Data Augmentation for Intent Classification of German Conversational Agents in the Finance Domain

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Abstract
In this paper, we focus on improving the intent recognition for a conversational agent. For languages other than English, labeled data needed for training is often limited. Limitations rise even more when moving to specific domains. Here, our goal is to improve the intent recognition for a German conversational agent deployed in the financial sector. We treat this problem as a classification task. Using several augmentation techniques we expand the seed data used for training and compare the performance of the intent classifier. Applying a backtranslation approach using a commercial Machine Translation (MT) engine yields significant improvement ($p < 0.01$) over a baseline system.

1 Introduction
Conversational agents are becoming ubiquitous as lots of companies employ such agents for supporting and extending their services. Based on the applied domain, their languages – specifically, their vocabulary – constantly expand depending on the range of their services as well as the domain they are applied in. Machine learning methods are mainly used to teach conversational agents to react to user requests, called intents. For recognizing the intent, usually a natural language understanding (NLU) component is used.

In order to train the NLU, for each intent various user utterances are required to understand the user and to discriminate between different intents. Due to the efforts required to manually create sufficient amounts of training data, we investigate if augmentation methods for enriching the training data helps to improve the performance.

In this paper, we tackle various research questions: Is it beneficial to add noise to the data by randomly replacing words or do we really need to have "human"-readable paraphrases? Also, we will investigate which methods are suitable for automatic paraphrase generation for intents. Most of the previous paraphrasing approaches for dialogue agents focus on training data from the open domain (e.g. booking a hotel, booking a table in a restaurant, calling the police) written in English (Kumar et al., 2019; Quan and Xiong, 2019). In this paper, we research the applicability of augmentation approaches for German for the finance domain.

We present results for a manually created dataset for the finance domain. Using paraphrasing methods to augment training data used for machine learning differs from the typical paraphrasing scenario. Whereas for e.g. text simplification the goal is to generate sentences that can be read by humans, here our goal is to teach the machine learning method to be more robust against textual variations when understanding natural language.

In order to extend the data we use methods based on lexical resources (PPDB (Ganitkevitch et al., 2013), GermaNet (Hamp and Feldweg, 1997)), embeddings and contextual embeddings (BERT (Devlin et al., 2019)) as well as backtranslation using an out-of-the-box machine translation (MT) system. Based on our experiments we achieve significant improvements using backtranslation.

2 Related Work
In recent years, deep learning techniques have become popular to tackle intent classification (Mesnil et al., 2013). This line of work has been continued by combining different tasks of the NLU component into one model (Goo et al., 2018; Haihong et al., 2019). Sequence-to-sequence models have been leveraged to bootstrap intent classification in new features (Jolly et al., 2020). Yet, sufficiently large training datasets are required for such approaches.

Several proposals have been made to resolve the lack of training data for this task and avoid costly generation of suitable datasets by hand. Machine translation (MT) can be used if seed data already exists (Gaspers et al., 2018). Furthermore, exploit-
ing backtranslation techniques, commonly used in MT to overcome shortage of parallel data has become popular for automatic paraphrase generation (Mallinson et al., 2017). Using similar languages for back and forth translation has been proven useful for MT (Hajic, 2000). Whereas backtranslation originates from MT (Sennrich et al., 2016), it recently has been applied to augment data for other tasks such as hate speech detection and transfer learning (Beddiar et al., 2021; Subedi et al., 2021).

Machine Learning tasks are fairly robust to noise in text as long as the corpus is large. Agarwal et al. (2007) report only slight degradation of the system when adding 70% of noise to the text. When adding 40% of noise to the text the system almost performs as well as the clean text. Word order and syntactic information are elements which have proven to be mostly irrelevant for text classification. Random word swaps and deletions which first and foremost harm syntax even prove to be helpful data augmentation techniques (Wei and Zou, 2019).

Following the pattern of paraphrase generation, external linguistic resources such as PPDB (Ganitkevitch and Callison-Burch, 2014) or WordNet (Miller, 1995) have been used for retrieval-based approaches (Zukerman and Raskutti, 2002; Babkin et al., 2017; Alva-Manchego et al., 2020). Zhang et al. (2017) established a sentence paraphrasing framework formulated as an encoder-decoder problem. In more recent years, contextualized embeddings were introduced and became the center of attention. BERT (Devlin et al., 2019), ELMo (Peters et al., 2018) and GPT-2 (Radford et al., 2019) have not only been used for paraphrase generation but also for paraphrase candidate ranking (Zhou et al., 2019).

3 Data Augmentation Methods

We use the Rasa framework (Bocklisch et al., 2017) to setup a task-oriented conversational agent. It structures dialogues into two components, namely Core and Natural Language Understanding (NLU). The Core component takes care of the dialogue management whereas the NLU component performs the entire processing of the text, e.g. tokenization, identification of entities, dependency parsing and classification of intent types. Here, we focus on a basic NLU pipeline including tokenization, intent classification and entity recognition. We aim to improve the task of intent classification by enhancing our training data using augmentation techniques for this task.

Here, we present the augmentation methods we apply in order to enhance the data used to train an intent classifier.

For the resource- and embedding-based approaches we paraphrase one word per intent phrase. We mask words which convey unique information in order to ensure domain-specific words are excluded from paraphrasing. Furthermore, we restrict paraphrasing to words belonging to the categories verb and adverb for these methods so crucial words remain unchanged. Results (translated to English) of the augmentation methods can be found in Table 1.

PPDB: The multilingual PPDB (Ganitkevitch and Callison-Burch, 2014) is a resource built on bilingual parallel corpora aimed to capture paraphrases. We use the German part of the PPDB for replacing single tokens using the $n$ best-scored words.

GermaNet: GermaNet (Hamp and Feldweg, 1997) is a manually crafted resource. Here, we replace a word by all other words in the same synset.

Embeddings: We consider skip-gram word2vec embeddings (Mikolov et al., 2013)\textsuperscript{3}. We paraphrase lexemes’ vocabularies using the $n$ most similar words based on the cosine similarity. For this, we sort the vocabulary by cosine similarity and select the $n$ most similar words in order to paraphrase intent samples.

Contextual Embeddings: BERT-based embeddings (Qiang et al., 2020) are used by feeding the intent phrase to the contextual embedding while masking the target word which we want to paraphrase. For replacing verbs and adverbs we proceed in the same manner as with the embeddings approach.

Machine Translation: We make use of the machine translation technique commonly used to over-

\textsuperscript{3}Since the PPDB does not only store lemmatized word forms or infinitives and the pivoting approach uses English as a reference language which is morphologically less complex than German, it groups morphological inflections into the same paraphrase cluster. This is the reason why we find morphological variations of the same verbs used as paraphrases.

\textsuperscript{3}We use spaCy vectors which are part of the de_core_news_md model containing 276,087 words with vectors and 20,000 unique vectors trained on Wikipedia and OSCAR Common Crawl (Ortiz Suarez et al., 2019)
## Table 1: Paraphrase examples. Underlined target words in the original phrase are replaced by the bold words in the augmented phrases.

| Augmentation method | Original phrase                  | Augmented phrases                      |
|---------------------|----------------------------------|----------------------------------------|
| GermaNet            | Show the name of the company.    | Display the name of the company.       |
| PPDB               | Show the name of the company.    | Shows the name of the company.          |
| Embedding           | Show the name of the company.    | Theatre the name of the company.        |
| BERT                | Show the name of the company.    | Display the name of the company.        |
| Machine Translation | Show the name of the company.    | Give me the name of the company.        |

4 Evaluation

**Baselines:** To judge the performance of the paraphrasing methods we consider three baselines.
- **Gold:** The first baseline is represented by the performance without using any augmented data and solely train on the labeled training data.
- **Random:** For the random baseline we replace verbs and adverbs with random words selected from the vocabulary of the embeddings. For each training instance we replace one word at maximum.
- **Duplicate:** For the duplicate baseline we add each utterance twice to the gold standard data. This baseline determines whether plainly adding data improves the classifier or more diverse data is needed to improve the system.

**Dataset:** We evaluate the methods on a manually created German finance dataset for the accounting domain. For the creation of the dataset several people wrote down utterances they would use in a given setting to retrieve information from the dialogue assistant. The dataset comprises 20 intents out of which 12 are exclusive to the finance domain. The remaining eight intents provide domain-independent dialogue elements such as greetings, continuation and abortion of dialogues or confirmation and rejection in selection processes. This data is not balanced across intents. On average, intents are represented by about 44 intent phrases. Examples (translated to English) are listed in Table 2.

| Intent     | Phrases                                                                 |
|------------|-------------------------------------------------------------------------|
| who        | Who are you?                                                            |
|            | Are you a bot?                                                          |
|            | What’s your task?                                                       |
| kpi-help   | What KPIs do you know?                                                  |
|            | Which KPIs can you report on?                                           |
|            | For which KPIs do you have information?                                 |
| company-set| Let’s continue with company XYZ.                                        |
|            | Please proceed with company XYZ.                                        |

4 https://cloud.google.com/translate

5 https://rasa.com/
Intents Gold baseline Random baseline Duplicate baseline BERT PPDB GermaNet Embedding Top 3 translations
affirm 0.6153 0.0047 0.0927 -0.6061 0.0673 -0.0638 0.0402 0.0617
answer-date 0.9153 0.0551 0.0396 -0.1166 -0.0773 -0.0907 -0.0504 -0.0707
cancel 0.5503 -0.1979 -0.0044 -0.0540 0.0548 -0.0716 0.0042 0.1521
company-ask-for 0.8951 0.0215 -0.0054 0.0117 0.0326 0.0315 0.0223 0.0470
company-set 0.9452 -0.0406 -0.0212 -0.0167 -0.0110 0.0038 -0.0095 0.0060
compare-kpis 0.9626 -0.0292 -0.0023 -0.0353 0.0087 0.0130 -0.0184 0.0297
customer-overview 0.9382 -0.0340 -0.0131 -0.0009 0.0116 -0.0044 -0.0046 0.0002
greet 0.9139 -0.0231 -0.0678 -0.0012 0.0107 -0.0664 0.0093 -0.0066
kpi 0.9692 -0.0173 -0.0185 -0.0232 0.0000 0.0028 -0.0051 0.0011
kpi-help 0.9344 -0.0179 -0.0018 0.0161 0.0043 0.0268 0.0148 0.0310
op-note-get 0.9001 -0.0440 -0.0446 -0.0020 -0.0203 -0.0386 0.0042 0.0042
op-note-set 0.8980 -0.0688 -0.0279 -0.0546 -0.0030 -0.0194 -0.0188 0.0203
out-of-scope 0.8676 -0.0169 0.0037 -0.0073 0.0178 -0.0077 0.0008 0.0078
query-op-all-customers 0.9517 -0.0453 -0.0222 -0.0148 -0.0082 -0.0202 -0.0090 -0.0077
query-op-single-customer 0.9524 -0.0708 -0.0300 -0.0102 -0.0048 -0.0148 -0.0240 0.0000
rej-ect 0.5105 -0.1650 -0.0500 -0.1095 0.0879 0.0534 0.0543 0.0895
tell-a-joke 0.9333 -0.0143 -0.0082 -0.0970 -0.0454 -0.0870 -0.0187 0.0667
thx 0.7719 -0.0278 -0.2228 -0.0695 -0.0195 -0.0824 -0.1548 0.0305
who 0.4941 0.0363 0.1224 0.0505 0.1759 0.1150 0.0445 0.1891
macro avg 0.8371 -0.0370 -0.0213 -0.0325 0.0171 -0.0090 -0.0082 0.0359

Table 3: Report of the F1 scores of the intent classification for the accounting dataset for all paraphrasing approaches.

following, we report scores averaged across these 10 data splittings.

5 Results

Our results for the accounting dataset are reported in Table 3. We show the macro F1 score for the gold baseline and present the delta scores between the augmentation methods and the gold baseline. The random and duplicate baselines perform inferior to the gold baseline whereas the random baseline works slightly better than the duplicate baseline. We find these differences to be significant\(^6\). This confirms that the system does not benefit from neither adding pure noise to the training data nor adding data which does not enhance variance in phrasing the same content and benefits overfitting to the training data.

This is in line with the finding that quantity does not beat quality: Augmentation approaches generating the most data (random baseline (+342 intent phrases) and embedding-based approach (+283 intent phrases) vs. BERT (+121 intent phrases) and top 3 translations (+129 intent phrases)) do not necessarily perform best. Indeed, all of these approaches perform inferior to the baseline.

Overall, we observe that using PPDB for augmenting improves the system and we achieve significant improvements with the backtranslation approach \(p = 0.006\). For this approach we tested seven different target languages to extract paraphrases for the source sentence (see results in Table 4). In order to investigate whether the system benefits from an even larger data we combined the backtranslations from different languages. Indeed, the system performs best when combining backtranslations from the top three performing languages (Dutch, Italian and French). However, the improvements are only marginal in comparison to using solely augmentations based on the Dutch translation (0.8715 vs 0.8730).

Whereas we only show the average across ten different data splittings in Table 3 we observe considerable fluctuation in performance across data splittings for a specific group of intents: Both intents which are represented by only a few samples in the training set and intents which tend to have a fixed list of expression (e.g. greet, cancel, reject, thanks, affirm) seem highly susceptible to the random seed used when splitting the data (e.g. the gold baseline F1 score for intent reject ranges from 0.0 to 0.89 depending on the data splitting). Here, data augmentation does not eliminate this phenomenon and the splitting of the keywords is mainly responsible for the performance. In contrast, largest performance boost using augmentation methods are on average achieved for these intents (see intents who and reject), yet dependence on the data splitting

\(^6\)\(p=0.04\) for random baseline and \(p=0.008\) for duplicate baseline using the Wilcoxon signed-rank test.
remains. This suggests that (1) as long as important keywords are present in the given data splitting augmentation methods are specifically beneficial for these intents and that (2) the methods presented cannot make up for missing keywords.

Unexpectedly, the BERT-based approach works worst among all other augmentation methods while its macro average is comparable to the random baseline. In particular, intents reject and answer-taxonomy suffer from this approach, e.g. the intent answer-taxonomy is mostly misclassified as intent kpi.

| Pivot system | Macro average F1 | Increase over gold baseline |
|--------------|------------------|-----------------------------|
| English      | 0.8572           | 2.40%                       |
| Spanish      | 0.8468           | 1.16%                       |
| French       | 0.8630           | 3.10%                       |
| Italian      | 0.8611           | 2.87%                       |
| Hindi        | 0.8442           | 0.85%                       |
| Chinese      | 0.8441           | 0.84%                       |
| Dutch        | 0.8715           | 4.11%                       |
| All combined | 0.8428           | 0.68%                       |
| Top 3        | **0.8730**       | **4.29%**                   |

Table 4: Results for all languages tested with the MT approach.

Overall, the backtranslation approach outperforms the gold baseline and all other augmentation approaches. However, it is striking that macro averages drop considerably for Chinese and Hindi compared to the rest of the languages. Specifically, for intents query-op-all-customers and query-op-single-customer the performance drops significantly compared to the baselines. This drop is interlinked as query-op-all-customers is missclassified as query-op-single-customer and vice versa. Here, again, the intents are very similar and the augmentation does not help the classifier to discriminate the intents. This pattern resembles the behaviour described above: data representing these intents are similar. Paraphrasing this data leads to an overlap causing confusion between the two intents.

The best scores are achieved when combining the outcomes of the three best backtranslation systems. We observe that answer-taxonomy is an outlier for this approach as performance decreases by about seven percentage points. Again, this intent is mostly confused with intent kpi. However, without exception this intent gets inferior with any of the paraphrasing methods. As expected for the MT approach, the more similar the target language is to the source language (here, German) the more suitable the emerging paraphrases are and thus, the more the classifier benefits from them. This seems apparent comparing Chinese or Hindi scores with the Dutch scores.

6 Conclusion

In this paper, we present several augmentation methods to extend our training data to train a classifier for intent classification. Our best methods achieve significant improvements for the classification task while being easy to implement and not requiring lots of computational resources. We mainly face two limitations regarding the proposed approaches: (1) When we try to build up on lacking data (e.g. missing key words in the original dataset) our methods fail to fill this gap. (2) In case intents are very similar, augmentation approaches seem to rather confuse the classifier than enhance differences which leads to miss-classifications.

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