Evaluating Dialogue Act Tagging with Naive and Expert Annotators

Jeroen Geertzen¹,², Volha Petukhova¹, Harry Bunt¹

¹Dept. of Communication & Information Sciences Tilburg University ²Dept. of Industrial Design Eindhoven University of Technology {j.geertzen,v.petukhova,harry.bunt}@uvt.nl

Abstract

In this paper the dialogue act annotation of naive and expert annotators, both annotating the same data, are compared in order to characterise the insights annotations made by different kind of annotators may provide for evaluating dialogue act tagsets. It is argued that the agreement among naive annotators provides insight in the clarity of the tagset, whereas agreement among expert annotators provides an indication of how reliably the tagset can be applied when errors are ruled out that are due to deficiencies in understanding the concepts of the tagset, to a lack of experience in using the annotation tool, or to little experience in annotation more generally. An indication of the differences between the two groups in terms of inter-annotator agreement and tagging accuracy on task-oriented dialogue in different domains, annotated with the DIT++ dialogue act tagset is presented, and the annotations of both groups are assessed against a gold standard. Additionally, the effect of the reduction of the tagset’s granularity on the performances of both groups is looked into. In general, it is concluded that the annotations of both groups provide complementary insights in reliability, clarity, and more fundamental conceptual issues.

1. Introduction

Dialogue act annotations with high reliability are a prerequisite for obtaining sound theoretical insights on dialogue or obtaining training data for automatic dialogue act tagging. A dialogue act scheme can be applied reliably if the assignment of the categories in the scheme does not depend on individual judgement, but on a shared understanding of what the categories mean and how they are to be used. Manual dialogue act classification is usually evaluated in terms of inter-annotator agreement. Agreement is sometimes measured as a percentage of the cases on which the annotators agree (percentage agreement), but more often expected agreement is taken into account by using for instance the kappa statistic (Cohen, 1960; Carletta, 1996). Inter-annotator agreement expresses the degree to which annotations that have been made by multiple annotators can be relied upon. An issue in determining inter-annotator agreement is what kind of annotators to use. Carletta (1996) argues that in annotating with schemes such as those in discourse and dialogue analysis there are no real experts, and that what counts is how totally naive annotators manage based on written instructions. When totally naive annotators are used, however, factors such as the clarity of the written instructions and the interface of the annotation tool have a bigger impact on performance than when annotators are used who are familiar with the tagset and have a good overview of the annotation concepts that can be used. Moreover, when the aim is to obtain annotations that are as accurate as possible and the dialogue act tagset is rather complex, the use of expert annotators seems more obvious. It can be argued that both evaluation based on naive annotators and evaluation based on expert annotators can provide indications of the usability of the tagset, but that evaluation based on naive annotators provides more insight in the clarity of the concepts in the tagset, whereas evaluation based on expert annotators provides an indication of how reliably the tagset can be applied when errors are ruled out that are due to deficiencies in conceptual understanding, to a lack of experience in using the annotation tool, or to little experience in annotation more generally.

When inter-annotator agreement scores for data annotated with a particular tagset indicate high reliability¹ it is not guaranteed that there is high agreement on the assignment of the right concept. Even though it is not likely to happen often, annotators could agree in assigning a certain concept but disagree with an expert on what would be the correct concept to assign. Therefore, to obtain a reliable evaluation, inter-annotator agreement scores should ideally be complemented with accuracy scores, i.e. scores that express how many of the annotations are actually correct according to a reference annotation (a gold standard).

In this paper a study is presented in which we compare the difference in inter-annotator agreement of naive and expert annotators on task-oriented dialogue for the DIT++ dialogue act tagset, and assess the accuracy of naive and expert annotation against a gold standard. In Section 2, we will discuss the dialogue act data, the dialogue act scheme that we used, and the annotator groups that have participated in the experiments. The results will be presented in Section 3. and Section 4. The effect of reducing the complexity of the tagset on the agreement scores is addressed in Section 5., which is followed by a discussion and conclusions in Section 6.

2. Experiment outline

2.1. Naive versus expert annotators

The aim of the annotation experiment is to contrast annotations performed by naive annotators with those performed by expert annotators and evaluate on both inter-annotator agreement and tagging accuracy. Naive annotators can be characterised as subjects that have not been linguistically trained but that have participated in an introductory session explaining the dialogue data, the dialogue act tagset, 

¹In the case of Cohen’s kappa, this is often taken to be between 0.8 and 1.0. For a general discussion, see e.g. (Landis and Koch, 1977; Krippendorff, 1980).
and the use of an annotation tool. Expert annotators can be characterised as linguistically trained subjects that have experience in annotating dialogue and are thoroughly familiar with the tagset.

In the role of naive annotators, six undergraduate students annotated the selected dialogue material. They had been introduced to the annotation scheme and the underlying theory as part of a course in pragmatics. During this course they had approximately four hours of lecturing and a few small annotation exercises. Two PhD students annotated as experts. They have been actively working with the annotation scheme for more than two years and have annotated substantial parts of dialogue corpora. In order to calculate accuracy scores, i.e. to assess to what extent the annotators in both groups have annotated correctly, a gold standard is required. To obtain such a gold standard annotation, the authors have analysed and discussed the available annotations and have established full agreement. The few cases for which fundamental disagreement or unclarity remained were kept out of the gold standard.

For all dialogues, the audio recordings were transcribed and the annotators annotated pre-segmented utterances for which full agreement had been established on segmentation beforehand. During the annotation sessions the annotators had, apart from the transcribed speech, access to the audio recordings, to the on-line definitions of the communicative functions in the scheme, and to a very brief, 1-page set of annotation guidelines. The task was facilitated by the use of an annotation tool that had been built for this occasion (Geertzen, 2007). This tool allowed the subjects to assign each utterance one tag for each dimension without any further constraints. Both the naive and expert annotators could provide comments with each utterance for indicating problems, explaining the decision to choose a particular tag, or indicating that none of the available dimensions was addressed. The last mentioned case did not happen for the expert annotators and happened two times for the naive annotators.

2.2. Corpus data

The dialogues that were annotated are task-oriented and are all in Dutch. To account for different complexities in the interaction, both human-machine and human-human dialogues are considered. The dialogues analysed are drawn from different corpora: OVIS (Strik et al., 1997), DIAMOND (Geertzen and Bunt, 2006), and a collection of Map Task dialogues (Caspers, 2000). The number of utterances that are drawn from each corpus are specified in Table 1.

On average, naive annotators needed 23.2 seconds to annotate each utterance where expert annotators needed 11.8 seconds.

Table 1: Characteristics of the utterances considered.

| corpus       | domain                      | type | #utt |
|--------------|-----------------------------|------|------|
| OVIS         | train connections           | H-M  | 193  |
| DIAMOND      | operation of a fax machine  | H-M  | 131  |
|              |                             | H-H  | 114  |
| DUTCH MAPTASK| map task                    | H-H  | 120  |

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3. Quantitative comparative results

Table 2 shows the inter-annotator agreement statistics for each dimension, averaged over all annotation pairs. With annotation pair is meant a pair of assignments an utterance received from two annotators for a particular dimension. The kappa figures in the table are based on those cases in which both annotators assigned a function to a specific utterance for a specific dimension. For each annotator group, scores for observed agreement ($p_o$), expected agreement ($p_e$), and Kappa ($\kappa_{tw}$) are listed in the first, second, and third column, respectively. These statistics are taxonomically weighted (see: Geertzen and Bunt (2006)) and as such take into account semantic and pragmatic relatedness of concepts. This means that when there is disagreement on two dialogue acts that have much in common, disagreement is considered partial instead of full (as is the case with Cohen’s standard kappa) with the result that the disagreement is more accurately quantified. Table 3 is included to have an idea how the disagreement scores are when standard kappa instead of $\kappa_{tw}$ is used.

The column #pairs indicates how many annotation pairs the statistics are based. The last column shows the ap-ratio.
Table 2: Inter-annotator agreement for naive and expert annotators, per dimension, drawn from the set of all annotation pairs.

| Dimension       | naive annotators | expert annotators |
|-----------------|------------------|-------------------|
|                 | \(p_o\) | \(p_e\) | \(\kappa_{tw}\) | \#pairs | \(ap\)-ratio | \(p_o\) | \(p_e\) | \(\kappa_{tw}\) | \#pairs | \(ap\)-ratio |
| task            | 0.63   | 0.17 | 0.56 | 3000 | 0.81 | 0.85 | 0.16 | 0.82 | 298 | 0.78 |
| auto feedback   | 0.67   | 0.48 | 0.36 | 615  | 0.53 | 0.92 | 0.57 | 0.82 | 85  | 0.64 |
| allo feedback   | 0.53   | 0.29 | 0.33 | 91   | 0.02 | 0.85 | 0.24 | 0.81 | 23  | 0.38 |
| turn            | 0.67   | 0.44 | 0.40 | 6    | 0.10 | 0.84 | 0.68 | 0.48 | 86  | 0.68 |
| time            | 0.87   | 0.84 | 0.20 | 169  | 0.51 | 0.98 | 0.87 | 0.88 | 65  | 0.89 |
| contact         | 0.80   | 0.66 | 0.41 | 10   | 0.19 | 0.75 | 0.38 | 0.60 | 8   | 0.50 |
| topic           | nav    | nav  | nav  | 2    | 0.06 | nav  | nav  | nav  | nav |     |
| own communication | 1.00  | 0.50 | 1.00 | 2    | 0.06 | 1.00 | 0.38 | 1.00 | 4   | 0.17 |
| partner commun. | 1.00  | 1.00 | nav  | 3    | 1.00 | 1.00 | 1.00 | nav  | 2   | 1.00 |
| dialogue struct. | 0.80  | 0.30 | 0.71 | 83   | 0.32 | 0.92 | 0.38 | 0.88 | 14  | 0.65 |
| social obligations | 0.95  | 0.28 | 0.93 | 369  | 0.72 | 0.93 | 0.24 | 0.91 | 30  | 0.86 |

Table 3: \(\kappa\) scores for dimensions where \(\kappa\) and \(\kappa_{tw}\) differ.

| Dimension       | naive annotators | expert annotators |
|-----------------|------------------|-------------------|
|                 | \(p_o\) | \(p_e\) | \(\kappa\) | \(p_o\) | \(p_e\) | \(\kappa\) |
| task            | 0.45   | 0.09 | 0.40 | 0.83 | 0.16 | 0.90 |
| auto feedback   | 0.31   | 0.14 | 0.20 | 0.87 | 0.45 | 0.77 |
| allo feedback   | 0.26   | 0.10 | 0.18 | 0.74 | 0.17 | 0.69 |

Table 4: Tagging accuracy for naive and expert annotators, per dimension, drawn from the set of all annotation pairs.

| Dimension       | naive annotators | expert annotators |
|                 | \(p_o\) | \(p_e\) | \(\kappa_{tw}\) | \(p_o\) | \(p_e\) | \(\kappa_{tw}\) |
| task            | 0.64   | 0.16 | 0.58 | 0.91 | 0.16 | 0.90 |
| auto feedback   | 0.74   | 0.46 | 0.52 | 0.94 | 0.48 | 0.88 |
| allo feedback   | 0.58   | 0.19 | 0.48 | 0.95 | 0.22 | 0.94 |
| turn            | 0.67   | 0.52 | 0.31 | 0.92 | 0.67 | 0.76 |
| time            | 0.92   | 0.81 | 0.57 | 0.99 | 0.88 | 0.94 |
| contact         | 1.00   | 0.60 | 1.00 | 0.91 | 0.48 | 0.83 |
| topic           | nav    | nav  | nav  | nav  | nav  | nav  |
| own comm.       | 1.00   | 0.52 | 1.00 | 1.00 | 0.38 | 1.00 |
| partner comm.   | 1.00   | 1.00 | nav  | 1.00 | 1.00 | nav  |
| dialogue struct.| 0.89   | 0.36 | 0.82 | 0.87 | 0.34 | 0.81 |
| social obl.     | 0.96   | 0.26 | 0.94 | 0.95 | 0.23 | 0.94 |

Figure 1: Tagging accuracy for naive and expert annotators.
the group mean.

4. Qualitative comparative results
To get a better understanding of the differences between naive and expert annotators as indicated by the statistics presented in the previous section, we can consider the co-occurrence matrices of dialogue acts and the actual annotations.

When the task and feedback dimensions are considered, which are relatively rich in dialogue acts, the intuition that naive annotators show more diversity in the dialogue act pairs that are involved in disagreements is confirmed. There are some cases in which both naive annotators and expert annotators show disagreement, with the difference that the magnitude of disagreement is less for the expert annotators.

For instance, typical co-occurrences of dialogue acts of disagreement in the dimension Task are Inform with Elaborate and Inform with WH-answer, which occur for naive annotators 8.6 and 4.2 percent, respectively, and for expert annotators 1.7 and 1.3 percent, respectively, of all annotation pairs. Even though the experts do better than the naive annotators, this kind of pattern motivates action to be taken in improving the tagset with respect to the concept definitions involved.

Then, there are co-occurrences for which the naive annotators show considerable disagreement, and the experts do (almost) not. An example in the Task dimension is the co-occurrence of the communicative function Inform with Explain. Sometimes, it occurred that naive annotators show, relatively to the number of annotation pairs, less disagreement than the experts. For instance, for naive annotators 0.7 percent of all annotation pairs involved the co-occurrence WH-answer with Instruct whereas for experts this was 2.0 percent. The reason why this happens is apparent when we take a look at the annotations that have been made in this context, for which the following dialogue excerpt, annotated for the Task dimension, is illustrative:

| utterance | naive | expert |
|-----------|-------|--------|
| do you want an overview of the codes? | TN-A | TN-A |
| yes | TN-A | TN-A |
| press function | INSTRUCT | WH-A |
| press key 13 | INSTRUCT | WH-A |
| a list is being printed | INFORM | WH-A |

Where naive annotators stayed close to question-answer adjacency pair patterns, the two experts generally disagreed on the specificity, in that expert 1 almost consistently annotated responses that were instructions as an Instruct where expert 2 annotated them as a WH-answer.

Analysis of the co-occurrence matrices showed a few other systematic differences between naive and expert annotators, most notably in Turn Management. As can be seen in Table 4, both naive and experts annotators failed to reach substantial agreement on assigning turn management functions. In dialogue, especially in multi-party interaction, interlocutors often signal eagerness to obtain the turn by interrupting the partner (Turn Grab), to take the turn if available (Turn Take), to accept the turn when it was assigned to them (Turn Accept), after finishing the contribution to explicitly assign the speaker role to an addressee (Turn Assign), to drop the speaker role without putting any pressure on the addressee to take the turn (Turn Release), or decide to continue as a speaker (Turn Keep). Very often, interlocutors just start to speak if they want to say something and stop speaking if they are finished with their contributions. In these cases it is the question whether to annotate every first utterance in a turn as having a Turn Take function and every last utterance in the turn as having a Turn Release function. The DIT++ annotation guidelines state that there is no turn management when the speaker does not signal an intention to address the turn allocation explicitly and when the annotator does not have sufficient evidence in terms of utterance features (such as intonational cues). The lack of agreement was caused by a lack of such evidence.

For example, to signal the intention to keep the turn the speaker may use, besides fillers such as um or uh, pauses, rising intonation, and the slowing down of speech rate. In particular the latter may be expressed subtly, which makes the annotator’s decision rather subjective. Nevertheless, the experts annotators showed a more reliable intuition by reaching an agreement of 76.7 percent where naive annotators reached 66.7 percent. An example where prosodic rather than lexical cues address turn management is the following:

| utterance | naive | expert |
|-----------|-------|--------|
| from which station to which station do you want to travel? | TIM:STALL | TIM:STALL |

Another source of disagreement on turn management originates from dealing with multifunctionality. For instance, discourse markers such as and, or, or but are known to have multiple functions in dialogue, and as a rule link dialogue units and signal speaker-identification (Turn Take) or speaker-continuation (Turn Keep). For instance, consider the following excerpt:

| utterance | naive | expert |
|-----------|-------|--------|
| to the left... | TAS:WH-A | TAS:WH-A |
| and then slightly around | TAS:WH-A | TAS:WH-A |

The expert annotators fully exploited the phenomenon of multifunctionality in their annotations and assigned all

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5 The examples in this paper are all translated from Dutch.

6 This excerpt originates from the human-machine part of the DIAMOND corpus.

7 And the annotators were instructed accordingly.

8 This excerpt originates from the OVIS corpus (H-M).

9 This excerpt originates from the map task corpus (H-H).
functions they thought are applicable, whereas the naive annotators did not make use of this.

5. Effects of tagset complexity reduction

From the number of annotation pairs in Table 2 (column #pairs) it can be concluded that six dimensions were addressed much more often than others: Task, Auto-feedback, Allo-feedback, Turn Management, Time Management and Dialogue Structuring. Of these, both feedback dimensions and the Turn Management dimension have low agreement scores for the naive annotators, while Turn Management has a low agreement score for both groups of annotators. It was found that it is often difficult for annotators to determine the level of feedback (attention, perception, understanding, evaluation or execution), while for Turn Management the annotation guidelines were found to be unclear, as already mentioned (Note the low $\rho$-ratios for this dimension for both groups).

These and other more detailed findings were used for designing a revised tagset as well as improving the annotation guidelines within the European project LIRICS\(^\text{10}\) (see: Schiffrin and Bunt (2007)). Within this project, a test suite was developed of dialogues in several European languages which were annotated with the revised tagset. For English and Dutch the test suite dialogues were all annotated by two expert annotators. An analysis of the agreement between their annotations reveals that in all of the frequently addressed dimensions a very high agreement was reached (weighted kappa scores well above 0.9). By applying a mapping from the original DIT++ tagset to the revised LIRICS tagset the effects can be calculated that this revision should have on the agreements scores for both groups of annotators. The effect of the improvement of the annotation guidelines cannot be calculated in this way, but an estimation of that effect can be obtained by comparing the calculated improved agreement scores for the expert annotators with the scores that were found in the LIRICS project.

In DIT++ some of the dimensions contain one or multiple hierarchies of dialogue acts. The dialogue acts in such hierarchies are related in such a way that an act lower in a hierarchy is more specific than an act higher in the same hierarchy. For instance, in Figure 2 a CHECK is more specific than a YN-QUESTION, which is in turn more specific than a INDIRECT-YN-QUESTION.

\[ \text{IND-YNQ} \] \[ \text{YNQ} \] \[ \text{WHQ} \] \[ \text{DIPO-SEEKING} \] \[ \text{PSI} \] \[ \text{NEGA} \]

Figure 2: Two hierarchies of information-seeking general purpose functions.

Using the existing hierarchical structure, we could partially (or fully) ‘collapse’ a hierarchy and group acts together under a least specific parent act, flattening the hierarchy and making the tagset less complex. There are two major motivations for doing so. Firstly, by grouping dialogue acts together, disagreement that is the result of considering fine-grained distinctions is eliminated. Secondly, grouping dialogue acts can make inter-annotator agreement analysis less susceptible to very infrequently occurring, fine-grained dialogue acts which occur too infrequently to draw significant conclusions in evaluation. It should be remarked that collapsing a hierarchy to a general dialogue act is only justified when the general dialogue act is sufficiently fine-grained for the application of the tagset. There are various ways in which hierarchies can be collapsed to general dialogue acts. The dialogue acts proposed in the LIRICS project are based on acts in the DIT++ tagset but exhibit lower granularity, making it interesting to collapse DIT++ hierarchies to LIRICS dialogue acts in order to predict the performance of both annotator groups. Additionally, it would provide indicative inter-annotator agreement scores for dialogue acts in LIRICS. Because almost all hierarchies in the DIT++ tagset are either in the set of general-purpose communicative functions or in the feedback dimensions, we focus on these parts of the tagset. The grouping and mapping used for LIRICS are depicted in Figure 3.

As was to be predicted, the scores for both annotator groups improved after recalculating inter-annotator agreement and accuracy for the LIRICS dialogue acts. The differences in inter-annotator agreement are given in Table 5.

| Dimension      | naive annotators | expert annotators |
|----------------|------------------|-------------------|
|                | DIT LIRICS       | DIT LIRICS        |
| task           | 0.56 0.65        | 0.82 0.86         |
| auto feedback  | 0.36 0.71        | 0.82 0.88         |
| allo feedback  | 0.33 0.46        | 0.81 0.85         |

Table 5: Agreement (in $\kappa_{\text{tw}}$) for LIRICS dialogue acts.

As can be seen from the table, the improvement for naive annotators is higher than that for expert annotators. When looking to the annotation it is not difficult to indicate why; for instance, in quite some cases of feedback — most notably those with feedback not being realised verbally — it is difficult to determine the feedback level, especially for naive annotators. By grouping all levels of feedback, this substantial source of disagreement got eliminated. The gain in accuracy turned out to be proportional to the relative gain in inter-annotator agreement, both for naive and expert annotators.

6. Discussion & conclusions

The statistics presented in Section 3. show that the scores for inter-annotator agreement are lower than those for annotation accuracy. This confirms that using inter-annotator agreement only when there is a possibility to use a gold standard would lead to underestimating the reliability of an annotation scheme.

We have seen in Table 2, inter-annotator agreement for naive coders is rather low where for expert annotators

\(^{10}\)Linguistic Infrastructure for Interoperable Resources and Systems. See http://lirics.loria.fr/.
agreement is high (mostly > 0.8). When looking at annotation accuracy it was found that calculating reliability based on inter-annotator agreement only results in an indication of reliability that is too low. We can conclude that both inter-annotator agreement and annotation accuracy statistics are informative in determining how reliably a scheme can be used for annotation. Calculation of the latter indicator presupposes that on expert level a ground truth can be established, meaning that the concepts in the scheme should not be too subjective and should be sufficiently well-defined. The expectations that inter-annotator agreement and accuracy scores are both higher for expert annotators are confirmed.

Remarkably, it occurred that naive annotators showed higher inter-annotator agreement for the dimension Social-obligations Management and higher tagging accuracy for the dimension Contact Management. For both cases this difference is explained by the interaction of the score with the ap-ratio. Naive annotators disagree more (with each other and with the gold standard) whether or not to annotate in a specific dimension, but the cases in which there is agreement are mostly the easy ones to annotate. Conversely, expert annotators show more agreement on when to annotate in a specific dimension, but as a result are also addressing more difficult cases.

When reducing the granularity of the DIT++ tagset by collapsing its hierarchies to obtain the LIRICS dialogue acts, evaluation scores for naive annotators improved substantially more than those for expert annotators but the latter group has better scores. This confirms the intuition that on less complex tagsets the difference between naive and expert annotators becomes smaller.

Some objections to using a weighted metrics, such as \( \kappa _{tw} \), are discussed in (Artstein and Poesio, to appear). In their thorough overview of inter-coder agreement used in computational linguistics, it is concluded that weighted metrics are not easy to interpret. However, while it is true that the absolute value of the weighted kappa is not easy to interpret, for the analyses presented in this paper only the differences between \( \kappa _{tw} \)-values for different annotators are essential. Moreover, we would like to stress once more that quantitative indicative figures such as agreement scores should be complemented with qualitative analyses including co-occurrence matrices.\(^{11}\)

In conclusion, we can summarise by stating that differences in both inter-annotator agreement and tagging accuracy between naive and expert annotators against the gold standard are considerable, and that the annotations of both groups provide complementary insights in reliability to each other concerning clarity and accessibility of the tagset, and fundamental conceptual issues. In comparing both annotator groups, it turned out that for multidimensional dialogue act taxonomies it is essential to distinguish agreement on whether or not to annotate in a dimension from agreement on the dialogue act or communicative function within a dimension.

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7. **References**

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11To provide such an in-depth analysis is beyond the scope (and aim) of this paper; see also (Geertzen, 2006).
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