Abstract

This paper develops a method for recognizing relations and entities in sentences, while taking mutual dependencies among them into account. E.g., the kill (Johns, Oswald) relation in: “J. V. Oswald was murdered at JFK after his assassin, K. F. Johns...” depends on identifying Oswald and Johns as people, JFK being identified as a location, and the kill relation between Oswald and Johns; this, in turn, enforces that Oswald and Johns are people.

In our framework, classifiers that identify entities and relations among them are first learned from local information in the sentence; this information, along with constraints induced among entity types and relations, is used to perform global inference that accounts for the mutual dependencies among the entities.

Our preliminary experimental results are promising and show that our global inference approach improves over learning relations and entities separately.

1 Introduction

Recognizing and classifying entities and relations in text data is a key task in many NLP problems such as information extraction (IE) (Califf and Mooney, 1999; Freitag, 2000; Roth and Yih, 2001), question answering (QA) (Voorhees, 2000) and story comprehension (Hirschman et al., 1999). In a typical IE application of constructing a jobs database from unstructured text, the system has to extract meaningful entities like title and salary and, ideally, to determine whether the entities are associated with the same position. In a QA system, many questions ask for specific entities involved in some relations. For example, the question “Where was Poe born?” in TREC-9 asks for the location entity in which Poe was born. The question “Who killed Lee Harvey Oswald?” seeks a person entity that has the relation kill with the person Lee Harvey Oswald.

In all earlier works we know of, the tasks of identifying entities and relations were treated as separate problems. The common procedure is to first identify and classify entities using a named entity recognizer and only then determine the relations between the entities. However, this approach has several problems. First, errors made by the named entity recognizer propagate to the relation classifier and may degrade its performance significantly. For example, if “Boston” is mislabeled as a person, it will never be classified as the location of Poe’s birthplace. Second, relation information is sometimes crucial to resolving ambiguous named entity recognition. For instance, if the entity “JFK” is identified as the victim of the assassination, the named entity recognizer is unlikely to misclassify it as a location (e.g. JFK airport).

This paper develops a novel approach for this problem – a probabilistic framework for recognizing entities and relations together. In this framework, separate classifiers are first trained for entities and relations. Their output is used to represent a conditional distribution for each entity and relation, given the observed data. This information, along with constraints induced among relations and entities (e.g. the first argument of kill is likely to be a person; the second argument of born in is a location) are used to make global inferences for the most probable assignment for all entities and relations of interest. Our global inference approach accepts as input conditional probabilities which are the outcomes of “local” classifiers. Note that each of the local classifiers could depend on a large number of features, but these are not viewed as relevant to the inference process and are abstracted away in this process of “inference with classifiers”. In this sense, this work extends previous works in this paradigm, such as (Punyakanok and Roth, 2001), in which inference with classifiers was studied when the outcomes of the classifiers were sequentially constrained; here the constraints are more general, which necessitates a different inference approach.

The rest of the paper is organized as follows. Section 2 defines the problem in a formal way. Section 3 describes our approach to this problem. It first introduces how we learn the classifiers, and then introduces the belief network we use to reason for global predictions. Section 4 records preliminary experiments we ran and exhibits some promising results. Finally, section 5 discusses some of the open problems and future work in this framework.
2 Global Inference of Entities/Relations

The problem at hand is that of producing a coherent labeling of entities and relations in a given sentence. Conceptually, the entities and relations can be viewed, taking into account the mutual dependencies, as the labeled graph in Figure 1, where the nodes represent entities (e.g., phrases) and the links denote the binary relations between the entities. Each entity and relation has several properties – denoted as labels of nodes and edges in the graph. Some of the properties, such as words inside the entities, can be read directly from the input; others, like pos tags of words in the context of the sentence, are easy to acquire via learned classifiers. However, properties like semantic types of phrases (i.e., class labels, such as “people”, “locations”) and relations among them are more difficult to acquire. Identifying the labels of entities and relations is treated here as the target of our learning problem. In particular, we learn these target properties as functions of all other “simple to acquire” properties of the sentence.

To describe the problem in a formal way, we first define sentences and entities as follows.

**Definition 2.1 (Sentence & Entity)** A sentence $S$ is a linked list which consists of words $w$ and entities $E$. An entity can be a single word or a set of consecutive words with a predefined boundary. Entities in a sentence are labeled as $E_1, E_2, \cdots$ according to their order, and they take values that range over a set of entity types $C^E$.

Notice that determining the entity boundaries is also a difficult problem – the segmentation (or phrase detection) problem (Abney, 1991; Punyakanok and Roth, 2001). Here we assume it is solved and given to us as input; thus we only concentrate on classification.

**Example 2.1** The sentence in Figure 2 has three entities: $E_1 = \text{"Dole"}$, $E_2 = \text{"Elizabeth"}$, and $E_3 = \text{"Salisbury, N.C."}$

![Figure 1: Conceptual view of entities and relations](image)

A relation is defined by the entities that are involved in it (its arguments). In this paper, we only discuss binary relations.

**Definition 2.2 (Relation)** A (binary) relation $R_{ij} = (E_i, E_j)$ represents the relation between $E_i$ and $E_j$, where $E_i$ is the first argument and $E_j$ is the second. In addition, $R_{ij}$ can range over a set of entity types $C^R$.

**Example 2.2** In the sentence given in Figure 2, there are six relations between the entities: $R_{12} = (\text{"Dole"}, \text{"Elizabeth"})$, $R_{23} = (\text{"Elizabeth"}, \text{"Dole"})$, $R_{23} = (\text{"Dole"}, \text{"Salisbury, N.C."})$, $R_{31} = (\text{"Salisbury, N.C."}, \text{"Dole"})$, $R_{23} = (\text{"Elizabeth"}, \text{"Salisbury, N.C."})$, and $R_{32} = (\text{"Salisbury, N.C."}, \text{"Elizabeth"})$

We define the types (i.e., classes) of relations and entities as follows.

**Definition 2.3 (Classes)** We denote the set of predefined entity classes and relation classes as $C^E$ and $C^R$ respectively. $C^E$ has one special element other_ent, which represents any unlisted entity class. Similarly, $C^R$ also has one special element other_rel, which means the involved entities are irrelevant or the relation class is undefined.

When clear from the context, we use $E_i$ and $R_{ij}$ to refer to the entity and relation, as well as their types (class labels).

**Example 2.3** Suppose $C^E = \{ \text{other_ent, person, location } \}$ and $C^R = \{ \text{other_rel, born_in, spouse_of } \}$. For the entities in Figure 2, $E_1$ and $E_2$ belong to person and $E_3$ belongs to location. In addition, relation $R_{23}$ is born_in, $R_{12}$ and $R_{23}$ are spouse_of. Other relations are other_rel.

The class label of a single entity or relation depends not only on its local properties, but also on properties of other entities and relations. The classification task is somewhat difficult since the predictions of entity labels and relation labels are mutually dependent. For instance, the class label of $E_1$ depends on the class label of $R_{12}$ and the class label of $R_{12}$ also depends on the class label of $E_1$ and $E_2$. While we can assume that all the data is annotated for training purposes, this cannot be assumed at evaluation time. We may presume that some local properties such as the word, pos, etc. are given, but none of the class labels for entities or relations is.

To simplify the complexity of the interaction within the graph but still preserve the characteristic of mutual dependency, we abstract this classification problem in the
following probabilistic framework. First, the classifiers are trained independently and used to estimate the probabilities of assigning different labels given the observation (that is, the easily classified properties in it). Then, the output of the classifiers is used as a conditional distribution for each entity and relation, given the observation. This information, along with the constraints among the relations and entities, is used to make global inferences for the most probable assignment of types to the entities and relations involved.

The class labels of entities and relations in a sentence must satisfy some constraints. For example, if $E_1$, the first argument of $R_{12}$, is a location, then $R_{12}$ cannot be born in because the first argument of relation born in has to be a person. We define constraints as follows.

**Definition 2.4 (Constraint)** A constraint $C$ is a 3-tuple $(R, E^1, E^2)$, where $R \in C^R$ and $E^1, E^2 \in C^E$. If the class label of a relation is $R$, then the legitimate class labels of its two entity arguments are $E^1$ and $E^2$ respectively.

**Example 2.4** Some examples of constraints are: (born_in, person, location), (spouse_of, person, person), and (murder, person, person)

The constraints described above could be modeled using a joint probability distribution over the space of values of the relevant entities and relations. In the context of this work, for algorithmic reasons, we model only some of the conditional probabilities. In particular, the probability $P(R_{ij} | E_i, E_j)$ has the following properties.

**Property 1** The probability of the label of relation $R_{ij}$ given the labels of its arguments $E_i$ and $E_j$ has the following properties:

- $P(R_{ij} = \text{other rel} | E_i = e^1, E_j = e^2) = 1$, if there exists no $r$, such that $(r, e^1, e^2)$ is a constraint.
- $P(R_{ij} = r | E_i = e^1, E_j = e^2) = 0$, if there exists no constraint $c$, such that $c = (r, e^1, e^2)$.

Note that the conditional probabilities do not need to be specified manually. In fact, they can be easily learned from an annotated training dataset.

Under this framework, finding the most suitable coherent labels becomes the problem of searching the most probable assignment to all the E and R variables. In other words, the global prediction $e_1, e_2, ..., e_n, r_{12}, r_{21}, ..., r_{n(n-1)}$ satisfies the following equation.

$$(e_1, ..., e_n, r_{12}, r_{21}, ..., r_{n(n-1)}) = \arg \max_{e_1, e_2, ..., e_n, r_{12}, r_{21}, ..., r_{n(n-1)}} \text{Prob}(E_1, ..., E_n, R_{12}, R_{21}, ..., R_{n(n-1)})$$

### 3 Computational Approach

Each nontrivial property of the entities and relations, such as the class label, depends on a very large number of variables. In order to predict the most suitable coherent labels, we would like to make inferences on several variables. However, when modeling the interaction between the target properties, it is crucial to avoid accounting for dependencies among the huge set of variables on which these properties depend. Incorporating these dependencies into our inference is unnecessary and will make the inference intractable. Instead, we can abstract these dependencies away by learning the probability of each property conditioned upon an observation. The number of features on which this learning problem depends could be huge, and they can be of different granularity and based on previous learned predicates (e.g. pos), as caricatured using the “network-like” structure in Figure 1. Inference is then made based on the probabilities. This approach is similar to (Punyakanok and Roth, 2001; Lafferty et al., 2001) only that there it is restricted to sequential inference, and done for syntactic structures. The following subsections describe the details of these two stages. Section 3.1 explains the feature extraction method and learning algorithm we used. Section 3.2 introduces the idea of using a belief network in search of the best global class labeling and the applied inference algorithm.

#### 3.1 Learning Basic Classifiers

Although the labels of entities and relations from a sentence mutually depend on each other, two basic classifiers for entities and relations are first learned, in which a multi-class classifier for $E$ (or R) is learned as a function of all other “known” properties of the observation. The classifier for entities is a named entity classifier, in which the boundary of an entity is predefined (Collins and Singer, 1999). On the other hand, the relation classifier is given a pair of entities, which denote the two arguments of the target relation. Accurate predictions of these two classifiers seem to rely on complicated syntax analysis and semantics related information of the whole sentence. However, we derive weak classifiers by treating these two learning tasks as shallow text processing problems. This strategy has been successfully applied on several NLP tasks, such as information extraction (Califf and Mooney, 1999; Freitag, 2000; Roth and Yih, 2001) and chunking (i.e. shallow paring) (Munoz et al., 1999). It assumes that the class labels can be decided by local properties, such as the information provided by the words around or inside the target. Examples include the spelling of a word, part-of-speech, and semantic related attributes acquired from external resources such as WordNet.

The propositional learner we use is SNoW (Roth, 1998; Carleson et al., 1999)\(^1\) SNoW is a multi-class classifier that is specifically tailored for large scale learning tasks. The learning architecture makes use of a network of linear functions, in which the targets (entity classes or relation classes, in this case) are represented as linear

\(^1\)available at http://L2R.cs.uiuc.edu/~cogcomp/cc-software.html
functions over a common feature space. Within SNoW, we use a learning algorithm which is a variation of Winnow (Littlestone, 1988), a feature efficient algorithm that is suitable for learning in NLP-like domains, where the number of potential features is very large, but only a few of them are active in each example, and only a small fraction of them are relevant to the target concept.

While typically SNoW is used as a classifier, and predicts using a winner-take-all mechanism over the activation value of the target classes, here we rely directly on the raw activation value it outputs, which is the weighted linear sum of the features, to estimate the posteriors. It can be verified that the resulting values are monotonic with the confidence in the prediction, therefore is a good source of probability estimation. We use softmax (Bishop, 1995) over the raw activation values as probabilities. Specifically, suppose the number of classes is $n$, and the raw activation values of class $i$ is $\text{act}_i$. The posterior estimation for class $i$ is derived by the following equation.

$$p_i = \frac{e^{\text{act}_i}}{\sum_{1 \leq j \leq n} e^{\text{act}_j}}$$

### 3.2 Bayesian Inference Model

Broadly used in the AI community, belief network is a graphical representation of a probability distribution (Pearl, 1988). It is a directed acyclic graph (DAG), where the nodes are random variables and each node is associated with a conditional probability table which defines the probability given its parents. We construct a belief network that represents the constraints existing among $R$'s and $E$'s. Then, for each sentence, we use the classifiers from section 3.1 to compute the $\text{Prob}(E|\text{observations})$ and $\text{Prob}(R|\text{observations})$, and use the belief network to compute the most probable global predictions of the class labels.

The structure of our belief network, which represents the constraints is a bipartite graph. In particular, the variable $E$'s and $R$'s are the nodes in the network, where the $E$ nodes are in one layer, and the $R$ nodes are in the other. Since the label of a relation is dependent on the entity classes of its arguments, the links in the network connect the entity nodes, and the relation nodes that have these entities as arguments. For instance, node $R_{ij}$ has two incoming links from nodes $E_i$ and $E_j$. The conditional probabilities $P(R_{ij}|E_i, E_j)$ encodes the constraints as in Property 1. As an illustration, Figure 3 shows a belief network that consists of 3 entity nodes and 6 relation nodes.

Finding a most probable class assignment to the entities and relations is equivalent to finding the assignment of all the variables in the belief network that maximizes the joint probability. However, this most-probable-explanation (MPE) inference problem is intractable (Roth, 1996) if the network contains loops (undirected cycles), which is exactly the case in our network. Therefore, we resort to the following approximation method instead.

Recently, researchers have achieved great success in solving the problem of decoding messages through a noisy channel with the help of belief networks (Gallager, 1962; MacKay, 1999). The network structure used in their problem is similar to the network used here, namely a loopy bipartite DAG. The inference algorithm they used is Pearl’s belief propagation algorithm (Pearl, 1988), which outputs exact posteriors in linear time if the network is singly connected (i.e. without loops) but does not guarantee to converge for loopy networks. However, researchers have empirically demonstrate that by iterating the belief propagation algorithm several times, the outputted values often converge to the right posteriors (Murphy et al., 1999). Due to the existence of loops, we also apply belief propagation algorithm iteratively as our inference procedure.

### 4 Experiments

The following subsections describe the data preparation process, the approaches tested in the experiments, and the experimental results.

#### 4.1 Data Preparation

In order to build different datasets, we first collected sentences from TREC documents, which are mostly daily news such as Wall Street Journal, Associated Press, and San Jose Mercury News. Among the collected sentences, 245 sentences contain relation kill (i.e. two entities that have the murder-victim relation). 179 sentences contain relation born in (i.e. a pair of entities where the second is the birthplace of the first). In addition to the above sentences, we also collected 502 sentences that contain no relations.²

²available at http://l2r.cs.uiuc.edu/~cogcomp/Data/ER/
Entities in these sentences are segmented by the simple rule: consecutive proper nouns and commas are combined and treated as an entity. Predefined entity class labels include other_ent, person, and location. Moreover, relations are defined by every pair of entities in a sentence, and the relation class labels defined are other_rel, kill, and birthplace.

Three datasets are constructed using the collected sentences. Dataset “kill” has all the 245 sentences of relation kill. Dataset “born_in” has all the 179 sentences of relation born_in. The third dataset “all” mixes all the sentences.

4.2 Tested Approaches
We compare three approaches in the experiments: basic, omniscient, and BN. The first approach, basic, tests our baseline – the performance of the basic classifiers. As described in Section 3.1, these classifiers are learned independently using local features and make predictions on entities and relations separately. Without taking global interactions into account, the features extracted are described as follows. For the entity classifier, features from the words around each entity are: words, tags, conjunctions of words and tags, bigram and trigram of words and tags. Features from the entity itself include the number of words it contains, bigrams of words in it, and some attributes of the words inside such as the prefix and suffix. In addition, whether the entity has some strings that match the names of famous people and places is also used as a feature. For the relation classifier, features are extracted from words around and between the two entity arguments. The types of features include bigrams, trigrams, words, tags, and words related to “kill” and “birth” retrieved from WordNet.

The second approach, omniscient, is similar to basic. The only difference here is the labels of entities are revealed to the R classifier and vice versa. It is certainly impossible to know the true entity and relation labels in advance. However, this experiment may give us some ideas about how much the performance of the entity classifier can be enhanced by knowing whether the target is involved in some relations, and also how much the relation classifier can be benefited from knowing the entity labels of its arguments. In addition, it also provides a comparison to see how well the belief network inference model can improve the results.

The third approach, BN, tests the ability of making global inferences in our framework. We use the Bayes Net Toolbox for Matlab by Murphy 3 to implement the network and set the maximum number of the iteration of belief propagation algorithm as 20. Given the probabilities estimated by basic classifiers, the network infers the labels of the entities and relations globally in a sentence. Compared to the first two approaches, where some predictions may violate the constraints, the belief network model incorporates the constraints between entities and relations, thus all the predictions it makes will be coherent.

All the experiments of these approaches are done in 5-fold validation. In other words, these datasets are randomly separated into 5 disjoint subsets, and experiments are done 5 times by iteratively using 4 of them as training data and the rest as testing.

4.3 Results
The experimental results in terms of recall, precision, and F1 for datasets “kill”, “born_in”, and “all” are given in Table 1, Table 2, and Table 3 respectively. We discuss two interesting facts of the results as follows.

First, the belief network approach tends to decrease recall in a small degree but increase precision significantly. This phenomenon is especially clear on the classification results of some relations. As a result, the F1 value of the relation classification results is still enhanced to the extent that is near or even higher than the results of the Omniscient approach. This may be explained by the fact that if the label of a relation is predicted as positive (i.e. not other_rel), the types of its entity arguments must satisfy the constraints. This inference process reduces the number of false positive, thus enhance the precision.

Second, knowing the class labels of relations does not seem to help the entity classifier much. In all three datasets, the difference of Basic and Omniscient approaches is usually less than 3% in terms of F1, which is not very significant given the size of our datasets. This phenomenon may be due to the fact that only a few of entities in a sentence are involved in some relations. Therefore, it is unlikely that the entity classifier can use the relation information to correct its prediction.

Table 1: Results for dataset “kill”

| Approach | person | location |
|----------|--------|----------|
|          | Rec    | Prec    | F1     | Rec    | Prec    | F1     |
| Basic    | 96.6   | 92.3    | 94.4   | 76.3   | 91.9    | 83.1   |
| BN       | 89.0   | 96.1    | 92.4   | 78.8   | 86.3    | 82.1   |
| Omniscient| 96.4   | 92.6    | 94.5   | 75.4   | 90.2    | 81.9   |

| Approach | kill   |
|----------|--------|
|          | Rec    | Prec    | F1     |
| Basic    | 61.8   | 57.2    | 58.6   |
| BN       | 49.8   | 85.4    | 62.2   |
| Omniscient| 67.7   | 63.6    | 64.8   |

5 Discussion
The promising results of our preliminary experiments demonstrate the feasibility of our probabilistic framework. For the future work, we plan to extend this research in the following directions.

The first direction we would like to explore is to apply our framework in a boot-strapping manner. The main difficulty in applying learning on NLP problems is not lack of text corpus, but lack of labeled data. Boot-strapping, applying the classifiers to autonomously annotate the

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3 Available at http://www.cs.berkeley.edu/~murphyk/Bayes/bnt.html
data and using the new data to train and improve existing classifers, is a promising approach. Since the precision of our framework is pretty high, it seems possible to use the global inference to annotate new data. Based on this property, we can derive an EM-like approach for labelling and inferring the types of entities and relations simultaneously. The basic idea is to use the global inference output as a means to annotate entities and relations. The new annotated data can then be used to train classifiers, and the whole process is repeated again.

The second direction is to improve our probabilistic inference model in several ways. First, since the results of the inference procedure we use, the loopy belief propagation algorithm, produces approximate values, some of the results can be wrong. Although the computational time of the exact inference algorithm for loopy network is exponential, we may still be able to run it given the small number of variables that are of interest each time. Therefore, we can further check if the performance suffers from the approximation. Second, the belief network model may not be expressive enough since it allows no cycles. To fully model the problem, cycles may be needed. For example, the class labels of \( R_{12} \) and \( R_{21} \) actually depend on each other. (e.g. If \( R_{12} \) is born\(_{in}\), then \( R_{21} \) will not be born\(_{in}\) or kill.) Similarly, the class labels of \( E_1 \) and \( E_2 \) can depend on the labels of \( R_{12} \). To fully represent the mutual dependencies, we would like to explore other probabilistic models that are more expressive than the belief network.

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