Solving the AL Chicken-and-Egg Corpus and Model Problem: Model-free Active Learning for Phenomena-driven Corpus Construction

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Abstract
Active learning (AL) is often used in corpus construction (CC) for selecting “informative” documents for annotation. This is ideal for focusing annotation efforts when all documents cannot be annotated, but has the limitation that it is carried out in a closed-loop, selecting points that will improve an existing model. For phenomena-driven and exploratory CC, the lack of existing-models and specific task(s) for using it make traditional AL inapplicable. In this paper we propose a novel method for model-free AL using characteristics of phenomena for applying AL to select documents for annotation. The method can also supplement traditional closed-loop AL-based CC to broaden the utility of the corpus created beyond a single task. We introduce our tool, MOVE, and show its potential with a real world case-study.

Keywords: corpus construction, active learning, tools

1. Introduction
In recent years, we have seen an explosion of supervised machine learning (ML) techniques in the NLP community. The accuracy of these supervised ML methods largely depends on three factors: (1) the quality of the prediction algorithm, (2) the quality of training data, and (3) the quantity of training data. While research often concentrates on improving prediction algorithms (i.e. creating/improving models), even the best algorithms will fail if they are fed poor quality data during training, i.e. “garbage in, garbage out”. On the other end, corpus construction (CC) typically faces the challenge of maximising the usefulness of annotation while keeping the costs within the allotted budget. Corpus annotation is usually undergone in one of three ways: (1) purely automatic, (2) automated annotation followed by manual correction, and (3) purely manual annotation (McEnery et al., 1995).

As active learning (AL) for CC identifies the most “informative” data for annotation (Olsson, 2009; Tomanek and Olsson, 2009; Settles, 2009; Song and Yao, 2010), at first glance it seems like a perfect fit when by necessity you cannot annotate all documents. For example, consider Figure 1, which shows random input vs. input selected using AL to consider the network structure.

However, this brings us to what we define as the chicken-and-egg corpus and model conundrum, which refers to how AL often happens in a closed-loop process, the underlying model or models directly influencing which data is selected for annotation, which improves the model’s accuracy, and so on.

For exploratory CC in which creators may be investigating hitherto under/unexplored phenomena, no existing corpora and no existing models preclude the use of AL entirely – there is no ‘loop’ yet to close. Further, even for closed-loop AL-based CC, the resultant corpora may have very limited or specific use.

In this paper we propose an active learning method for selecting data for annotation in a model-free way, providing flexibility to corpus constructors by allowing iterative specification of which characteristics they are interested in, to refine which documents they will ultimately annotate. The method is advantageous in several regards.

First, it allows corpus creators flexibility in the often performed exploratory annotation step (McEnery and Hardie, 2011), allowing them in effect to ‘project’ what the final result of a corpus would be after choosing specific criteria. For annotation involving manual effort, selecting the most informative documents for annotation is essential for maximising the benefit-to-cost ratio, as depending on the task, annotation can be very expensive and cannot span all possible or desired documents. Being able to select the best documents for annotation can impact the coverage of a phe-
nomenon and what can be learned about it with models later on.
Second, even for tasks that have existing corpora and models for which a closed-loop AL process can be applied, we can broaden the potential utility of the corpus in many cases by considering additional characteristics for annotation that may drastically impact the longevity of the corpus.\footnote{While in practice it may be sufficient to optimise a given model, and therefore mould a corpus using AL to fit it, this loses sight of the bigger aim, that of studying phenomena for understanding how something works; further, it has been shown to even be detrimental in some cases to apply data acquired for one model using AL to another model (Baldridge, 2004; Rubens and Sugiyama, 2006; Sugiyama and Rubens, 2008).}
Finally, when multiple characteristics are involved, it may be difficult to envision the final outcome of what shape the corpus will take; to mitigate this, we introduce our tool, MOVE (Multi-criteria Optimisation and Visualisation Experimentation tool), that gives users a playground for tweaking and visualising how characteristics contribute to the selection of documents for a corpus. Further, MOVE satisfies many of the concerns raised by Tomanek and Olsson (2009) as obstacles to adopting AL.\footnote{The tool is available for download at https://github.com/move-tool.}

As visualisation is a key component in this exploratory process, and networks are often visually intuitive, our method focuses on data that can be represented as a network, i.e. nodes with relations. Any data that can be represented in this form is potentially applicable for use with MOVE. (See Sections 5. and 6. for details.) All figures (excluding Figure 3) in this work were directly taken from MOVE.

The rest of the paper is as follows: We introduce our method in Section 2., including a discussion of how we optimise multiple objectives without a model; we then introduce our tool MOVE (Section 4.) before continuing on to a case study (Section 5.) that demonstrates how our method and our tool are useful in adopting AL for CC. We end with a brief discussion on the uses of the tool (Section 6.).

2. Method Formulation

Let us formulate our proposal in the context of existing AL approaches. The majority of AL methods are designed for supervised learning settings, where given the training data \{\(x_1, y_1\), \ldots, \(x_n, y_n\)\}, the task is to learn a function \(f : X \rightarrow Y\) that accurately predicts the output values \(Y\) of the input \(X\). For AL settings, it is assumed that we are able to select which points \(x \in X\) will be annotated/labellled (i.e. for which input point \(x\) the output value \(y\) will be obtained) to create the training set. The task of AL is then to select a set \(X_L \subseteq X\) of the most “informative” points to label (L). The informativeness of the points is typically evaluated with regards to the expected predictive error of \(f\) trained on \(X_L\) (\(f_{X_L}\)):

\[
EPE(f_{X_L}) = \sum_{x \in X} L(f_{X_L}(x), y),
\]

where \(L\) is a loss function, e.g. squared error loss \((f(x) - y)^2\). The task of active learning is then to find a set of points to label \(X_L\) as to minimize the expected prediction error: \(\arg \min_{X_L} EPE(f_{X_L})\).

However, in our settings the task is unknown, i.e. \(y\) is unknown, and therefore the function \(f\) being modelled is unknown as well; this makes traditional methods (as described above) that rely on these values inapplicable.
Instead of selecting points to improve a model, the points could be selected as to capture certain characteristics of the data, which corpus constructors typically know well. Further, rather than assigning labels to documents (i.e. assigning \(gs\) to \(zs\)), as that would require the task to be defined, what we are doing can be seen instead as enriching a document’s attributes (i.e. adding dimensions to \(x\)) through annotation.

We therefore reformulate the AL task as one of multi-criteria optimisation (Weise, 2009), where the goal is to find the best possible elements to be \textit{annotated} \(X_L\) according to a set of characteristics/criteria \(K = \{k_i(X_L)\}_{i=1}^m\).

We then aggregate objectives into a combined utility score \(U\) through a weighted sum:\footnote{Pareto (Van Den Berg and Friedlander, 2008) is another common aggregation procedure; however, its solution is more difficult to interpret; hence we use the weighted sum.}

\[
U(X_L) = \sum_{k \in K} w_k k(X_L).
\]

Our goal is to find \(X_L\) that maximizes the utility \(U: \arg \max_{X_L} U(X_L)\).

3. Related Work

We next introduce works related to our proposed model-free AL method.

3.1. Characteristic-based AL

There are characteristic-based methods (e.g., label entropy, variance, etc.) in AL for collaborative filtering (CF) (Rashid et al., 2002; Rubens et al., 2011). However, these methods focus on the characteristics of the labels and not of the points themselves (as is our case). In these settings it is assumed that many of the points have already been labelled by multiple annotators; based on multiple annotators’ labels of a point, AL estimates whether additional labelling would be beneficial. In our case labels are undefined; and very few points could be annotated due to high cost.

3.2. Network Optimisation

Network/Graph optimisation is a broad field with one of its many aims being to optimise the structure of a network or to find a subgraph with regards to a fixed set of network-centred properties. For example, connectivity, such as finding the largest complete graph or finding the largest edgeless induced subgraph; route-based properties, such as minimum spanning tree, shortest path, or travelling salesman; or flow, such as max-flow min-cut (Easley and Kleinberg, 2010; Leu and Namatame, 2009; Diestel, 2010).

Similar to our method, in network optimisation a subnetwork with desired properties is searched for. However, unlike network optimisation our method considers not only the network-centric properties but also the non-network
properties, moreover these properties could be specified by a user at runtime. In addition, in network optimisation no annotation is carried out on a selected subnetwork (unlike in our case, where that is the end goal).

3.3. Network Sampling

Network sampling typically tries to obtain a scaled-down version of a network (preserving its overall characteristics) (Karger, 1998), but in our case we are interested in capturing characteristics that are important to phenomena being studied. Network sampling is also not concerned with the annotation of the nodes, though we are. Further, typically the number of points for sampling is much higher than for active learning, e.g., 15% for sampling vs. under 1% for AL (Leskovec and Faloutsos, 2006).

3.4. Multi-task Active Learning

Active learning has also been applied to multiple tasks (Harpale, 2012). However, for corpus construction this approach faces challenges of merging corpora annotated for different tasks with different schema using different documents (Tomanek, 2010); e.g., Buyko et al. (2009) present a system populating a biomedical fact database first does some syntactic analysis including, amongst others, statistical parsing, and then turns to the semantics, including NER and relation or event extraction.

3.5. Active Learning on Networks

There is extensive work on utilising network structure for improving AL, e.g., using additional information provided by edges (Bilgic and Getoor, 2009), network topology (Hanneke and Xing, 2009) favouring nodes at centre of clusters (Macskassy, 2009), high connectivity (Shi and Zhao, 2010), and social network metrics (Macskassy, 2009; Kuwadekar, 2010; Ji, 2012). However, these works are model-centred, which as explained in the introduction, is not the case for our method, which is trying to liberate the corpus creator from needing a model.

3.6. Corpus Utility

Tomanek and Wermter (2007) state that AL-based corpora should be reusable for training with modified or improved classifiers to have true utility. In part, this is because it can be difficult to predict the best suited algorithm for a task, so swapping learning algorithms during experimentation may be needed (Busser and Morante, 2005). Not knowing which model will be applied to the constructed corpus may seem minor, but it has been shown both empirically (Baldridge, 2004) and methodologically (Rubens and Sugiyama, 2006; Sugiyama and Rubens, 2008) that samples obtained for one model are often detrimental to another, so is in fact a crucial requirement.

Instead of selecting points to annotate for model tuning (which limits utility of the constructed corpus), the proposed method focuses on capturing the phenomena’s characteristics as deemed important by the corpus constructor.

4. MOVE: Multi-criteria Optimisation and Visualisation Experimentation tool

The tool was developed while keeping in mind many of the obstacles preventing the adoption of AL in CC (Tomanek and Olsson, 2009), namely:

1. insufficient knowledge/expertise (37%),
2. implementation overhead (17.8%),
3. effectiveness doubts (20.5%),
4. incompatible with project (19.2%).

Though we cannot assess a project’s incompatibility (4), MOVE enables users with little/no knowledge of AL (1), eliminates potentially all overhead (2), and because of this, allows those with doubts a means to quickly assess if AL seems effective for them (3).

We next walk through a typical use case, and then go on to describes various aspects of MOVE.
One of the assumptions is that domain experts are knowledgeable about the characteristics of the phenomena that they would like to be captured by the corpus. However, they might not predict the complex interactions between them; MOVE aims to provide said needed feedback. MOVE allows specifying not only the network centric criteria (for both graphs (Section 4.3.1.) and subgraphs (Section 4.3.2.)); but also criteria based on attributes of nodes and edges (Section 4.4.). Finally the labeling costs and utility must also be defined and taken into account (Section 4.4.1.). Below we describe how each of the criteria types could be utilized.

4.3.1. Graph-based Characteristics
Graph-based characteristics describe the overall properties of the graph such as graph density, modularity, number of connected components, clustering coefficient, etc. Capturing graph-based characteristics allows optimisation of subgraph selection so that it has the desired properties in relation to the parent graph. Using graph-based characteristics allows us to provide additional information and guidance to the optimisation procedure. Depending on the graph characteristic it could be used to establish an upper bound (e.g. number of clusters; even though a subgraph may appear to have more clusters than the parent graph; some of the subgraph’s clusters may indeed belong to the same cluster within the graph), imprecise lower bound (e.g. if you are looking for a denser subgraph, it should be at least as dense as the parent graph), etc.

4.3.2. Subgraph-based Characteristics
Since one premise behind our method is that only a subset of all possible documents can be annotated and thus must be selected from the whole set, because we are using networks we can treat this subset of items as a subgraph of a larger graph. Since subgraphs are also graphs, we can apply all the graph-centred metrics we apply to the graph as a whole (Section 3.3.). Predominately, the purpose of the subgraph-based characteristics should be to ensure properties of the whole graph are preserved well within the subgraph. However, note that the subgraph does not need to precisely reflect the characteristics of the overall graph (this is a goal of network sampling introduced in Section 3.3.), but to capture the phenomena of interest.

4.4. Attribute-based Characteristics
Here we consider the non-network based attributes of the nodes. E.g., in citation networks an attribute could be the keywords of a paper, its author, publication venue, and so on. Attributes of the edges could indicate the type of citation, based on one of various schemes. Attributes can often be extracted to create nodes or converted to create attributes (e.g., an author could be a distinct node or an attribute on a paper in a citation network).

4.4.1. Utility/Cost-based Characteristics
The aim of active learning (AL) is to select points to maximise utility and/or to minimise the annotation cost. It is

4It is possible to use any of the extensive graph metrics provided by the graph library Gephi (Bastian et al., 2009); new metrics could be added dynamically through metric plugin functionality.
therefore necessary to associate characteristics with costs and utility. In AL, there are annotation costs that can be defined in terms of negative utility; benefit is harder to define, but could be defined in relation to costs. For example, for citation analysis, scanning each paper/node incurs a fixed cost, as does annotating the paper’s citations (outgoing edges), while incoming edges do not incur a cost since they are not annotated (even if the source nodes are within the corpus, the costs would be associated with the source node, not the target). Depending on the aim of the corpus, utility weights can be assigned as characteristics in this manner.

4.5. Optimisation
Many AL strategies that may yield theoretically near-optimal sample selection are in practice infeasible for use because of excessively high computation times (Cohn et al., 1996). Thus, AL-based annotation should be based on a computationally tractable selection strategy (even if this may result in a less than optimal reduction of annotation costs) (Tomanek and Wermter, 2007).

Many algorithms can quickly find a solution for certain types of graphs (Karger, 1998). We selected a genetic algorithm (GA) (using the watchmaker library Dyer (2006)) due to GA’s known ability to robustly handle potentially unknown interactions of various criteria (Weise, 2009) without the need for gradient information (Marler and Arora, 2004). These properties are necessary for MOVE since users can define multiple criteria for optimisation at runtime. However, other optimisation methods could be easily incorporated.

4.6. User Interface
One of the main tenets for MOVE is that visual feedback is extremely important in defining AL criteria. Further, defining active learning criteria iteratively enables the user to modify the used characteristics and their weights, examine obtained solutions, identify any shortcomings (e.g., by analysing why some nodes where included or excluded or looking at the overall structure of the graph and subgraph) until the desired outcome/solution is reached.

The MOVE UI allows for visual and numerical examination of the obtained solution (both locally and globally), and also shows the process of the optimisation in real-time.

Subgraph Filtering / Highlighting provides a way to filter out and examine only the selected subgraph; as well as to see the subgraph highlighted within the full network context.

Utility-based Node Sizing is done by making the node size proportional to its utility. The nodes could be sized based on the utility within either subgraph or graph. This allows to see which nodes have a high global or local utility; and investigate why some nodes were either included or excluded from the subgraph.

Automatic Graph Layout is provided to enhance visibility; if a finer refinement is needed Gephi (Bastian et al., 2009) provides a variety of layouts.

Real-time Subgraph Optimisation Visualisation allows users to dynamically see which nodes are selected, enabling the user to visually examine the intermediate results of optimisation (assisting with the decision of when to terminate the optimisation process).

Numerical Optimisation Monitor allows users to monitor optimisation from a numerical perspective (Figure 4); it is integrated from the watchmaker genetic optimisation framework (Dyer, 2006). In Figure 4, the red line denotes the utility of the best solution at a given iteration; the blue line denotes the mean utility of the solution candidates. Genetic optimisation starts with a pool of random subgraphs, so the fitness of a random solution could be seen at iteration = 0. We can see the speed at which the ‘best solution’ is improved by looking at the utility score with respect to the iteration. Once the optimisation algorithm gets stuck within a local optimum, the subgraph utility line becomes flat, and obtaining a significantly better solution becomes less likely (Safe et al., 2004).

Lastly, the Gephi platform (Bastian et al., 2009) itself also provides a variety of plugins (both visual and network-based) that may provide additional utility.

5. Case Study: CiteNet
In our case, we wanted to create an annotated corpus of novelty claims and citation spans, replete with citation function, within research papers, in an interconnected network so that citation-content based summarisation may be possible. Further studies of citation and research paper phenomena may be possible as well.

There is a wealth of research from over the decades focusing on research paper-based phenomena, e.g. citations and their analysis (Garfield, 1955; Giles et al., 1998; Kessler, 1963; Small, 1973; White, 2004; Hirsch, 2005), novelty claims and argumentative zoning (Weinstock, 1971; Teufel et al., 2006), paper and domain summarisation (Garfield et al., 1964; Nanba et al., 2000; Radev et al., 2002; Elkiss et al., 2008; Qazvinian and Radev, 2008; Kaplan et al., 2009), sentiment analysis (Nakov et al., 2004; Athar, 2011), and so on. Until recently the study of many of these phenomena has been carried out in an ad-hoc fashion, selecting papers from various domains manually (Spiegel-Rössing, 1977; Weinstock, 1971; Moravcsik and Murugesan, 1975). The advancement of computers and processing power has
enabled researchers to cull data from an ever increasing sea of information; this opens the possibility of exploring these phenomena “in the wild”, i.e. big data-based analysis. Unfortunately, however, to our knowledge there is no richly annotated resource containing this kind of information.

The goal of CiteNet is to build a citation-rich corpus (of both cited and citing works), which also includes novelty claims within each work, so that it can be the target of single and multi-document summarisation tasks, both citation and non-citation based, and that spans several disciplines so that generalisations about phenomena can be made.

This means that we need to: (1) maximise the number of citations, so as to increase coverage of different citation functions and paraphrasing; (2) reduce the number of papers annotated, due to time/cost annotating each paper; (3) maximise corpus-internal citations, so citation-based summaries are possible; (4) capture networks for different genres, so that variation across genres can be studied. However, attempting this by hand is daunting, if not impossible.

We can adapt these goals into criteria for AL as follows. The citation-network can be treated as graph-based characteristics, and we have other non-graph-based characteristics for incorporating annotation costs, and other data, such as textual, occurring within each paper. We can attribute two kinds of utility/costs. The first is for properties within a subgraph, such as the utility of intra-paper links so that the citing and cited are both within the subgraph. The second is for properties of the graph as a whole, where we know regardless that a citation will take minimally \( t_C \) constant time for an annotator to annotate. As we know that the act of opening and scanning a paper takes a fixed amount of time based on its length, we can model this as a fixed cost per paper. Though incoming links within the subgraph are desirable, even incoming links from outside the chosen subgraph are still beneficial and should be given some utility.

As can be seen from this example, corpus constructors may have a rough idea of the utility/cost of characteristics, if they can only visualise the data. Consider Figure 2, where the selected nodes are shown in blue. At first, using the degree of the (e.g. citation) network may sound promising, but as can be seen in Figure 2a, this in fact maximises on only a small portion of the entire network, which leads to mis-representative data. By adding centrality to the utility score (Figure 2b), we see the results improve, but unfortunately we are now ignoring the small cluster, and so the data is still not ideal. By adding modularity (Figure 2c) we can incorporate both, but they are disconnected. Finally, by adding betweenness as well (Figure 2d) we are able to capture all the salient aspects of the citation-network we care about. Figure 3 shows how these characteristics are additive for maximising utility.

The example in Figure 2 is simplified, but illustrates the point of having visual feedback as one works with data. Consider the case for the citation-network, containing 4000 machine translation (MT) papers, shown in Figure 5, where without visualisation little can be seen or decided. When the annotation cost of a single document for CiteNet could run many hours, it is all the more pertinent that appropriate documents be selected.

In this paper we discussed the merits and shortcomings of AL related to models and corpus construction, and introduced our novel method for model-free AL to build phenomena-driven corpora, including the development of a tool, MOVE, and shown its use on a real world scenario of a citation-network based corpus we are developing, CiteNet. The case study introduced in Section 5. is typical of a wide range of phenomena in computational linguistics where entities are linked in some form and can be thus represented as a network. For instance, in the cross-document coreference task, systems must identify noun-phrases which corefer across document boundaries, e.g., (Singh et al., 2011). Our proposed method could be used to find an initial training and test set of such documents, based on obvious named entity (NE) coreferences (e.g., those which are long enough to be guaranteed to be unique if they are found in identical forms across documents). The point is not to find all coreferences in advance or we would not need to make the tool, but to insure enough variance in the documents to produce a subnetwork representing the coreferences adequately. These coreference links represent the equivalent of the citation links from the case study, but in the cross-document NE task, an additional parameter could be maximising the number of distinct obvious links across documents. Once a good subnetwork is identified, human annotation would be used to verify the system’s links, as well as identify additional cross-document coreference links for training and evaluation. Any data capable of being represented in a network in this manner is thus capable of being used with MOVE.

The source code for the MOVE tool is available for download at: https://github.com/move-tool.

6. Conclusion

In this paper we discussed the merits and shortcomings of AL related to models and corpus construction, and introduced our novel method for model-free AL to build phenomena-driven corpora, including the development of a tool, MOVE, and shown its use on a real world scenario of a citation-network based corpus we are developing, CiteNet. The case study introduced in Section 5. is typical of a wide range of phenomena in computational linguistics where entities are linked in some form and can be thus represented as a network. For instance, in the cross-document coreference task, systems must identify noun-phrases which corefer across document boundaries, e.g., (Singh et al., 2011). Our proposed method could be used to find an initial training and test set of such documents, based on obvious named entity (NE) coreferences (e.g., those which are long enough to be guaranteed to be unique if they are found in identical forms across documents). The point is not to find all coreferences in advance or we would not need to make the tool, but to insure enough variance in the documents to produce a subnetwork representing the coreferences adequately. These coreference links represent the equivalent of the citation links from the case study, but in the cross-document NE task, an additional parameter could be maximising the number of distinct obvious links across documents. Once a good subnetwork is identified, human annotation would be used to verify the system’s links, as well as identify additional cross-document coreference links for training and evaluation. Any data capable of being represented in a network in this manner is thus capable of being used with MOVE.

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