Transducers as a Substrate for Natural-Language Processing

Stuart M. Shieber



Provenance

These slides were developed for the course Transducers

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Motivation

Deckard: Enhance 224 to 176. Enhance,



stop. Move in, stop. Pull out, track right, stop. Center in, pull back. Stop. Track 45 right. Stop. Center and stop. Enhance 34 to 36. Pan right and pull back. Stop. Enhance 34 to 46. Pull back. Wait a minute, go right, stop. Enhance 57 to 19. Track 45 left. Stop. Enhance 15 to 23. Give me a hard copy right there.

—Blade Runner, 1982

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Motivation

Current command <u>c</u> ontext:
Microsoft Word 2000
Filter to show only commands containing all of these words: 🥢 📔 🟥 📔
set that bold Filter Show All
Contrain Later Train List Optional Or Ellipsis Refine Undo All
set rest of that to hold set rest of that to not bold set that cell to bold set that cell to bold set that column to bold set that document to bold set that file to bold set that page to bold set that page to bold set that page to bold set that section to bold set that section to bold set that sentence to bold set that sentence to bold set that table to bold set that to bold set that to bold set that to bold set that word to bold









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Hidden Markov Models

Weighted Finite State Transducers dictionaries

language models

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The Universal NL Pipeline



Strings is to WFST as trees is to ???

Ubiquity of Tree Transformation

Command interpretation

 Database query construction Semantic interpretation

Semantic disambiguation

Machine translation transfer Parsed corpus manipulation and normalization

Natural language generation

Logical form canonicalization



Overview

Finite-state automata and transducers Weighted automata and transducers Tree transducers (and their insufficiency) Extensions via bimorphism generalization Other extensions



Plan

Review finite state automata

- regular languages
- automata
- Thompson's construction
- degrees of freedom
 - left/right reversal
 - granularity
 - epsilon-removal
 - determinization
 - minimization



Plan

Review finite state automata Finite-state transducers

- regular relations
- degrees of freedom
 - composition
 - inversion
- application



Regular Languages and Finite-State Automata



Regular Languages

A language is a set of strings.

Regular languages is the smallest class of languages including

- the empty language
- singleton languages
- closure under

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- union $(L_1 \cup L_2)$
- concatenation $(L_1 \cdot L_2)$
- iteration closure (L^*)

Regular Expressions

Notation for regular languages:

- Empty string: ϵ
- Singleton language: *a*
- Union: $x \mid y$
- Concatenation: x y
- Iteration: x^*

Example (alphabet = a...z): ((be | it | let)_)* $\ni let_it_be_$

Finite-State Automata



Finite-State Automata



A derivation:
o aaabba# → o aabba# → o abba# → o bba#
→ 1 bba# → 1 a# → 2 a# → 2 # → #
Definition of recognition:
accept w if and only if o w# →* #



Sample FSA



$((is \mid it \mid let)_{\shortparallel})^*$

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Degrees of Freedom

Lots of things make no difference:

- Granularity
- Epsilon removal
- Left-right reversal
- Determinization
- Minimization



Granularity of Input



$((is \mid it \mid let)_{\shortparallel})^*$

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Granularity of Input



$((is \mid it \mid let)_{\shortparallel})^*$

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Left-Right Reversal



Left-Right Reversal














































Finite-State Transducers



Regular Relations

A string relation is a set of *pairs of strings*. input : output

Regular relations is the smallest class of relations including:

- the empty language
- singleton languages, e.g., $\{a:\epsilon\}, \{\epsilon:a\}, \ldots$
- closure under
 - union
 - concatenation
 - iteration closure



Sample FST



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Sample FST





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Sample FST



A derivation: \circ aaabba# $\rightarrow \circ$ aabba# $\rightarrow \circ$ abba# $\rightarrow \circ$ bba# \rightarrow 1 bba# \rightarrow c 1 a# \rightarrow c 2 a# \rightarrow c 2 # \rightarrow c # Definition of recognition:

• accept s:t if and only if $o s # \rightarrow t #$



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Degrees of Freedom

granularity of input and output left-right reversal epsilon removal * pushing determinization * minimization * inversion_ composition_

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* sometimes

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Granularity of Output



A Spelling Dictionary

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Granularity of Output





Left-Right Reversal



... by treating FST as FSA over cross-product vocabulary.



Left-Right Reversal



...by treating FST as FSA over cross-product vocabulary.



Inversion



Inversion





Movement of output symbols along a path.

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No more determinization possible...





No determinization possible (without pushing)...

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(The transducer determinization algorithm performs forward pushing implicitly.)



Forward pushing: When all in-edges end in x,

- remove x from end of all in-edges
- add x to start of all out-edges.





Forward pushing: When all in-edges end in x,

- remove x from end of all in-edges
- add x to start of all out-edges.





Forward pushing: When all in-edges end in x,

- remove x from end of all in-edges
- add x to start of all out-edges.

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Forward pushing: When all in-edges end in x,

- remove x from end of all in-edges
- add x to start of all out-edges.





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Phrasal verb marking:

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- 1. John *called* the teacher *up*.
- 2. John *called* the dogs *off*.

Idealized transduction problem:

- call x^* up \rightarrow call x^* up
- call x^* off \rightarrow call x^* off

(based on Roche and Schabes (1996))

- call x^* up \rightarrow call x^* up
- call x^* off \rightarrow call x^* off





- call $x x up \rightarrow$ call x x up
- call $x x \text{ off} \rightarrow \text{call}_2 x x \text{ off}$



- call $x x up \rightarrow$ call x x up
- call $x x \text{ off} \rightarrow \text{call}_2 x x \text{ off}$



- call $x x up \rightarrow$ call x x up
- call $x x \text{ off} \rightarrow \text{call}_2 x x \text{ off}$



Limitations on Epsilon Removal





b removal (deterministic)

b insertion (undeterminizable)

No state q and string $w \neq \epsilon$ such that $q \rightarrow^* w q$


Composition

Given epsilon-free letter transducers

$$T_1 = \langle Q, \Sigma, \Sigma', \Delta, q_0, F \rangle$$
$$T_2 = \langle Q', \Sigma', \Sigma'', \Delta', q'_0, F' \rangle$$

the composition

 $R(T_1 \circ T_2) = \{(s, t) \mid (s, u) \in R(T_1), (u, t) \in R(T_2)\}$ The composition is constructed as

$$T_1 \circ T_2 = \langle Q \times Q', \Sigma, \Sigma'', \Delta'', \langle q_0, q_0' \rangle \rangle, F \times F' \rangle$$

where

$$\delta'' = \{ \langle q_s, q'_s \rangle, a, b, \langle q_d, q'_d \rangle \mid \\ \exists c \in \Sigma', \langle q_s, a, c, q_d \rangle, \langle q'_s, c, b, q'_d \rangle \}$$

The construction is easily extended to arbitrary letter transducers and arbitrary transducers.

Application: Morphological Parser Overview

```
%% Language model: nouns with optional plural marker
%% separated by word boundaries
macro(lm, [nouns, option('<+s>'), '<wb>']*).
```

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Application: Morphological Parser Overview

%% Replace irregular inflected forms with their spelling macro(spellirreg,

```
replace(['<child>', '<+s>'] x word(children), [], [])).
```



Application: Morphological Parser Overview

%% Morphological parser that inverts orthography macro(parse, invert(lm o spellirreg o spellreg o ortho)).

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Application: Morphological Parser Demo





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Why Weights?

FSAs have multiple paths

How to adjudicate?

• Notion of best path

Other applications:

- Numeric functions over strings
 - perfect hashing

Semirings

A set K along with operations of sum and product obeying the following algebraic laws:

Associativity of +: (x + y) + z = x + (y + z)Commutativity of +: x + y = y + xAssociativity of $\times : (x \times y) \times z = x \times (y \times z)$ **Identity for** +: x + 0 = 0 + x = xIdentity for $\times : x \times 1 = 1 \times x = x$ **Zero idempotence:** $x \times 0 = 0 \times x = 0$



Semiring Operations on Automata

Product (\otimes): along pathsSum (\oplus): among paths



Example Semiring: Strings

String sets form a semiring with:

- Sum: union
- Product: concatenation
- o: {} (the empty language)
- I: {ε} (the language containing the empty string)

Transducers can generate their output in any semiring.

String Semiring = FST

Product (·): along paths Sum (U): among paths

 $\epsilon \cdot c \cdot d \cdot c = cdc$



 $cdc \cup ddcc = \{cdc, ddcc\}$

Example Semiring: Probabilities

Probabilities [0...1] form a semiring with

- Sum: +
- Product: ×
- 0:0
- I: I

Weights place *relative values* on transitions, hence paths (as product of transitions), hence inputs (as sum over paths).

Probability Semiring = WFSA

Product (×): along paths Sum (+): among paths

 $1 \times .7 \times 1 \times 1 = .7$

















Best Path

Best path through a weighted automaton

- Viterbi decoding
- Dijkstra's algorithm
- dynamic programming
 - computes score of best path from start state to each state

 $\delta_q(0) = \begin{cases} 1 & \text{if } q = q_0 \\ 0 & \text{otherwise} \end{cases}$

 $\delta_q(t+1) = \max_{\langle q', a: p, q \rangle \in \Delta} \delta_{q'}(t) \cdot p$ • for a given input, just intersect









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Weights Over Cycles



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Weights Over Cycles

$$P(a(bc)^*) = \sum_{n=0}^{\infty} (.2 \cdot .2)^n .8 = .8 \frac{1}{1 - .04} = .8\overline{3}$$



Weights Over Cycles

$$P(a(bc)^*) = \sum_{n=0}^{\infty} (.2 \cdot .2)^n .8 = .8 \frac{1}{1 - .04} = .8\overline{3}$$
$$P(a(bc)^*ba) = \sum_{n=0}^{\infty} (.2 \cdot .2)^n \cdot .2 \cdot .8 = .16 \frac{1}{1 - .04} = .1\overline{6}$$



Application: Language Modeling

Goal: describe probability of strings of a language based on a sample (training corpus)

$$P(w_1 \cdots w_c) = \prod_{i=1}^k P(w_i \mid w_1 \cdots w_{i-1})$$

Approximate under a Markovian assumption that words depend only on the previous N-1

$$P(w_1 \cdots w_c) = \prod_{i=1}^k P(w_i \mid w_{i-N+1} \cdots w_{i-1})$$

Application: Language Modeling Training

N-gram approximation:

$$P(w_1 \cdots w_c) = \prod_{i=1}^k P(w_i \mid w_{i-N+1} \cdots w_{i-1})$$

Maximum likelihood estimates of component Ngram probabilities:

$$P(w_i \mid w_{i-N+1} \cdots w_{i-1}) \approx \frac{c(w_{i-N+1} \cdots w_i)}{c(w_{i-N+1} \cdots w_{i-1})}$$

To start: $P(w_1 \mid w_{-N} \cdots w_0) = P(w_1 \mid \overset{N-1 \text{ times}}{\vdash \cdots \vdash})$

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Let it be when it is mine to be sure let it be when it is mine when it is mine let it be to be sure when it is mine to be sure let it be let it be let it be to be sure let it be to be sure when it is mine to be sure let it to be sure when it is mine let it be to be sure let it be to be sure to be sure let it be to be sure let it be to be sure to be sure let it be mine to be sure let it be to be sure to be mine to be sure to be mine to be sure to be mine let it be to be mine let it be to be sure to be mine to be sure let it be to be mine let it be to be sure let it be to be sure to be sure let it to be sure mine to be sure let it be mine to let it be to be sure to let it be mine when to be sure when to be sure to let it to be sure to be mine.

> — Gertrude Stein. An Acquaintance With Description, 1929

Application: Language Modeling Example

Word Count 1-gram MLE

be	62	.276
to	41	.182
it	33	.147
sure	31	.138
let	27	.120
mine	17	.076
when	8	.036
is	6	.027
total	225	



Let it be when it is mine to be sure let it be when it is mine when it is mine let it be to be sure when it is mine to be sure let it be let it be let it be to be sure let it be to be sure when it is mine to be sure let it to be sure when it is mine let it be to be sure let it be to be sure to be sure let it be to be sure let it be to be sure to be sure let it be mine to be sure let it be to be sure to be mine to be sure to be mine to be sure to be mine let it be to be mine let it be to be sure to be mine to be sure let it be to be mine let it be to be sure let it be to be sure to be sure let it to be sure mine to be sure let it be mine to let it be to be sure to let it be mine when to be sure when to be sure to let it to be sure to be mine.

> — Gertrude Stein. An Acquaintance With Description, 1929

Application: Language Modeling Example

Trigram MLE Prob it be be it be is 0 it be it $\left(\right)$ it be let 0.083 it be mine 0.125 it be sure 0 it be to 0.708 it be when 0.083



Application: Language Modeling WFSA for N-gram Models One state per (N-I-gram) conditioning context Transitions among states to change context Start state is $\langle \vdash^{N-1} \rangle$



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Application: Language Modeling WFSA for N-gram Models



Trigram



Application: Language Modeling WFSA for N-gram Models



 $P(abbb) = P(a \mid \vdash \vdash) \cdot P(b \mid \vdash a) \cdot P(b \mid ab) \cdot P(b \mid bb)$

Application: Language Modeling Smoothing

Training corpus:

 $a: P(a \mid \vdash a)$ ($a: P(a \mid \vdash a)$ • abaab aa• babb $\vdash a$ $a: P(a \mid \vdash \vdash$ $a: P(a \mid ba)$ $b: P(b \mid \vdash a)$ ab \vdash Test corpus: $a: P(a \mid \vdash b)$ $a: P(a \mid \vdash a$ ba• aab $b: P(b \mid \vdash \vdash)$ $\vdash b$ $a: P(a \mid \vdash a$ bb $a: P(a \mid \vdash a)$

Application: Language Modeling Why Smoothing?

	Possible	Attested	Sparsity
trigrams	584	39	6.7%
bigrams	72	22	30.5%
unigrams	8	8	100%

Let it be when it is mine to be sure let it be when it is mine when it is mine let it be to be sure when it is mine to be sure let it be let it be let it be to be sure let it be to be sure when it is mine to be sure let it to be sure when it is mine let it be to be sure let it be to be sure to be sure let it be to be sure let it be to be sure to be sure let it be mine to be sure let it be to be sure to be mine to be sure to be mine to be sure to be mine let it be to be mine let it be to be sure to be mine to be sure let it be to be mine let it be to be sure let it be to be sure to be sure let it to be sure mine to be sure let it be mine to let it be to be sure to let it be mine when to be sure when to be sure to let it to be sure to be mine. — Gertrude Stein,

An Acquaintance With Description, 1929

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Application: Language Modeling Smoothing

Smoothing involves redistributing probability from high probability events to low probability ones.

First, reserve some probability mass

Add-delta smoothing

Then, redistribute held-out mass to unseen eventsKatz back-off
Application: Language Modeling Effect of Smoothing



Trigram	Unsmoothed	Smoothed
it be be	0	0.0066
it be is	0	0.0006
it be it	0	0.0035
it be let	0.083	0.0938
it be mine	0.125	0.1250
it be sure	0	0.1143
it be to	0.708	0.5625
it be when	0.083	0.0938

Add-delta smoothing

• add a fictitious "count" of δ to each N-gram

$$P(w_N \mid w_1 \cdots w_{N-1}) \approx \frac{c(w_1 \cdots w_N)}{c(w_1 \cdots w_{N-1})}$$

Add-delta smoothing

• add a fictitious "count" of δ to each N-gram

$$\tilde{P}(w_N \mid w_1 \cdots w_{N-1}) = \frac{c(w_1 \cdots w_N) + \delta}{c(w_1 \cdots w_{N-1}) + \delta V}$$

Add-delta smoothing

• add a fictitious "count" of δ to each N-gram

$$\tilde{P}(w_N \mid w_1 \cdots w_{N-1}) = \frac{c(w_1 \cdots w_N) + \delta}{c(w_1 \cdots w_{N-1}) + \delta V}$$

• total held-out probability

$$\tilde{P}_{held}(w_1 \cdots w_{N-1}) = 1 - \sum_{w_N: c(w_1 \cdots w_N) > 0} \tilde{P}(w_N \mid w_1 \cdots w_{N-1})$$

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trigram count unsmoothed \tilde{P}_3

it be sure	0	0.0000	
it be when	2	0.0833	0.0938
it be is	0	0.0000	
it be it	0	0.0000	
it be let	2	0.0833	0.0938
it be mine	3	0.1250	0.1250
it be to	17	0.7083	0.5625
it be be	0	0.0000	
\tilde{P}_{held}			0.1250
\tilde{P}_{back}			
total	24	1.0000	1.0000



Application: Language Modeling Distributing Probability

Katz backoff

• probability of unseen N-gram is proportional to the probability for its suffix N-1-gram

$$\hat{P}(w_N \mid w_1 \cdots w_{N-1}) = \begin{cases} \tilde{P}(w_N \mid w_1 \cdots w_{N-1}) & \text{if } c(w_1 \cdots w_N) \neq 0 \\ \alpha(w_1 \cdots w_{N-1}) \hat{P}(w_N \mid w_2 \cdots w_{N-1}) & \text{otherwise} \end{cases}$$

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Application: Language Modeling Distributing Probability $\hat{P}(w_N \mid w_1 \cdots w_{N-1}) = \begin{cases} \tilde{P}(w_N \mid w_1 \cdots w_{N-1}) \\ \text{if } c(w_1 \cdots w_N) \neq 0 \\ \alpha(w_1 \cdots w_{N-1}) \hat{P}(w_N \mid w_2 \cdots w_{N-1}) \\ \text{otherwise} \end{cases}$ $\tilde{P}_{held}(w_1\cdots w_{N-1}) = 1 - \sum_{w_N: c(w_1\cdots w_N)>0} \tilde{P}(w_N \mid w_1\cdots w_{N-1})$ $\tilde{P}_{back}(w_1\cdots w_{N-1}) = 1 - \sum_{w_N: c(w_1\cdots w_N) > 0} \tilde{P}(w_N \mid w_2\cdots w_{N-1})$ $w_N:c(w_1\cdots w_N)>0$ $\alpha(w_1 \cdots w_{N-1}) = \frac{P_{held}(w_1 \cdots w_{N-1})}{\tilde{P}_{hack}(w_1 \cdots w_{N-1})}$

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Application: Language Modeling Backoff WFSA









Application: Language Modeling **BackoffWFSA**

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Application: Language Modeling Distributing Probability $\hat{P}(w_N \mid w_1 \cdots w_{N-1}) = \begin{cases} \tilde{P}(w_N \mid w_1 \cdots w_{N-1}) \\ \text{if } c(w_1 \cdots w_N) \neq 0 \\ \alpha(w_1 \cdots w_{N-1}) \hat{P}(w_N \mid w_2 \cdots w_{N-1}) \\ \text{otherwise} \end{cases}$ $\tilde{P}_{held}(w_1\cdots w_{N-1}) = 1 - \sum_{w_N: c(w_1\cdots w_N)>0} \tilde{P}(w_N \mid w_1\cdots w_{N-1})$ $\tilde{P}_{back}(w_1\cdots w_{N-1}) = 1 - \sum_{w_N: c(w_1\cdots w_N) > 0} \tilde{P}(w_N \mid w_2\cdots w_{N-1})$ $w_N:c(w_1\cdots w_N)>0$ $\alpha(w_1 \cdots w_{N-1}) = \frac{P_{held}(w_1 \cdots w_{N-1})}{\tilde{P}_{hack}(w_1 \cdots w_{N-1})}$

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Application: Language Modeling Sample Smoothing

trigram	count	unsmoothed	${ ilde P}_3$	\hat{P}_2		\hat{P}_2 renorm	smoothed
it be sure	0	0.0000		0.4571	0.4571	0.9138	0.1142
it be when	2	0.0833	0.0938	0.0429			0.0938
it be is	0	0.0000		0.0026	0.0026	0.0051	0.0006
it be it	0	0.0000		0.0141	0.0141	0.0282	0.0035
it be let	2	0.0833	0.0938	0.0429			0.0938
it be mine	3	0.1250	0.1250	0.1571			0.1250
it be to	17	0.7083	0.5625	0.2571			0.5625
it be be	0	0.0000		0.0265	0.0265	0.0529	0.0066
\tilde{P}_{held}			0.1250				
\tilde{P}_{back}					0.5002		
total	24	1.0000	1.0000	1.0002		1.0000	1.0000

Weighted Transducers

Combining output and weighting Examples:

typing models



Weighted Transducers



typing models





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TAS

Weighted Transducers

Combining output and weighting Examples:

- typing models
- abbreviation models

Drop all vowels after the first character Drop all but one repeated consonants

if y cn rd ths, y cn gt a gd jb

Abbreviation Decoding





Demos

Summary

Weighted finite-state transducers

- provide an elegant, uniform, formalism
- cover a vast range of low-level natural-language processing tasks
 - characterizable as string to string transformations

Generality based on properties such as

- composability (closure under composition)
- efficiency (determinizability and minimizability, enabled by pushing)
- weighting (for choice)



Tree Automata



Trees as Terms

Trees can be thought of as terms over a ranked alphabet \mathcal{F} , notated $\mathcal{T}(\mathcal{F})$.

 $\mathcal{F} = \{ S_2, NP_1, VP_2, V_1, \ Pat_0, Kim_0, saw_0 \}$



S(NP(Kim), VP(V(saw), NP(Pat)))

Incomplete Trees

Trees can be thought of as terms over a ranked alphabet \mathcal{F} , notated $\mathcal{T}(\mathcal{F})$.

 $\mathcal{F} = \{ S_2, NP_1, VP_2, V_1, \\ Pat_0, Kim_0, saw_0 \}$

To express incomplete trees (with "holes") we allow variables \mathcal{X} at the leaves, notated $\mathcal{T}(\mathcal{F}, \mathcal{X})$.



Tree Definitions

The set of trees over a ranked alphabet \mathcal{F} and variables \mathcal{X} , notated $\mathcal{T}(\mathcal{F}, \mathcal{X})$, is the smallest set such that

Nullary symbols at leaves:

 $f \in \mathcal{T}(\mathcal{F}, \mathcal{X})$ for all $f \in \mathcal{F}$ such that arity(f) = 0; **Variables at leaves:** $x \in \mathcal{T}(\mathcal{F}, \mathcal{X})$ for all $x \in \mathcal{X}$; **Internal nodes:** $f(t_1, \ldots, t_p) \in \mathcal{T}(\mathcal{F}, \mathcal{X})$ for all $p \ge 1$ and $t_1, \ldots, t_p \in \mathcal{T}(\mathcal{F}, \mathcal{X})$. Ground trees: $\mathcal{T}(\mathcal{F}) = \mathcal{T}(\mathcal{F}, \emptyset)$ Alphabet implicit: $\mathcal{T}(\mathcal{X})$ \mathcal{T} *n* numerically ordered variables: $\mathcal{X}_n = \{x_1, \dots, x_n\}$

Example: **Propositional Formulae**

Propositional formulae: $\mathcal{T}(\mathcal{F}_{prop})$ $\mathcal{F}_{prop} = \{ \wedge_2, \vee_2, \neg_1, \text{TRUE}_0, \text{FALSE}_0 \}$ (Arities are given in the subscripts.)



true \land (false $\lor \neg$ false)



Tree Definitions

Substitution

For a context $C \in \mathcal{T}(\mathcal{F}, \mathcal{X}_n)$ and a sequence of ntrees $t_1, \ldots, t_n \in \mathcal{T}(\mathcal{F})$, the substitution of t_1, \ldots, t_n into C, notated $C[t_1, \ldots, t_n]$, is defined as follows:

$$(f_m(u_1, \dots, u_m))[t_1, \dots, t_n] = f_m(u_1[t_1, \dots, t_n], \dots, u_m[t_1, \dots, t_n])$$

 $x_i[t_1, \dots, t_n] = t_i$

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Strings as Trees

Ranked alphabet

- Vocabulary as unary symbols
- End marker (#) as sole nullary symbol

aaabbaa

a(a(a(b(b(a(#)))))) =

a

a

a

h

h

a

#

Finite-State Derivations



A derivation: $0 aaabba \sharp \rightarrow 0 aabba \sharp$ $\rightarrow 0 abba \sharp$ $\rightarrow 0 bba \sharp$ $\rightarrow 1 \, bba \sharp$ $\rightarrow c \, 1 \, a \sharp$ $\rightarrow c 2 a \sharp$ $\rightarrow c2\sharp$ $\rightarrow c \sharp$ Definition of recognition: accept s: t if and only if $0 s \sharp \rightarrow^* t \sharp$

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Strings as Trees

A derivation: bb:c $a:\epsilon$ $a:\epsilon$ $\rightarrow 0(a(b(b(a(\sharp))))))$ ϵ ϵ $\rightarrow 0(b(b(a(\sharp))))$ $\rightarrow 1((b(b(a(\sharp))))))$ $\rightarrow c(1(a(\sharp)))$ $\rightarrow c(2(a(\sharp)))$ $0(a(x)) \rightarrow 0(x)$ $0(x) \rightarrow 1(x)$ $\rightarrow c(2(\sharp))$ $1(b(b(x))) \rightarrow c(1(x))$ $\rightarrow c(\sharp)$ $1(x) \rightarrow 2(x)$ Definition of recognition: $2(a(x)) \rightarrow 2(x)$ accept s: t if and only if $2(\sharp) \rightarrow \sharp$ $0(s) \rightarrow^* t$

States as Unary Symbols

The set of upper trees over a ranked alphabet \mathcal{F} , states Q, and variables \mathcal{X} , notated $\mathcal{T}^Q(\mathcal{F}, \mathcal{X})$, is the set of trees q(t) where $q \in Q$ and $t \in \mathcal{T}(\mathcal{F}, \mathcal{X})$.

The set of lower trees over a ranked alphabet \mathcal{F} , states Q, and variables \mathcal{X} , notated $\mathcal{T}_Q(\mathcal{F}, \mathcal{X})$, is the smallest set of trees such that

Nullary symbols at leaves: $f \in \mathcal{T}_Q(\mathcal{F}, \mathcal{X})$ for all $f \in \mathcal{F}$ such that arity(f) = 0; States over variables at leaves: $q(x) \in \mathcal{T}_Q(\mathcal{F}, \mathcal{X})$ for all $x \in \mathcal{X}$ and $q \in Q$; Internal nodes: $f(t_1, \ldots, t_p) \in \mathcal{T}_Q(\mathcal{F}, \mathcal{X})$ for all $p \geq 1$ and $t_1, \ldots, t_p \in \mathcal{T}_Q(\mathcal{F}, \mathcal{X})$.

Examples

$$\mathcal{F}_{fg} = \{f_2, g_2, a_0, b_0, c_0\}$$
$$Q = \{q_0, q_1\}$$

$$\begin{aligned} \mathcal{T}^{Q}(\mathcal{F}_{fg},\mathcal{X}_{3}) \supset \{ \begin{array}{l} q_{0}(x_{3}) \\ q_{1}(f(g(x_{1},x_{2}),x_{3})) \\ q_{0}(a) \end{array} \} \end{aligned}$$

$$\mathcal{T}_Q(\mathcal{F}_{fg}, \mathcal{X}_3) \supset \{ \begin{array}{l} q_0(x_3) \\ f(g(q_0(x_1), q_0(x_2)), q_1(x_3)) \\ a \end{array} \}$$

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Tree Linearity and Height

A tree $t \in \mathcal{T}(\mathcal{X})$ is linear if and only if no variable in \mathcal{X} occurs more than once in t.

The height of a tree t, notated height(t), is defined as follows:

 $\begin{array}{l} height(x) \ = \ 0 \ \text{ for all } x \in \mathcal{X} \\ height(f) \ = \ 1 \ \text{ for all } f \in \mathcal{F} \text{ where } arity(f) = 0 \\ height(f(t_1, \ldots, t_n)) \ = \ 1 + \max_{i=1}^n height(t_i) \\ \text{ for all } f \in F \text{ where } arity(f) = n \ge 1 \\ \end{array}$ $\begin{array}{l} \text{If the trees include states in } Q, \text{ then we further define that} \\ height(q(t)) \ = height(t) \text{ for all } q \in Q \text{ and all trees } t. \end{array}$

Simple Subclasses of Trees

The consecutively numbered linear upper trees of height 1 T^Q $0(a(x)) \rightarrow 0(x)$ are of the form $0(x) \rightarrow 1(x)$ $q(f_n(x_1,\ldots,x_n))$ The consecutively numbered linear lower $1(b(b(x))) \rightarrow c(1(x))$ $1(x) \rightarrow 2(x)$ TQ $2(a(x)) \rightarrow 2(x)$ are of the form $2(\sharp) \rightarrow \sharp$

$$f_n(q(x_1),\ldots,q(x_n))$$

Used as patterns matching a parent and its immediate children in the most general way.


Tree Automata

A nondeterministic top-down tree automaton (NTTA) is a tuple $\langle Q, \mathcal{F}, \Delta, q_0 \rangle$ where

- Q is a finite set of states;
- \mathcal{F} is a ranked alphabet;
- $\Delta \in \mathsf{T}^Q(\mathcal{F}, \mathcal{X}_n) \times \mathsf{T}_Q(\mathcal{F}, \mathcal{X}_n)$ is a set of transitions;
- $q_0 \in Q$ is a distinguished initial state.

We notate transitions

 $q(f_n(x_1,\ldots,x_n)) \to f_n(q_1(x_1),\ldots,q_n(x_n))$

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Tree Automaton Derivation

Given an NTTA $\langle Q, \mathcal{F}, \Delta, q_0 \rangle$ and two trees $t, t' \in \mathcal{T}(\mathcal{F})$, tree t derives t' in one step, notated $t \rightarrow t'$ if and only if there is a transition $u \to u' \in \Delta$ with $u, u' \in \mathcal{T}(\mathcal{F}, \mathcal{X}_n)$ and trees $C \in \mathcal{T}(\mathcal{F}, \mathcal{X}_1)$ and $u_1, \ldots u_n \in \mathcal{T}(\mathcal{F})$, such that $t = C[u[u_1, \ldots, u_n]]$

and

$$t' = C[u'[u_1, \ldots, u_m]]$$

A tree $t \in \mathcal{T}(\mathcal{F})$ is accepted by an NTTA just in case $q_0(t) \rightarrow^* t$

The tree language of an NTTA is the set of trees accepted by the NTTA.



Tree Automaton Derivation

 $q(f_n(x_1,\ldots,x_n)) \to f_n(q_1(x_1),\ldots,q_n(x_n))$



























Example: Recognizing True Formulae

 \rightarrow true $q_t(\text{true})$ \rightarrow false $q_f(\text{false})$ $q_t(\neg x_1) \longrightarrow q_f(x_1)$ $q_f(\neg x_1) \longrightarrow q_t(x_1)$ $q_t(x_1 \wedge x_2) \rightarrow q_t(x_1) \wedge q_t(x_2)$ $q_f(x_1 \wedge x_2) \rightarrow q_t(x_1) \wedge q_f(x_2)$ $q_f(x_1 \wedge x_2) \rightarrow q_f(x_1) \wedge q_t(x_2)$ $q_f(x_1 \wedge x_2) \rightarrow q_f(x_1) \wedge q_f(x_2)$ $q_t(x_1 \lor x_2) \rightarrow q_t(x_1) \lor q_t(x_2)$ $q_t(x_1 \lor x_2) \rightarrow q_t(x_1) \lor q_f(x_2)$ $q_t(x_1 \lor x_2) \rightarrow q_f(x_1) \lor q_t(x_2)$ $q_f(x_1 \lor x_2) \rightarrow q_f(x_1) \lor q_f(x_2)$

 $q_t(\text{false} \lor \neg \text{false})$ $\rightarrow q_f(\text{false}) \lor q_t(\neg \text{false})$ $\rightarrow \text{false} \lor q_t(\neg \text{false})$ $\rightarrow \text{false} \lor \neg q_f(\text{false})$ $\rightarrow \text{false} \lor \neg \text{false}$

Top-Down Tree Automata

A nondeterministic top-down tree automaton (NTTA) is a tuple $\langle Q, \mathcal{F}, \Delta, q_0 \rangle$ where

- Q is a finite set of states;
- \mathcal{F} is a ranked alphabet;
- $\Delta \in \mathsf{T}^Q(\mathcal{F}, \mathcal{X}_n) \times \mathsf{T}_Q(\mathcal{F}, \mathcal{X}_n)$ is a set of transitions;

• $q_0 \in Q$ is a distinguished initial state.

A tree $t \in \mathcal{T}(\mathcal{F})$ is accepted by an NTTA just in case $q_0(t) \to^* t$.

The tree language of an NTTA is the set of trees accepted by the NTTA.

Bottom-Up Tree Automata

A nondeterministic bottom-up tree automaton (NBTA) is a tuple $\langle Q, \mathcal{F}, \Delta, Q_f \rangle$ where

- Q is a finite set of states;
- \mathcal{F} is a ranked alphabet;
- $\Delta \in \mathsf{T}_Q(\mathcal{F}, \mathcal{X}_n) \times \mathsf{T}^Q(\mathcal{F}, \mathcal{X}_n)$ is a set of transitions;

• $Q_f \subseteq Q$ is a distinguished set of final states.

A tree $t \in \mathcal{T}(\mathcal{F})$ is accepted by an NBTA just in case $t \to^* q(t)$

for some $q \in Q_f$.

The tree language of an NBTA is the set of trees accepted by the NBTA.



Properties of Tree Automata

Characterize context-free trees

Closure under

- (left-right reversal)
- top-down-bottom-up reversal
- union
- substitution
- iterative substitution
- granularity
- epsilon removal: $q(x) \rightarrow q'(x)$
- determinization: bottom-up only



Properties of Tree Automata

Determinization

- an automaton is deterministic if no two transitions share left-hand side
 - bottom-up automata are determinizable
 - top-down automata are not

$$q(f(x, x)) \to f(q_a(x), q_a(x))$$

$$q(f(x, x)) \to f(q_b(x), q_b(x))$$

$$q_a(a) \to a$$

$$q_b(b) \to b$$

$$\{f(a,a),f(b,b)\}$$

Tree Transducers



Tree Transducers

Regarding tree transformations, results do not flow so easily. Several definitions are candidate for the label 'tree transductions', with [unrelated] properties. People will keep in mind how gracefully behaved rational (word) transductions [are].

— Raoult, 1992

Top-Down Tree Automata

A nondeterministic top-down tree automaton (NTTA) is a tuple $\langle Q, \mathcal{F}, \Delta, q_0 \rangle$ where

- Q is a finite set of states;
- \mathcal{F} is a ranked alphabet;
- $\Delta \in \mathsf{T}^Q(\mathcal{F}, \mathcal{X}_n) \times \mathsf{T}_Q(\mathcal{F}, \mathcal{X}_n)$ is a set of transitions;

• $q_0 \in Q$ is a distinguished initial state.

A tree $t \in \mathcal{T}(\mathcal{F})$ is accepted by an NTTA just in case $q_0(t) \to^* t$.

The tree language of an NTTA is the set of trees accepted by the NTTA.

Top-Down Tree Transducers

A nondeterministic top-down tree transducer (NTTT) is a tuple $\langle Q, \mathcal{F}, \Delta, q_0 \rangle$ where

- Q is a finite set of states;
- \mathcal{F} is a ranked alphabet;
- $\Delta \in \mathsf{T}^Q(\mathcal{F}, \mathcal{X}_n) \times \mathcal{T}_Q(\mathcal{F}, \mathcal{X}_n)$ is a set of transitions;

• $q_0 \in Q$ is a distinguished initial state.

The tree relation defined by an NTTT $\langle Q, \mathcal{F}, \Delta, q_0 \rangle$ is the set of all tree pairs $\langle s, t \rangle$ such that

$$q_0(s) \to^* t$$



Example NTTT (FST)

A derivation: bb:c $a:\epsilon$ $a:\epsilon$ $\rightarrow 0(a(b(b(a(\sharp))))))$ ϵ ϵ $\rightarrow 0(b(b(a(\sharp))))$ $\rightarrow 1((b(b(a(\sharp))))))$ $\rightarrow c(1(a(\sharp)))$ $\rightarrow c(2(a(\sharp)))$ $0(a(x)) \rightarrow 0(x)$ $0(x) \rightarrow 1(x)$ $\rightarrow c(2(\ddagger))$ $1(b(b(x))) \to c(1(x))$ $\rightarrow c(\sharp)$ $1(x) \rightarrow 2(x)$ Definition of recognition: $2(a(x)) \rightarrow 2(x)$ accept s: t if and only if $2(\sharp) \rightarrow \sharp$ $0(s) \rightarrow^* t$

Example: Concrete Syntax of Formulae

 $q_0(\neg x) \longrightarrow un(\neg, q_{\wedge \vee}(x))$ $q_0(x \wedge y) \longrightarrow bin(q_{\wedge \vee}(x), \wedge, q_{\vee}(y))$ $q_0(x \lor y) \longrightarrow bin(q_{\lor}(x), \lor, q_0(y))$ $q_0(\text{true}) \longrightarrow \text{true}$ $q_0(\text{false}) \longrightarrow \text{false}$ $q_{\wedge\vee}(\neg x) \longrightarrow un(\neg, q_{\wedge\vee}(x))$ $q_{\wedge\vee}(x \wedge y) \rightarrow par([, bin(q_{\wedge\vee}(x), \wedge, q_{\vee}(y)),])$ $q_{\wedge\vee}(x \vee y) \rightarrow par([, bin(q_{\vee}(x), \vee, q_0(y)),])$ $q_{\wedge\vee}(\text{true}) \rightarrow \text{true}$ $q_{\wedge\vee}(\text{false}) \longrightarrow \text{false}$ $q_{\vee}(\neg x) \longrightarrow un(\neg, q_{\wedge \vee}(x))$ $q_{\vee}(x \wedge y) \longrightarrow bin(q_{\wedge \vee}(x), \wedge, q_{\vee}(y))$ $q_{\vee}(x \vee y) \rightarrow par([, bin(q_{\vee}(x), \vee, q_0(y)),])$ $q_{\vee}(\text{true}) \longrightarrow \text{true}$ $q_{\vee}(\text{false}) \longrightarrow \text{false}$



Example: **Concrete Syntax of Formulae**

 $q_0(\neg x) \longrightarrow un(\neg, q_{\wedge \vee}(x))$ $q_0(x \wedge y) \rightarrow bin(q_{\wedge \vee}(x), \wedge, q_{\vee}(y))$ $q_0(x \lor y) \longrightarrow bin(q_{\lor}(x), \lor, q_0(y))$ $q_0(\text{true}) \longrightarrow \text{true}$ $q_0(\text{false}) \longrightarrow \text{false}$ true false $q_{\wedge\vee}(\neg x) \longrightarrow un(\neg, q_{\wedge\vee}(x))$ $q_{\wedge\vee}(x \wedge y) \rightarrow par([, bin(q_{\wedge\vee}(x), \wedge, q_{\vee}(y)),])$ $q_{\wedge\vee}(x \vee y) \rightarrow par([, bin(q_{\vee}(x), \vee, q_0(y)),])$ un $q_{\wedge\vee}(\text{true}) \rightarrow \text{true}$ $q_{\wedge\vee}(\text{false}) \longrightarrow \text{false}$ par $q_{\vee}(\neg x) \longrightarrow un(\neg, q_{\wedge \vee}(x))$ $q_{\vee}(x \wedge y) \rightarrow bin(q_{\wedge \vee}(x) fringe(T(\neg(\wedge(true, false)))))$ bin $q_{\vee}(x \vee y) \rightarrow par([, bin(q_{\vee}(x), \vee, q_{\oplus}(\mathcal{G}))]$ [true \land false] $q_{\vee}(\text{true}) \longrightarrow \text{true}$ $q_{\vee}(\text{false}) \longrightarrow \text{false}$ true false



Example: Evaluation of Formulae

true $\rightarrow q_T(\text{true})$
false $\rightarrow q_F(\text{false})$
$\neg q_T(x_1) \longrightarrow q_F(\text{false})$
$\neg q_F(x_1) \longrightarrow q_T(\text{true})$
$q_T(x_1) \wedge q_T(x_2) \rightarrow q_T(\text{true})$
$q_T(x_1) \wedge q_F(x_2) \rightarrow q_F(\text{false})$
$q_F(x_1) \wedge q_T(x_2) \rightarrow q_F(\text{false})$
$q_F(x_1) \wedge q_F(x_2) \rightarrow q_F(\text{false})$
$q_T(x_1) \lor q_T(x_2) \to q_T(\text{true})$
$q_T(x_1) \lor q_F(x_2) \to q_T(\text{true})$
$q_F(x_1) \lor q_T(x_2) \to q_T(\text{true})$
$q_F(x_1) \lor q_F(x_2) \to q_F(\text{false})$

Properties and Complexities of Tree Transducers

Linear

- no repeated variables on right-hand side
- nonlinearity generates exponential transformations **Fine-grained**
 - rotations, e.g.

• structure elimination requires nonlinearity (or pushing) Deterministic

not possible in general

Non-Erasing

• all variables appear on right-hand side Invertible

requires linearity



Nonlinearity Generates Exponential Transductions

Generating perfect binary trees:

 $\begin{array}{l} q(f(x)) \to g(q(x), q(x)) \\ q(a) & \to a \end{array}$

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$$\begin{split} &q(f(a)) \to g(q(a), q(a)) \to^* g(a, a) \\ &q(f(f(a))) \to g(q(f(a)), q(f(a))) \to^* g(g(a, a), g(a, a)) \\ &q(f(f(f(a)))) \to^* g(g(g(a, a), g(a, a)), g(g(a, a), g(a, a))) \\ &|q(f^n(a))| = 2^n - 1 \end{split}$$

Exponential growth implies no composition closure

Why Rotations?

Consider

- I like Mary.
- Marie gefällt mir.



Expressing Rotations



 $q(f(g(x,y),z)) \to f(q(x),g(q(y),q(z)))$

 $\begin{array}{c} q(f(x_{gxy},z)) \to f(q_1(x_{gxy}),g(q_2(x_{gxy}),q(z))) \\ q_1(g(x,y)) \to x \\ q_2(g(x,y)) \to y \\ \hline \mathbf{requires} \\ \mathbf{nonlinearity} \\ \end{array}$ Division of Engineering and Applied Sciences $\begin{array}{c} \mathbf{requires} \\ \mathbf{nonlinearity} \\ \end{array}$

Why Global Rotations?

Consider

- Dann wird der Doktor dem patienten die Pille geben
- Then the doctor will give the patient the pill





No Global Rotations



cf. macro tree transducers



Determinization

Determinization of transducers fails even if underlying automata are deterministic.

The goal:

$$\begin{array}{l} f(x,y) \Rightarrow g(a,x) \\ f(x,y) \Rightarrow f(x,y) \quad \text{for } x \neq aa \Rightarrow a \end{array}$$

 can't push this forward A nondeterministic solution: $\begin{array}{ccc} q(f(x,y)) & \to g(q_a(x),q(y)) \\ q(f(x,y)) & \to f(q_{\neg a}(x),q(y)) \end{array}$ q(a) $\rightarrow a$ $q_a(a) \longrightarrow a$ $q_{\neg a}(f(x,y)) \rightarrow g(q_a(x),q(y))$



Summary

Linearity would be helpful

- closure under composition
- no exponential growth
- invertibility

But linearity is insufficient...

no local rotation

and even nonlinear transducers are insufficient

- global rotations
- fringe



Extended Transducers: Bimorphisms



String Homomorphisms

Given alphabets Σ and Γ and a finite function $h_0: \Sigma \to \Gamma^*$, the homomorphism $h: \Sigma^* \to \Gamma^*$ is defined as the unique function extending h_0 such that for all strings $s, t \in \Sigma^*$, h(st) = h(s) h(t).

A string homomorphism is ϵ -free if $h(s) = \epsilon$ only when $s = \epsilon$.

A string bimorphism is a triple $\langle h_{in}, L, h_{out} \rangle$ where L is a regular language and h_{in} and h_{out} are homomorphisms.

String Bimorphisms

Finite-state transducers and string bimorphisms are equivalent.

Proof sketch for one direction: Given a FST $\langle Q, \Sigma, \Gamma, \Delta, q_0 \rangle$, construct FSA $A_L = \langle Q, \Sigma^* \times \Gamma^*, \Delta', q_0 \rangle$ where Δ' contains transitions of the form

 $q \langle s, t \rangle \rightarrow q'$

for each transition in Δ of the form

$$q \ s \to t \ q'$$

Construct homomorphism $h_{in}: \Sigma^* \times \Gamma^* \to \Sigma$ extending $h_{in}(\langle s, t \rangle) = s$ and $h_{out}: \Sigma^* \times \Gamma^* \to \Gamma$ extending $h_{in}(\langle s, t \rangle) = t$

The required bimorphism is $\langle h_{in}, L(A_L), h_{out} \rangle$.

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String Bimorphisms

Finite-state transducers and string bimorphisms are equivalent.



$$h_{in}(A) = a$$
$$h_{in}(B) = bb$$
$$h_{in}(C) = a$$
$$h_{in}(D) = \epsilon$$
$$h_{in}(E) = \epsilon$$

$$h_{out}(A) = \epsilon$$
$$h_{out}(B) = c$$
$$h_{out}(C) = \epsilon$$
$$h_{out}(D) = \epsilon$$
$$h_{out}(E) = \epsilon$$

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Tree Homomorphisms

Let $h_{\mathcal{F}} : \mathcal{F} \to \mathcal{T}(\mathcal{F}', \mathcal{X})$ be a function mapping each $f \in \mathcal{F}$ of arity n to a tree $h_{\mathcal{F}}(f) : \mathcal{T}(\mathcal{F}', X_n)$. The tree homomorphism extending $h_{\mathcal{F}}$ is the function $h : \mathcal{T}(\mathcal{F}) \to \mathcal{T}(\mathcal{F}')$ such that for all n and all f of arity n $h(f(t_1, \ldots, t_n)) = h_{\mathcal{F}}(f)[h(t_1), \ldots, h(t_n)]$

Equivalent to one-state tree transducers

Example: Perfect Binary Trees



 $a \mapsto a$



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Tree Bimorphisms

A tree bimorphism over input alphabet Σ and output alphabet Γ is a triple $\langle h_i, L, h_o \rangle$ where L is a rational tree language over an alphabet Δ and $h_i : \mathcal{T}(\Delta) \to \mathcal{T}(\Sigma)$ and $h_o : \mathcal{T}(\Delta) \to \mathcal{T}(\Gamma)$ are tree homomorphisms.

A tree bimorphism generates a tree relation R from $\mathcal{T}(\Sigma)$ to $\mathcal{T}(\Gamma)$ as follows: R(s,t) holds just in case there is a tree $d \in L$ such that $h_i(d) = s$ and $h_o(d) = t$. Equivalently,

$$R = h_i^{-1} \circ L \circ h_o$$

Restricting Bimorphisms

 $h_{perf}^{-1} \circ \mathcal{T} \circ h_{id}$



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Restricting Homomorphisms

Linear

 no repeated variables Complete

 no dropped variables Epsilon-free

some structure on output Symbol-to-symbol

- output of height I
- (implies epsilon-free)

Delabeling

• = linear complete symbol-to-symbol



Intuition for Restriction

 $\mathsf{T}^Q(\mathcal{F},\mathcal{X}_n) \times \mathcal{T}_Q(\mathcal{F},\mathcal{X}_n)$ h_i $\mathsf{T}(\mathcal{F},\mathcal{X}_n) \quad (\approx \mathcal{F})$

delabeling (LCS)

arbitrary morphism (M)

 $\mathcal{T}(\mathcal{F},\mathcal{X}_n)$

 h_o

B(LCS, M)



Bimorphism Characterization

The class of bottom-up tree transductions is equivalent to the relations defined by tree bimorphisms where the first homomorphism is a delabeling.

If the homomorphisms are linear (epsilon-free, complete), the bimorphism characterizes a linear (resp., epsilon-free, complete) transduction.

This asymmetry explains, e.g., lack of invertibility.

Types of Bimorphisms

- B(x, y)bimorphisms with homomorphisms of
type x and y
 - *M* any homomorphism
 - L linear
 - C complete
 - F epsilon-free
 - D delabeling

B(D, M) equivalent to tree transducers

Regaining Symmetry

B(M, M)

 very powerful; composition is Turingequivalent

B(L,L)

- expands input power; contracts output power
- not closed under composition

• $B(L,L) \subset B(L,L)^2 \subset B(L,L)^3 \subset B(L,L)^4 = B(L,L)^5$ B(LC,LC)

• = synchronous tree substitution grammars B(LCF, LCF)

• $B(LCF, LCF) \subset B(LCF, LCF)^2 = B(LCF, LCF)^3$

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Synchronous Grammars

Context-free grammars as tree substitution



Synchronous Context-Free Grammars





Synchronous Context-Free Grammars





Problems With SCFG

Domain of locality is too small



Tree Substitution Grammars

Expands domain of locality to elementary tree.



Tree Substitution Grammars

Expands domain of locality to *elementary tree*.



No additional expressive power over CFG.



Synchronous Tree-Substitution Grammars





Synchronous Tree-Substitution Grammars





The STSG Payoff





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STSG as Bimorphism



 $\begin{aligned} h_i(\alpha_1) &= S(x, VP(V(eats), y) \\ h_o(\alpha_1) &= S(x, VP(V(isst), y) \\ h_i(\alpha_2) &= NP(cake) \\ h_o(\alpha_2) &= NP(Kuchen) \\ h_i(\alpha_3) &= NP(Kuchen) \\ h_o(\alpha_3) &= NP(Kim) \end{aligned}$

 $\begin{array}{c|c} h_i(\alpha_4) = S(x, VP(V(likes), y) \\ & & \\ \begin{pmatrix} NP & NP \\ & & \\ \end{pmatrix} & \begin{array}{c} h_o(\alpha_4) = S(y, VP(V(gef\ddot{a}llt), x) \\ & & \\ h_i(\alpha_5) = NP(I) \\ & & \\ h_o(\alpha_5) = NP(mir) \end{array} \end{array}$

NB: linear, complete

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Substitution and Adjunction





substitution_

adjunction



Tree Adjoining Grammars

Elementary trees extend domain of locality Combination by substitution and adjunction Trans-context-free power

• CFG: $a^n b^n$

• TAG: $a^n b^n c^n d^n$ Examples of adjunction:

- Kim likes cake \rightarrow Kim really likes cake
- *the* cake \rightarrow *the* chocolate cake

 \rightarrow *the* chocolate cake that I baked



Synchronous Tree-Adjoining Grammars

Proposed for transductions to characterize

- semantics
- natural-language generation
- machine translation



Extended Transducers: Macro Tree Transducers and **Deterministic** Tree Rewriting



More Powerful Tree Transducers



0

Corpus Normalization

Identifying Complements and Adjuncts in the Penn Treebank

We add the "-C" suffix to all non-terminals in training data that satisfy the following conditions:

- 1. The non-terminal must be: (1) an NP, SBAR, or S whose parent is an S; (2) an NP, SBAR, S, or VP whose parent is a VP; or (3) an S whose parent is an SBAR.
- 2. The non-terminal must not have one of the following semantic tags: ADV, VOC, BNF, DIR, EXT, LOC, MNR, TMP, CLR or PRP. ...

In addition, the first child following the head of a prepositional phrase is marked as a complement.

•••

Punctuation_

This section describes our treatment of "punctuation" in the model, where "punctuation" is used to refer to words tagged as a comma or colon. ...

Our first step, for consistency, is to raise punctuation as high in the parse trees as possible. Punctuation at the beginning or end of sentences is removed from the training/test data altogether...

— Collins, Head-Driven Statistical Models for Natural-Language Parsing, 1999

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More Corpus Normalization

Original	Correct	Continued	Simple
	A	A	A
A	B *_CDE	B A_*	B A
BCDE	Ĉ ∗_DE	\widehat{C} \widehat{A}_*	<u> </u>
	D E	D E	D E

Table 3: Transformations from N-ary to binary branching structures

- Goodman, Efficient algorithms for parsing the DOP model, 1996

(Note the implicit need for global rotations.)

Programming Rotation

 $\begin{aligned} rotate(x) &= rotate(x, \sharp) \\ rotate(\sharp, x) &= x \\ rotate(f(x, y), z) &= rotate(x, f(y, z)) \end{aligned}$

 $\begin{aligned} & rotate(f(f(f(\sharp, a), b), c)) \\ &= rotate(f(f(f(\sharp, a), b), c), \sharp) \\ &= rotate(f(f(\sharp, a), b), f(c, \sharp)) \\ &= rotate(f(\sharp, a), f(b, f(c, \sharp))) \\ &= rotate(\sharp, f(a, f(b, f(c, \sharp)))) \\ &= f(a, f(b, f(c, \sharp))) \end{aligned}$

Macro Tree Transducers

A macro tree transducer (MTT) is a tuple $\langle Q, \mathcal{F}, \Delta, q_0 \rangle$ where

- Q is a ranked alphabet of states;
- \mathcal{F} is a ranked alphabet;
- $\Delta \in \bigcup_{r \ge 1, q^{(r)} \in Q, k \ge 0, f^{(k)} \in \mathcal{F}} \mathcal{T}_{mlhs}(q^{(r)}, f^{(k)}, \mathcal{X}_k, \mathcal{Y}_r) \times \mathcal{T}_{mrhs}(Q, \mathcal{F}, \mathcal{X}_k, \mathcal{Y}_r)$ is a set of transitions;
- $t_0 \in \mathcal{T}_{mrhs}(Q, \mathcal{F}, \mathcal{X}_1, \emptyset)$ is a distinguished initial tree.

Macro Tree Transducers

The set of macro tree transducer left-hand sides over r-ary state q, k-ary symbol f, variables \mathcal{X}_k , and parameters \mathcal{Y}_r , notated $\mathcal{T}_{mlhs}(q^{(r)}, f^{(k)}, \mathcal{X}_k, \mathcal{Y}_r)$, is the singleton set comprising the tree of the form

 $q(f(x_1,\ldots,x_k),y_1,\ldots,y_r)$

The set of macro tree transducer right-hand sides over states Q, alphabet \mathcal{F} , variables \mathcal{X}_k , and parameters \mathcal{Y}_r , notated $\mathcal{T}_{mrhs}(Q, \mathcal{F}, \mathcal{X}_k, \mathcal{Y}_r)$, is the smallest set of trees in $\mathcal{T}(Q \cup F, \mathcal{X}_k \cup \mathcal{Y}_r)$ such that

(1) $\mathcal{Y}_r \subset \mathcal{T}_{mrhs}(Q, \mathcal{F}, \mathcal{X}_k, \mathcal{Y}_r)$ (2) for all $k \geq 0$ and $f \in \mathcal{F}^{(k)}$ and $t_1, \ldots, t_k \in \mathcal{T}_{mrhs}(Q, \mathcal{F}, \mathcal{X}_k, \mathcal{Y}_r)$, $f(t_1,\ldots,t_k) \in \mathcal{T}_{mrhs}(Q,\mathcal{F},\mathcal{X}_k,\mathcal{Y}_r)$ (3) for all r > 1 and $q \in Q^{(r)}$ and $x_i \in X_k$ and $t_1,\ldots,t_{r-1}\in\mathcal{T}_{mrhs}(Q,\mathcal{F},\mathcal{X}_k,\mathcal{Y}_r),$ $q(x_i, t_1, \ldots, t_{r-1}) \in \mathcal{T}_{mrhs}(Q, \mathcal{F}, \mathcal{X}_k, \mathcal{Y}_r)$

MTT Examples: Global Rotation

 $rotate(x) = rotate(x, \sharp)$ $rotate(\ddagger, x) = x$ rotate(f(x, y), z) = rotate(x, f(y, z))

 $q_0(x_1) \rightarrow q_r(x_1, \sharp)$ $q_r(\sharp, y_1) \to y_1$ $q_r(f(x_1, x_2), y_1) = q_r(x_1, f(x_2, y_1))$

MTT Examples: Local Rotation

 $q(f(x_1, x_2)) \rightarrow q'(x_1, x_2)$ $q'(f(x_1, x_2), y_1) \to f(q(x_1), f(q(x_2), q(y_1)))$ $q(a) \rightarrow a$ $q(b) \rightarrow b$

q(f(f(a, f(f(b, a), a)), b)) $\rightarrow q'(f(a, f(f(b, a), a)), b)$ $\rightarrow f(q(a), f(q(f(f(b, a), a)), q(b)))$ $\rightarrow^3 f(a, f(q'(f(b, a), a), b))$ $\rightarrow f(a, f(f(q(b), f(q(a), q(a))), b))$ $\rightarrow^3 f(a, f(f(b, f(a, a)), b))$

MTT Examples: Reversal

$$q_0(x_1) \to q(x_1, \sharp)$$

$$q(f(x_1, x_2), y) \to q(x_2, f(x_1, y))$$

$$q(\sharp, y) \to y$$

$$\begin{aligned} q_0(f(a, f(b, f(c, \sharp)))) \\ & \to q(f(a, f(b, f(c, \sharp))), \sharp) \\ & \to q(f(b, f(c, \sharp)), f(a, \sharp)) \\ & \to q(f(c, \sharp), f(b, f(a, \sharp))) \\ & \to q(\sharp, f(c, f(b, f(a, \sharp)))) \\ & \to f(c, f(b, f(a, \sharp))) \end{aligned}$$

MTT Examples: Reversal

 $q_0(x_1) \rightarrow q(x_1, \sharp)$ $q(f(x_1, x_2), y) \to q(x_1, q(x_2, y))$ $q(a, y) \rightarrow f(a, y)$ $q(b, y) \rightarrow f(b, y)$

 $q_0(f(f(a, b), f(b, a)))$ $\rightarrow q(f(f(a, b), f(b, a)), \sharp)$ $\rightarrow q(f(a,b),q(f(b,a),\sharp))$ $\rightarrow q(f(a, b), q(b, q(a, \sharp)))$ $\rightarrow q(a, q(b, q(b, q(a, \sharp))))$ $\rightarrow^4 f(a, f(b, f(b, f(a, \sharp))))$

MTT Examples: Frontier

 $q_0(x_1) \rightarrow q(x_1, \sharp)$ $q(f(x_1, x_2), y) \to q(x_1, q(x_2, y))$ $q(a, y) \rightarrow f(a, y)$ $q(b, y) \rightarrow f(b, y)$

 $q_0(f(f(a, b), f(b, a)))$ $\rightarrow q(f(f(a, b), f(b, a)), \sharp)$ $\rightarrow q(f(a,b),q(f(b,a),\sharp))$ $\rightarrow q(f(a, b), q(b, q(a, \sharp)))$ $\rightarrow q(a, q(b, q(b, q(a, \sharp))))$ $\rightarrow^4 f(a, f(b, f(b, f(a, \sharp))))$

Deterministic Tree Rewriting

Formalism designed for specifying speech command-and-control systems for Kurzweil (Lernout and Hauspie (Scansoft))

Basis for natural-language-like voice commands in

- Kurzweil VoiceXpress
- Lernout and Hauspie VoiceXpress
- Scansoft Dragon NaturallySpeaking

Overview

Cascade of bimorphisms: B(L, M)

Where h_{in}^{-1} is ambiguous, it is determinized by explicit ordering.

Extended to unranked alphabet through sequence variables

Succinct notation for rewrite rules

Rewrite Rules

<pattern> ==> <result>

NP(Det, N) ==> Det(N) $q(np(x_{det}, x_n)) \rightarrow det(q(x_n))$

- Variables/nonterminals uppercase (or _)
- Terminals lowercase
- Recursive rewriting implicit
- Nonterminals play dual role:
 - variables
 - node labels

Rewrite Rules

<pattern> ==> <result>

NP(Det, N) ==> Det(N) $q(np(x_{det}, x_n)) \rightarrow det(q(x_n))$

Units(lines) ==> line $q(units(lines)) \rightarrow line$

Units(unit) ==> unit $q(units(x_{unit})) \rightarrow q(x_{unit})$

Command(move, down, Number, Units) ==> Move(down, Number, Units) $q(command(move, down, x_{number}, x_{units}))$ $\rightarrow move(down, q(x_{number}), q(x_{units}))$

Example

Command(move, down, Number, Units) ==> Move(down, Number, Units) Number(n) = nUnits(lines) ==> line Units(unit) ==> unit

Command(move, down, Number(3), Units(lines)) ==>* Move(down, 3, line) =/=>* Move(down, 3, lines)

Extended Example Number Name Normalization

```
// Front end grammar
```

```
/* Starting nonterminal is NatNum
    NatNum covers natural numbers 0 through 10^12 - 1
    NatNumX covers natural numbers 1 through 10^X - 1
    NatDigit covers natural digits 1 through 9
    NatLeadDig similarly
    NatTeen covers 10 through 19
    NatTy covers the multiples of 10, 20 through 90
*/
```

```
NatNum --> zero | NatNum12
NatNum12 --> NatNum3 | NatNum3 billion NatNum9
NatNum9 --> NatNum3 | NatNum3 million NatNum6
NatNum6 --> NatNum3 | NatNum3 thousand NatNum3
NatNum3 --> NatNum2 | NatLeadingDigit hundred {and} NatNum2
NatNum2 --> NatDigit | NatTeen | NatTy NatDigit
NatDigit --> one | two | three | four | five
| six | seven | eight | nine
NatLeadDig --> a | NatDigit
NatTeen --> ten | eleven | twelve | thirteen | fourteen
| fifteen | sixteen | seventeen | eighteen | nineteen
NatTy --> twenty | thirty | forty | fifty
| sixty | seventy | eighty | ninety
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```


//....... Pass "compute expression"

// Rewrites natural numbers into an arithmetic expression // tree that computes the corresponding numeric value.

```
NatNum3(NatNum2) ==> NatNum2
NatNum3(NatLeadingDigit, hundred, , NatNum2)
   ==> Plus(NatNum2, Times(NatLeadDig,
            Exp(10, 2))
```

```
NatNum2(NatDigit) ==> NatDigit
NatNum2(NatTy, NatDigit) ==> Plus(NatTy, NatDigit)
NatNum2(NatTeen) ==> NatTeen
```



```
NatDigit(one) ==> 1
NatDigit(two) ==> 2
NatDigit(three) ==> 3
. . .
NatDigit(nine) ==> 9
```

```
NatLeadDig(NatDigit) ==> NatDigit
NatLeadDig(a) ==> 1
```

```
NatTeen(ten) ==> 10
NatTeen(eleven) ==> 11
NatTeen(twelve) ==> 12
```

```
NatTeen(nineteen) ==> 19
```

```
NatTy(twenty) ==> 20
NatTy(thirty) ==> 30
NatTy(forty) ==> 40
. . .
NatTy(ninety) ==> 90
```



. . .

//....
Pass "generate code"

// Converts arithmetic Expression trees into
// corresponding VB string

Plus(X, Y) ==> "(" . X . " + " . Y . ")"
Times(X, Y) ==> "(" . X . " * " . Y . ")"
Exp(X, Y) ==> "(" . X . " ^ " . Y . ")"
_ ==> ______

string:

seven hundred and thirty five

parse:

```
    NatNum3(NatLD(NatDigit(seven)),

          hundred, and,
          NatNum2(NatTy(thirty),
                   NatDigit(five)))
```

pass "compute expression":

• Plus(Plus(30, 5),

Times(7, Exp(10, 2)))

pass "generate code":

"((30+5)+(7*(10²)))" evaluation:

• 735

