

# Implementing a lexicalised statistical parser

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## Abstract

Statistical parsers are extremely complex systems, yet papers describing them almost always only discuss theoretical issues instead of implementation issues. This paper attempts to address the imbalance by describing the implementation issues faced in building a state-of-the-art statistical parser. In the process, we will describe our own implementation of a statistical parser.

## 1 Introduction

Between 1996 and 1999, Michael Collins developed a statistical parser (Collins, 1996; 1999) which has become tremendously influential in NLP. Collins' thesis and published papers discuss the theoretical underpinnings of his system in a great deal of detail; he devotes considerable space to describing and justifying the grammar formalism and the probability model which his parser uses. His description of his parsing algorithm is much less detailed; it is given as a set of pseudocode routines in an appendix. However, the scale and complexity of a lexicalised statistical parser is such that implementing this pseudocode presents significant software engineering difficulties. The pseudocode actually disguises many of the interesting optimisations present in Collins' system. As far as we can tell, nobody has published how to actually implement such a system. The aim of this paper is to describe the important software engineering issues involved in implementing a lexicalised statistical parser, using the parser we implemented as an example. What we found was that if you ever consider performance a secondary consideration then the parser will go so slow as to be impossible to debug. Because of this, we will concentrate on the efficiency of algorithms not so much to improve on Collins', but just to get a working system.

We will begin in Section 2 by describing Collins' probability model. In Section 3 we de-

scribe Collins' parsing algorithm in high-level detail. The remainder of the paper describes our way of implementing the difficult parts of this algorithm. The chart data structure is described in Section 4; the generation of probabilities from the probability model in Section 5; the search strategy used by the parser is described in Section 6; Some general advice about software engineering in building a statistical parser is discussed in Section 7. And we conclude by noting that our parser performs almost the same as Collins' in Section 8.

## 2 Collins' probability model

The key idea in any statistical parser is to associate probabilities with grammatical rules. The probability of any given parse tree is then simply the product of the probabilities of all the rules applied in creating this tree. However, in practice, the probability of a parse tree being the correct parse of a sentence depends not just on the rules which are applied, but on the words which appear at the leaves of the tree. To illustrate, consider this well-known example of syntactic ambiguity:

- (1) The man saw the dog with the telescope.

The PP *with the telescope* can either modify *the dog* (as a relative clause) or the verb *saw* (as an adverbial). Intuitively, the latter reading should be preferred; we expect events of seeing to involve telescopes more frequently than dogs. The notion of a **lexical head** is useful in spelling out this intuition. We expect a VP headed by the verb *saw* to be quite frequently modified by a PP involving the word *telescope* in a representative corpus, while we expect a NP headed by *dog* only rarely to be modified by a PP involving the word *telescope* in such a corpus. We begin in Section 2.1 by describing a formalism for capturing this idea.

## 2.1 Unary and dependency productions

How can we modify our grammar to include the appropriate lexical information? A useful solution, originally proposed by Black *et al.* (1992), basically involves a huge increase in the number of phrases in the grammar. Instead of simply having a phrase NP, we need one phrase for each possible headword of an NP: i.e. NP-headed-by-dog, NP-headed-by-telescope, and so on. At this point, unfortunately, we are faced with a data sparseness problem: we are unlikely to find sufficient counts for individual productions, even with a very big corpus. The problem is largely due to **Zipf’s law**; most words in the language only occur very infrequently, so most grammatical categories, when tagged with an open-classed headword, will be fairly rare. The problem is compounded by the fact that many grammars allow a node to take several children. If each child is already rare, then the combination of  $n$  such children will be exponentially so. With low counts, we cannot be confident in the probabilities we derive.

We will consider the problem due to Zipf’s law in Section 2.3. However, the problem of multiple children can be addressed by finding a way of splitting a parse tree into events that are smaller than single context-free rule applications. A useful idea, originally proposed by Magerman (1995), is to break each single rule application into several components: a **unary production** which takes a phrase and generates its head constituent, and a set of **dependency productions** which take a phrase and its head constituent, and generate the remaining child constituents, either to the left or the right of the head. The occurrence of a parent node decomposing into a set of children is now represented using the kinds of events shown in Figure 1.



Figure 1: Unary and dependency productions

The conditional probabilities we are interested in are the probability of a head constituent given its parent (for a unary production) and the probability of a sibling constituent given its parent and its head (for a dependency production). These probabilities can be estimated from relative frequencies of events.

$$\mathcal{P}(\text{Head}|\text{Parent}) = \frac{\text{Count}(\text{Head}, \text{Parent})}{\text{Count}(\text{Parent})}$$

The notation here needs some explanation. If you know the parent and you are trying to derive the probability for a given head, you can estimate the probability by counting the number of times that head occurs as the head of that parent, and dividing by the total number of times that parent occurs. The categories ‘head’ and ‘parent’ are descriptions of constituents, which could be given at different levels of detail. If we are building a lexicalised grammar, these descriptions will each include a headword, as well as a grammatical category. The data sparseness problem due to Zipf’s law is now reduced; unary productions only involve one lexical item, and dependency productions only involve two.

## 2.2 Collins’ probabilistic grammar

Collins’ probabilistic grammar is expressed in terms of unary and dependency productions, as just described. Of course, he includes more information about these productions than we expressed in the above equations. As well as a **head word** for each constituent, he includes information about the part of speech of this word: the **head tag**. He calls the grammatical category the **head nonterminal**, to distinguish it from the tag. For the dependency productions, he distinguishes between **complement** and **adjunct** siblings of a head (a complement sibling is tagged ‘-C’), and includes a **subcategorisation frame** representing the complements that the head needs. He also includes a measure of the **distance** between the head and sibling constituents. To explain Collins’ representation of trees, we once again refer to a simple example tree — see Figure 2. In this figure, only the nodes pointed at by arrows take part in representing events.

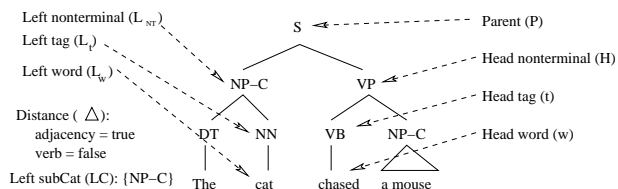


Figure 2: Collins’ event representation

This figure shows the fields used to represent the dependency event of an NP-C attaching as a left sister to the head VP of a parent S node. Collins stores this event by encoding the terms pointed to with arrows in the figure. At this point, the event simply is the co-occurrence of these values for these data fields. To represent a unary production, such as the generation of VP from the parent S node, we just need the terms on the right-hand side of Figure 2. To represent a subcat production, such as the generation of the VP’s left subcategorisation frame (in this case, a bag containing one item, NP-C), we use the same terms as the unary event, plus one additional field: a bag of nonterminals.

The probabilities we need to compute for unary, subcat and dependency productions can now be given more precisely, in the following three equations.

$$\begin{aligned} \mathcal{P}_{unary}(H | P, w, t) \\ \mathcal{P}_{subcat}(LC | H, P, w, t) \\ \mathcal{P}_{dep}(Lnt, Lw, Lt | P, H, w, t, \Delta, LC) \end{aligned}$$

### 2.3 Collins’ event representation

To compute the above probabilities, we need to derive appropriate relative frequencies of events occurring in the WSJ corpus. Given that some events might be rare, or nonexistent, in this corpus, Collins uses a **backoff** technique. Basically, we estimate the probability of a very precisely specified event by looking up a less precisely specified one. For instance, the unary event in Figure 2 where it was decided VP should form the head of a sentence, would be as follows:

$$\mathcal{P}_{unary}(VP | S, chased, VB)$$

while a backed-off version of the event might leave out the head word *chased*:

$$\mathcal{P}_{unary}(VP | S, VB)$$

Collins makes use of three levels of backoff for all the events he represents: Level 1 contains all the terms pointed to in Figure 2, Level 2 drops a headword, and Level 3 drops everything except for nonterminals. To compute the probability of an event, its numerator, denominator, and a weighting factor are looked up at all three levels of backoff, and the resulting probabilities are interpolated using the weighting factors. In summary, to derive the probability of an event, we must perform nine separate lookups of event counts in a database of events derived from the WSJ corpus.

### 2.4 Preprocessing the WSJ

The WSJ corpus is the main source of training data for statistical parsers. The trees in the WSJ do not include information about headwords or complements, both of which are fundamental to Collins’ approach. So Collins first has to add this information, using heuristics based on the syntactic and semantic annotations which are present. These heuristics are too numerous to document here, but a typical example would be that noun-phrases search right to left for their head child and prefer nouns. After applying the heuristics, he then has to transform the trees into a database of events to be counted when computing probabilities. While these preprocessing routines are relatively simple compared to the parser, Collins has not released his preprocessor, and it is the least documented part of the system, so it is useful to document it; interested readers are referred to Lakeland (forthcoming), where preprocessing code is given in detail.

## 3 Collins’ parsing algorithm

We now present the high-level structure of the parsing algorithm.

Very briefly, in words, here is what happens. In the top-level function `parse`, we begin by initialising the chart with a set of **complete** edges, each of which is one word from the input string, and a set of **incomplete** edges, each of which is created by one or more unary productions on one of the complete edges. A complete edge is one that will not be expanded further. Then we call the function `combine` on every set of adjacent edges in the chart. The `combine` function attempts to join every pair of adjacent edges, using a dependency production, where the parent edge is incomplete and the child edge is complete. This is done by the functions `join_follow` and `join_precede`. Whenever two edges are successfully joined, the new complex edge is added to the chart; then this edge is expanded using unary productions (considering both a single unary production and chains of two or three unary productions), and adds these to the chart. This is done by the function `add_singles_stops`. The new edges which have been added to the chart will be found by subsequent calls to `combine`. Eventually, edges will be created which span the whole input string; when we have found all of these, we select the complete parse with highest probability.

```

parse(sentence)
  initialise(sentence)
  for start = 0 to length
    for end = start + 1 to length
      for split = start + 1 to end {
        left = spanning(start,split)
        right = spanning(split+1,end)
        combine(left,right)
      }

combine(left, right) {
  foreach (l left)
  foreach (r right) {
    if (!l.complete && r.complete)
      joined = join_follow(l,r)
    if (l.complete && !r.complete)
      joined = join_precede(l,r)
    add_singles_stops(joined)
  }
}

join_follow(left,right) {
  e = new edge(left)
  e.add_child(right,at_end)
  e.prob *= right
  e.prob *= dep_prob(left,right)
  chart.add(e)
}

join_precede(left,right) {
  (as per join follow)
}

add_singles_stops(edges,depth=5) {
  if (depth == 0) return edges
  foreach (e edges)
    e_stop += add_stop(e)
  foreach (e e_stop)
    e_ns += add_singles(e)
  add_singles_stops(e_ns,depth-1)
}

add_singles(e) {
  foreach (parent nonterminals)
    foreach (lc subcats)
      foreach (rc subcats)
        if(grammar(e,parent,lc,rc)) {
          result = unary(e,parent,lc,rc)
          chart.add(result)
          results += result
        }
  return results
}

```

Figure 3: Simplified parser pseudocode

Looking at the pseudocode it is hard to see where the implementation difficulty lies. The answer can be seen by counting loops: `parse` contains three loops; `combine` contains two; `add_singles_stops` contains one; and `add_singles` contains three. Since these functions are all nested, the parser has nine nested loops. To address this complexity, two things are needed. Firstly, in general, we want to implement everything *efficiently*, so that the algorithm is as fast as possible. But as well as efficiency considerations, we also need to build some genuine shortcuts into the algorithm, by applying **search heuristics** which discard edges unlikely to be in the final parse. Search heuristics are applied in two places in the parsing algorithm: a **beam search** algorithm is used in `add_singles_stops` to stop unlikely unary productions from being generated; and **dynamic programming** is used in the chart insertion routine to discard an edge if a more probable edge covering the same span already exists. These two issues — code efficiency and implementing heuristics — are what we focus on in the remainder of the paper.

#### 4 The chart data structure

The goal of the chart is to store and provide access to all the edges covering each span of the input string. The grammar is very large because it contains a separate rule for each headword in each production, and because of this a great many edges cover each span. This means that the wrong choice of chart data structure will make parsing impossibly slow.

The most natural way of implementing such a data structure would be as a three dimensional array, in which the first two dimensions specify the start and end of the span respectively, and the last dimension stores the edges. Unfortunately, we do not know how many edges will be needed for any given span of the input string, which makes allocating such an array impossible (or at least extremely wasteful). To get around this problem, note that the flow of control of the parsing algorithm means that edges with a given start and end position in the input string are added consecutively. This means that we can store the chart as a huge one dimensional array of edges, with a two dimensional **index array** of pointers indicating where the set of edges associated with each span are stored. There is then no wasted space in the chart, and we still have constant time access to any span.

A related optimisation comes from noting that the control structure of the `complete` function means that we always process one complete edge and one incomplete edge, so it would be more efficient if we could loop over all complete edges and all incomplete edges separately. It thus makes sense to have two separate charts, one for complete edges and one for incomplete edges.

Another optimisation relates to the use of a very simple dependency grammar within the `complete` algorithm. Whenever two edges are joined, we must compute the dependency probability for the join operation. If this probability is zero, there is no need to store the edge. In general we cannot predict when a dependency event will have a probability of zero in advance, but there is one exception: we can look at the nonterminal head of the parent and sibling, and if this combination was never seen in the training corpus then we know the dependency event will have a probability of zero. The optimisation involves precomputing a simple dependency grammar specifying which nonterminal categories are found in dependency productions in the WSJ. (For instance, the top production in Figure 2 would allow a parent S whose head child is VP to have an NP-C as a left child.) Now, in the `combine` function, we iterate over every left and every right edge consistent with this simple grammar. To permit efficient access to grammatically consistent edges in the chart, we add a third dimension to the index array, to hold the edge’s parent nonterminal.

Another kind of optimisation in the chart comes from noting that it is possible for two different phrases to have the same representation as events in Collins’ probability model. For instance, note in Figure 2 that Collins’ event language makes no reference to the *Det* phrase associated with the subject NP-C *cat*. Since the goal of the parser is to find the single best parse, if we ever have two phrases with the same representation at a given span in the chart, we can simply discard the one with lower probability; it will never be involved in the best parse of the sentence. This is known as the **Viterbi optimisation**. A closely related optimisation is to discard any edge with a probability significantly lower than the best edge over this span, since it is very unlikely that a parse involving this edge will outscore a parse involving the most likely edge for this span. These last two optimisations are examples of the **dynamic programming**

approach.

## 5 Computing probabilities

As mentioned in Section 2.3, to compute probabilities, Collins derives nine counts — that is, he looks up the number of times nine different sub-events have occurred in the database of events derived from the WSJ corpus. This database cannot be stored as an indexed array since there is no obvious index; we therefore make use of the standard way of storing large data sets, hash tables. The training data requires storing around fifty million events, and parsing a single sentence requires many millions of probabilities to be computed. Because performance is so critical it is worth being careful about the implementation details.

Firstly, there is no need to store a hash table for every type of event. Instead we can use a single huge hashtable and include the type of event in the key. This does not make the system inherently faster but does make it much easier to control the density of the hashtable which will lead to performance improvements. Secondly, it is conventional in hashtables to store both the key and value in the table so that hash collisions can be detected but here the hash key is many bytes and so it is more appropriate to just ignore collisions and accept that probabilities will be slightly incorrect. Finally, over ninety percent of probabilities computed in the parser are used more than once, so by storing all generated probabilities in a ‘cache’ hashtable, the speed of the whole system can be improved by an order of magnitude.

## 6 Implementing the beam search

The function `add_singles_stops` includes three nested loops and is itself called recursively about five times. While none of these loops is dependent on the size of the input sentence (i.e. the function is  $O(1)$ ), an unconstrained implementation would result in approximately  $2000^5$  edges being created (the number of non-terminals times the number of possible left subcategorisation frames times the number of right subcategorisation frames, recursively called five times). Even if these edges were discarded by the chart on creation, the time taken to create them would make it impossible to parse a simple sentence. To resolve this, Collins only expands edges likely to be part of the final parse. Collins’ thesis notes he uses a constrained best first search known as a **beam search** for this

process. The benefit of this is that instead of an unmanageable number of nodes being created, perhaps only a few hundred are created (of which dynamic programming in the chart will still discard all but a handful).

Search generally involves creating new nodes for each child being expanded. But as is mentioned in Section 7, allocating memory is a computationally expensive operation and is undesirable in a program where efficiency is critical. Since a beam always has exactly  $n$  nodes on it, it seems intuitively obvious that beam-search could be implemented without allocating memory but it proves surprisingly difficult to do efficiently. Our implementation of beam search uses **skiplists** (Pugh, 1989). Skiplists are a variant on linked lists in which a number of ‘next’ pointers are kept on each node instead of just one. These extra pointers allow the algorithm to ‘skip’ along the list and lead to insertion and access times of  $O(\lg n)$  (the same as binary search, but much simpler to implement). As an extension to Pugh’s idea, we implemented double-ended skiplists (analogous to doubly-linked lists). This gives  $O(1)$  access and insertion to both the start and end of the list.

Having developed a suitable data structure, we apply it to beam search. By allocating  $n + 1$  nodes for a beam of length  $n$ , we can provide `add_singles` with an empty node in  $O(1)$  by simply returning the last node in the list (technically, these functions are not  $O(1)$  but  $O(\lg(\lg(n)))$  due to pointer management code, but this closely approximates 1 for even huge values of  $n$ ). In practice, insertions are almost always at the start or the end of the list (both approximately  $O(1)$ ). When they are at other parts of the list, insertion is an  $O(\lg n)$  operation.

The obvious comparison for this approach would be using a heap, as a heap is the data structure most commonly used to implement priority queues. Using an array based heap (since the size of the queue is bounded) we can access the front in  $O(1)$ , but to remove the last node and reinsert is  $O(\lg n)$ . Compared to this implementation, skiplists are somewhat more efficient at  $O(\lg(\lg n))$ .

Overall, double-ended skiplists have proven to be an interesting and efficient method of implementing beam-search for large  $n$ . Where  $n$  is low, it is probably more efficient to simply use a doubly-linked list but Collins’ noted he used a beam size of 10,000, and so a more sophisticated

approach is called for. After implementing the skiplists search, Collins released his code and it is very interesting to compare his approach; it turns out he does not actually implement classical beam-search, but instead uses an array of edges being expanded with a threshold — if an edge is a certain amount worse than the best then it is discarded. This is significantly simpler and somewhat more efficient than my approach. However it would perform very poorly anywhere where the heuristic evaluation improves as we move away from the start state.

## 7 General software engineering issues

The core difficulty in implementing a statistical parser is that it processes a vast amount of data. The event file created by the preprocessor contains perhaps fifty million events; the beam is searching through perhaps ten thousand local possibilities; and the chart contains hundreds of thousands of ambiguous partial parses. All this means that we must keep code as efficient as possible throughout the development process, or the parser will simply fail. In addition, that sophisticated code and data file verification techniques are crucial, because small bugs can have far-reaching consequences. In this section, we present some of the software development lessons we have learned in building our parser.

### 7.1 Start by solving a smaller problem

A lexicalised statistical parser is a very complex system, where a single poor choice results in a program that is too slow to test. However, building a part-of-speech (POS) tagger has many of the same issues as a statistical parser but without the asymptotic complexity. We found it was useful to begin by building a full reimplement of Collins’ probability model which was only used for POS tagging (Lakeland and Knott, 2001). This enabled about half of the system to be verified.

### 7.2 Choice of programming language

Initially our parser was implemented in LISP, because it is a language ideally suited to both tree processing and prototyping. It was far too slow, and while various optimisations could make it fast, it was obvious that the easiest approach would be to reimplement using a language capable of breaking the rules built into high-level programming languages, in which allocation of memory can be done by hand, pointers can be manipulated directly, and shortcuts

can be hacked into the control structure of the program.

It is worth explaining why direct memory management is essential. Allocation of memory is an extremely slow function and any program desiring efficiency must not allocate memory inside its inner loop. By preallocating data structures (e.g. allocating all the memory for the chart and the beam before parsing begins), it is possible to avoid any memory allocation during the core parsing loops, saving a great deal of time. Languages such as Java, C# and Python are therefore a bad idea; their automatic memory management (normally a key selling point) is precisely what we need to sidestep to implement an efficient parser. Consequently, like Collins, we chose to implement the parser in C, which provides low-level memory management support. (However, for preprocessing the corpus, we stuck with LISP, since it is not time critical.)

### 7.3 Version control

Anybody building a nontrivial program will use a source code control system such as CVS or subversion. But we found that naive use is insufficient – for instance we frequently found improvements to the preprocessor would break the parser since it depended on the older format for the data files. We also needed to make use of ‘branching’.

Another related step was the development of a build script. There are a large number of steps involved in converting the treebank and other data into a format suitable for parsing. It is relatively easy to perform these steps sequentially. However that means any change to one of the earlier steps (such as a tweak to the tokeniser) requires every subsequent step to be repeated. Since there is usually output from the previous version lying around, it was often the case that output files from different versions of the code would be used at the same time — leading to subtle errors.

Finally, version control only applies to files but we often found that we needed to write *almost* identical blocks of code, but often we could not write the code as a general function which decided its behaviour based on arguments and writing the same code twice invariably leads to bugs being fixed in one version but not in another. Our solution to this was to use source code preprocessing so that our single ‘meta’ version generates multiple functions,

each with slightly different logic. We used the tool `funnelweb` for this purpose.

### 7.4 Efficiency versus debuggability

It is often the case that the most efficient data structure is harder to debug. For instance, our hash keys can be easily compared to the data used in generating the key and so a bug in key generation is easily identifiable while Collins’ keys bear too little correspondence to data and so cannot be easily debugged but they can be generated faster. Similarly, Collins uses array offsets to refer to edges where we use pointers which will make our code slightly faster, but it makes tracking an edge through parsing much easier in Collins’ system.

‘Magic numbers’ are another area in which bugs can easily creep into the system — for instance, setting the maximum number of nonterminals to 100 might be correct at first, but later adding `-C` complements could easily overflow this and lead to data corruption. We managed to avoid many of the problems here by automatically generating the declarations of constants from the input files, so any change to the input files will automatically appear in the source code. Similarly, many functions in the probability model take a dozen or so parameters and getting these in the wrong order will not cause any typecast errors since they are all integers, it will just generate invalid output. This problem was avoided by implementing basic datatypes as different classes so that incorrect orders does result in typecast errors. Curiously, Collins uses magic numbers everywhere and I often wondered how he managed to debug them in his parser.

### 7.5 Debugging methodology and test suites

Debugging the parser turned out to be extremely difficult. It is not so hard to detect the presence of a bug, but isolating where in the process this bug is introduced can take a week. In a normal program a bug can be isolated by stepping through its operations on simple input but with a statistical parser there are far too many operations to do this for even the most trivial input. The best approach we found was to spend a lot of effort detecting bugs as soon as possible after they are introduced. For instance, if a bug in the tokeniser leads to a small number of events not being generated then it is critical to detect this problem during the generation of the event file rather than during the execution of the parser.

In order to facilitate this, after testing every function we wrote an automated test suite that rechecks functions every time the system is built. For example, the probability model can be checked by comparing the counts it derives to those produced with `grep`. If a bug is later introduced in the input to this function then it will likely cause some testcase to fail. Similarly, the system is liberally scattered with `assert` statements that perform everything from internal bounds checking to checking that the skiplist is in sorted order and still has  $n$  elements. As a last resort, we also made extensive use of the `mprotect` kernel call to lock any data that was not currently being edited (such as the hash tables). This allowed us to catch a number of bugs where we had forgotten an assertion.

A final comment is that we found high-level debugging to be much less useful than low-level debugging. For instance, by examining the sentences the parser performs poorly on it may be possible to infer it has a problem. But this approach turned out to be significantly more time-consuming than simply verifying every function independently, mainly because the parser was too big to find where the bug was after the high-level approach found the existence of a bug.

## 8 Conclusion: results of our own parser

The parser we implemented performed almost identically to Collins' as regards precision and recall (84.5% as opposed to 85%). In over 95% of cases, our parser produces exactly the same output as Collins', with differences partly caused by small undocumented tweaks Collins made, such as using the headword from a child instead of the parent during coordination, and partly due to some late design changes made as our understanding of Collins' algorithm improved. Our system is significantly more modifiable than Collins. This is because it was designed with that in mind, and also because all of the separate components used are tightly separated out into different classes with well specified interactions. Because of this, my system is well suited as a platform for further research.

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