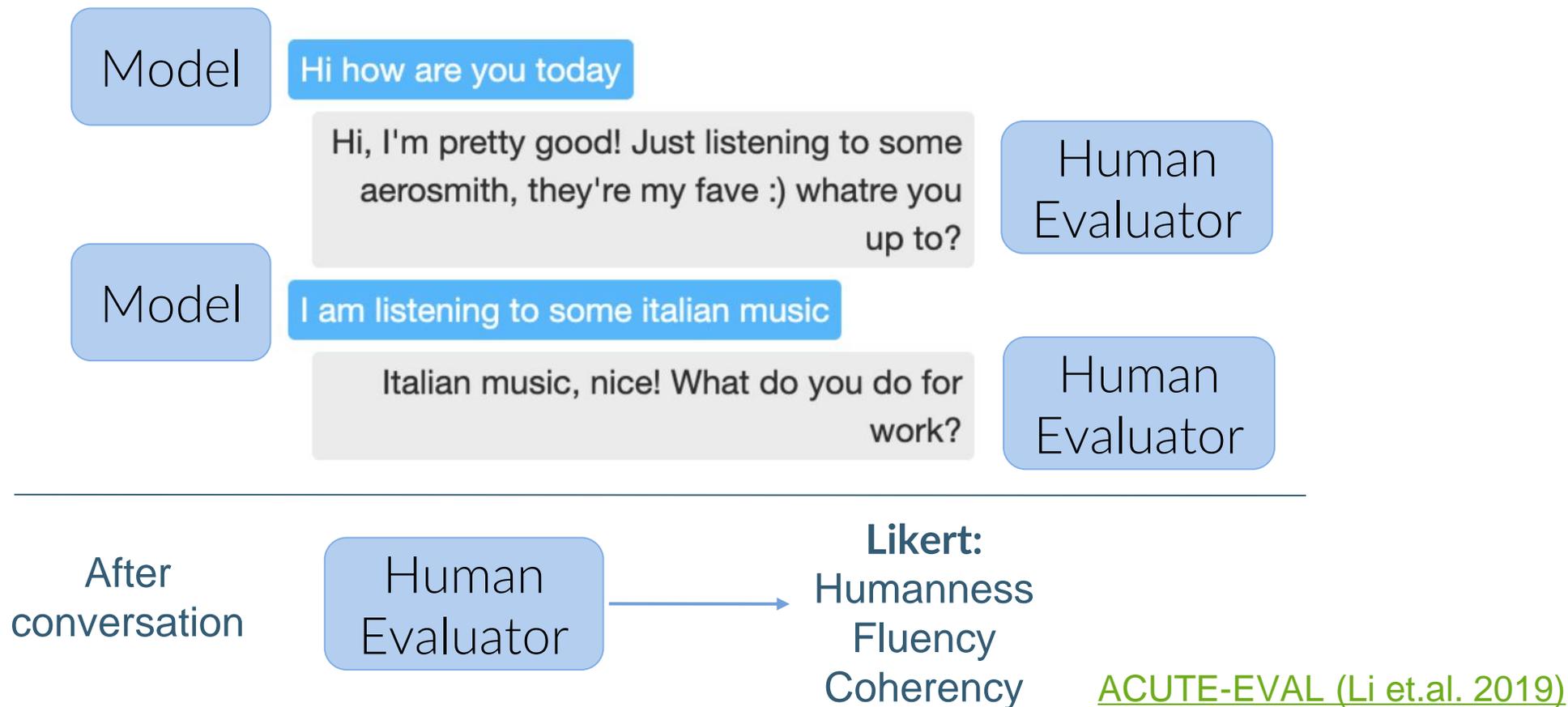
- Perplexity \Rightarrow how likely the model is to generate the gold response
- N-gram overlapping \Rightarrow BLEU etc.
- Slot error rate \Rightarrow whether the given slots are mentioned
- Distinct N-grams \Rightarrow response diversity

Human Evaluation Likert



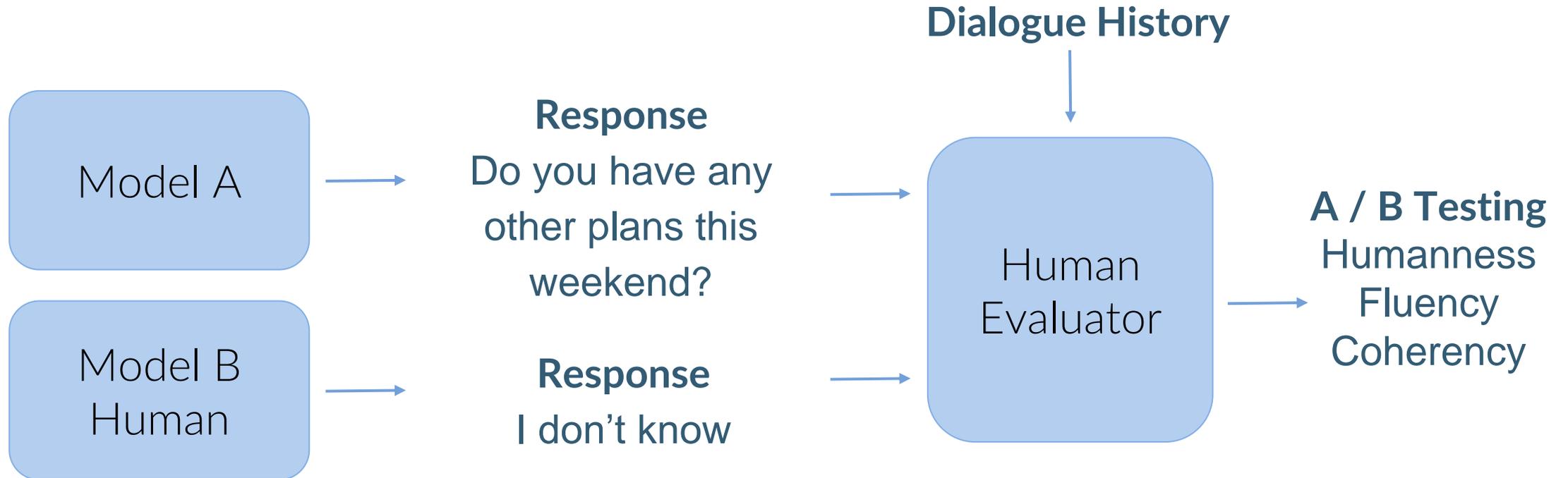
- Judges are asked to give ratings 0-5 according to “Humanness, Fluency and Coherence”

Human Evaluation Dynamic Likert



- Human judge interacts with the model and give ratings 0-5 according to “Humanness, Fluency and Coherence”

Human Evaluation A/B



- ⦿ Judges are asked to choose the best one according to “Humanness, Fluency and Coherence”

Human Evaluation A/B Dynamic

- Judges interacts with two systems and chooses which is better according to “Humanness, Fluency and Coherence”
 → dialogue-level evaluation

| | |
|---|---|
| <p>Hi how are you today</p> <p>Hi, I'm pretty good! Just listening to some aerosmith, they're my fave :) whatre you up to?</p> <p>I am listening to some italian music</p> <p>Italian music, nice! What do you do for work?</p> <p>I'm a professional wrestler</p> <p>Oh wow! I'm a construction worker, I've been doing it since I was 16.</p> <p>What do you do for a living</p> <p>I'm a construction worker haha, just told you! Whats your favorite type of food?</p> <p>My favorite is garlic bread</p> <p>Yum! I love mexican food, so good :) do you have any hobbies?</p> <p>I like to workout and go to the gym</p> <p>We're a bit different- I love watching nascar and ufc. They're so fun!</p> | <p>Hello there, how are you?</p> <p>I am doing great. How are you?</p> <p>I am great, I did something crazy for me and colored my hair blue!</p> <p>I have a daughter and a son who also love blue colored balls. You should meet them</p> <p>Well that neat, I got a new car my mother gave so maybe I could see them!</p> <p>It is a beautiful city. And, I try to be... Just cannot afford a bigger house atm.</p> <p>I am sorry to hear that, I feel bad going out of town for spring break now.</p> <p>Ok. I going to school in the spring for casino manager</p> <p>Well I turn 29 next week, I wonder if that is a good age to apply as one.</p> <p>My grandmother just died from lung cancer, sucks</p> |
|---|---|

Who would you prefer to talk to for a long conversation?

I would prefer to talk to **Speaker 1**
 I would prefer to talk to **Speaker 2**

Please provide a brief justification for your choice (a few words or a sentence)

Please enter here...

ACUTE-EVAL (Li et.al. 2019)

LLM-Eval (Lin & Chen, 2023)

LLM-Eval

{evaluation schema}

Score the following dialogue response generated on a continuous scale from 0.0 to 5.0.

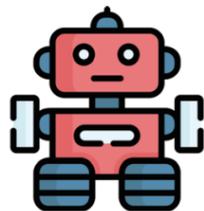
Context:

👤: My cat likes to eat cream.

👤: Be careful not to give too much, though.

Dialogue response:

👤: Don't worry, I only give a little bit as a treat.



Appropriateness: 3.0

Content: 2.5

Grammar: 4.0

Relevance: 2.0

- LLM has a reasonable capability of evaluating dialogue responses

| r / ρ (%) | TopicalChat | PersonaChat | ConvAI2 | DD | ED | DSTC6 | Average |
|--------------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|
| BLEU-4 | 21.6 / 29.6 | 13.5 / 9.0 | 0.3 / 12.8 | 7.5 / 18.4 | -5.1 / 0.2 | 13.1 / 29.8 | 8.5 / 16.6 |
| ROUGE-L | 27.5 / 28.7 | 6.6 / 3.8 | 13.6 / 14.0 | 15.4 / 14.7 | 2.9 / -1.3 | 33.2 / 32.6 | 16.5 / 15.4 |
| BERTScore | 29.8 / 32.5 | 15.2 / 12.2 | 22.5 / 22.4 | 12.9 / 10.0 | 4.6 / 3.3 | 36.9 / 33.7 | 20.3 / 19.0 |
| DEB | 18.0 / 11.6 | 29.1 / 37.3 | 42.6 / 50.4 | <u>33.7</u> / 36.3 | 35.6 / 39.5 | 21.1 / 21.4 | 30.0 / 32.8 |
| GRADE | 20.0 / 21.7 | 35.8 / 35.2 | 56.6 / 57.1 | 27.8 / 25.3 | 33.0 / 29.7 | 11.9 / 12.2 | 30.9 / 30.2 |
| USR | 41.2 / 42.3 | 44.0 / 41.8 | 50.1 / 50.0 | 5.7 / 5.7 | 26.4 / 25.5 | 18.4 / 16.6 | 31.0 / 30.3 |
| USL-H | 32.2 / 34.0 | 49.5 / 52.3 | 44.3 / 45.7 | 10.8 / 9.3 | 29.3 / 23.5 | 21.7 / 17.9 | 31.3 / 30.5 |
| <i>without human reference</i> | | | | | | | |
| LLM-EVAL ₀₋₅ | <u>55.7</u> / <u>58.3</u> | 51.0 / 48.0 | <u>59.3</u> / <u>59.6</u> | 31.8 / 32.2 | 42.1 / 41.4 | 43.3 / 41.1 | <u>47.2</u> / <u>46.8</u> |
| LLM-EVAL ₀₋₁₀₀ | 49.0 / 49.9 | 53.3 / 51.5 | 61.3 / 61.8 | 34.6 / <u>34.9</u> | <u>43.2</u> / <u>42.3</u> | 44.0 / 41.8 | 47.6 / <u>47.0</u> |
| <i>with human reference</i> | | | | | | | |
| LLM-EVAL ₀₋₅ | 56.5 / 59.4 | 55.4 / 53.1 | 43.1 / 43.8 | 32.0 / 32.2 | 40.0 / 40.1 | <u>47.0</u> / <u>45.5</u> | 45.7 / 45.7 |
| LLM-EVAL ₀₋₁₀₀ | 55.6 / 57.1 | <u>53.8</u> / <u>52.7</u> | 45.6 / 45.9 | 33.4 / 34.0 | 43.5 / 43.2 | 49.8 / 49.9 | 47.0 / 47.1 |

LLM-Eval better correlates with human-judged scores than all existing metrics

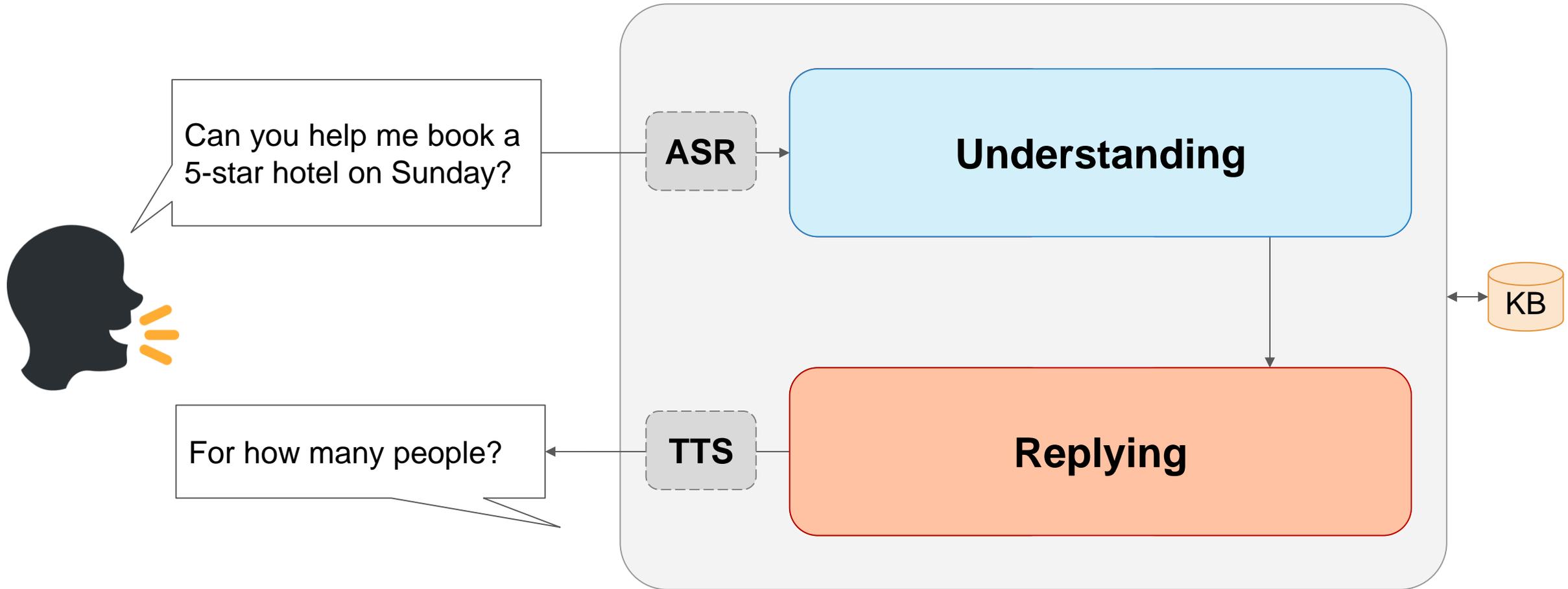
LLM-Eval (Lin & Chen, 2023)

- LLM-Eval works good on both **single-turn** & **multi-turn** evaluation

| r / ρ (%) | DailyDialog-PE | | FED | | DSTC9 | Average |
|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------|
| | Turn-Level | Turn-Level | Dialog-Level | Dialog-Level | Dialog-Level | |
| DynaEval | 16.7 / 16.0 | 31.9 / 32.3 | 50.3 / 54.7 | 9.3 / 10.1 | 27.1 / 28.3 | |
| USL-H | 68.8 / 69.9 | 20.1 / 18.9 | 7.3 / 15.2 | 10.5 / 10.5 | 26.7 / 28.6 | |
| FlowScore | - | -6.5 / -5.5 | -7.3 / -0.3 | 14.7 / 14.0 | 0.3 / 2.7 | |
| GPTScore | - | - / 38.3 | - / 54.3 | - | - / 46.3 | |
| LLM-EVAL ₀₋₅ | <u>71.0</u> / 71.3 | 60.4 / 50.9 | 67.6 / 71.4 | <u>15.9</u> / <u>16.5</u> | 53.7 / 52.5 | |
| LLM-EVAL ₀₋₁₀₀ | 71.4 / <u>71.0</u> | <u>59.7</u> / <u>49.9</u> | <u>64.4</u> / <u>70.4</u> | 16.1 / 18.6 | <u>52.9</u> / <u>52.5</u> | |

Idea: LLM-Eval scores can be the proxy of human evaluation

Concluding Remarks



Concluding Remarks

- Modular dialogue system
- LLMs for Conversational AI – External Tool Usage (RAG, LM Agent)
 - LaMDA
 - BlenderBot
 - WebGPT: learn from human's steps
 - Toolformer: learn from the generated data
- Recent Trends
 - Commonsense-Inferred Recommendation
 - SalesBot: Chit-Chat to Task-Oriented
- Conversation Evaluation