



Effective Character-Augmented Word Embedding for Machine Reading Comprehension

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Abstract. Machine reading comprehension is a task to model relationship between passage and query. In terms of deep learning framework, most of state-of-the-art models simply concatenate word and character level representations, which has been shown suboptimal for the concerned task. In this paper, we empirically explore different integration strategies of word and character embeddings and propose a character-augmented reader which attends character-level representation to augmented word embedding with a short list to improve word representations, especially for rare words. Experimental results show that the proposed approach helps the baseline model significantly outperform state-of-the-art baselines on various public benchmarks.

Keywords: Question answering · Reading comprehension
Character-augmented embedding

1 Introduction

Machine reading comprehension (MRC) is a challenging task which requires computers to read and understand documents to answer corresponding questions, it is indispensable for advanced context-sensitive dialogue and interactive systems [12, 34, 36]. There are two main kinds of MRC, user-query types [13, 24] and cloze-style [7, 10, 11]. The major difference lies in that the answers for the former are usually a span of texts while the answers for the latter are words or phrases.

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Most of recent proposed deep learning models focus on sentence or paragraph level attention mechanism [5, 8, 14, 25, 30] instead of word representations. As the fundamental part in natural language processing tasks, word representation could seriously influence downstream MRC models (readers). Words could be represented as vectors using word-level or character-level embedding. For word embeddings, each word is mapped into low dimensional dense vectors directly from a lookup table. Character embeddings are usually obtained by applying neural networks on the character sequence of each word and the hidden states are used to form the representation. Intuitively, word-level representation is good at capturing wider context and dependencies between words but it could be hard to represent rare words or unknown words. In contrast, character embedding is more expressive to model sub-word morphologies, which facilitates dealing with rare words.

Table 1. A cloze-style reading comprehension example.

Passage	<p>1 早上, 青蛙、小白兔、刺猬和大蚂蚁高高兴兴过桥去赶集。</p> <p>2 不料, 中午下了一场大暴雨, 哗啦啦的河水把桥冲走了。</p> <p>3 天快黑了, 小白兔、刺猬和大蚂蚁都不会游泳。</p> <p>4 过不了河, 急得哭了。</p> <p>5 这时, 青蛙想, 我可不能把朋友丢下, 自己过河回家呀。</p> <p>6 他一面劝大家不要着急, 一面动脑筋。</p> <p>7 嗨, 有了!</p> <p>8 他说: “我有个朋友住在这儿, 我去找他想想办法。”</p> <p>9 青蛙找到了他的朋友 _____, 请求他说: “大家过不了河了, 请帮个忙吧!”</p> <p>10 鼯鼠说: “可以, 请把大家领到我家来。”</p> <p>11 鼯鼠把大家带到一个洞口, 打开了电筒, 让小白兔、刺猬、大蚂蚁和青蛙跟着他, “大家别害怕, 一直朝前走。”</p> <p>12 走呀走呀, 只听见上面“哗啦哗啦”的声音, 象唱歌。</p> <p>13 走着走着, 突然, 大家看见了天空, 天上的月亮真亮呀。</p> <p>14 小白兔回头一瞧, 高兴极了: “哈, 咱们过了河啦!”</p> <p>15 嗨, 真了不起。</p> <p>16 原来, 鼯鼠在河底挖了一条很长的地道, 从这头到那头。</p> <p>17 青蛙、小白兔、刺猬和大蚂蚁是多么感激鼯鼠啊!</p> <p>18 第二天, 青蛙、小白兔、刺猬和大蚂蚁带来很多很多同伴, 扛着木头, 抬着石头, 要求鼯鼠让他们来把地道挖大些, 修成河底大“桥”。</p> <p>19 不久, 他们就把鼯鼠家的地道, 挖成了河底的一条大隧道, 大家可以从河底过河, 还能通车, 真有力哩!</p>	<p>1 In the morning, the frog, the little white rabbit, the hedgehog and the big ant happily crossed the bridge for the market.</p> <p>2 Unexpectedly, a heavy rain fell at noon, and the water swept away the bridge.</p> <p>3 It was going dark. The little white rabbit, hedgehog and big ant cannot swim.</p> <p>4 Unable to cross the river, they were about to cry.</p> <p>5 At that time, the frog made his mind that he could not leave his friend behind and went home alone.</p> <p>6 Letting his friends take it easy, he thought and thought.</p> <p>7 Well, there you go!</p> <p>8 He said, “I have a friend who lives here, and I’ll go and find him for help.”</p> <p>9 The frog found his friend _____ and told him, “We cannot get across the river. Please give us a hand!”</p> <p>10 The mole said, “That’s fine, please bring them to my house.”</p> <p>11 The mole took everyone to a hole, turned on the flashlight and asked the little white rabbit, the hedgehog, the big ant and the frog to follow him, saying, “Don’t be afraid, just go ahead.”</p> <p>12 They walked along, hearing the “walla-walla” sound, just like a song.</p> <p>13 All of a sudden, everyone saw the sky, and the moon was really bright.</p> <p>14 The little white rabbit looked back and rejoiced: “ha, the river crossed!”</p> <p>15 “Oh, really great.”</p> <p>16 Originally, the mole dug a very long tunnel under the river, from one end to the other.</p> <p>17 How grateful the frog, the little white rabbit, the hedgehog and the big ant felt to the mole!</p> <p>18 The next day, the frog, the little white rabbit, the hedgehog, and the big ant with a lot of his fellows, took woods and stones. They asked the mole to dig tunnels bigger, and build a great bridge under the river.</p> <p>19 It was not long before they dug a big tunnel under the river, and they could pass the river from the bottom of the river, and it could be open to traffic. It is amazing!</p>
Query	青蛙找到了他的朋友 _____, 请求他说: “大家过不了河了, 请帮个忙吧!”	The frog found his friend _____ and told him, “We cannot get across the river. Please give us a hand!”
Answer	鼯鼠	the mole

As shown in Table 1, the passages in MRC are quite long and diverse which makes it hard to record all the words in the model vocabulary. As a result, reading comprehension systems suffer from out-of-vocabulary (OOV) word issues, especially when the ground-truth answers tend to include rare words or named entities (NE) in cloze-style MRC tasks.

To form a fine-grained embedding, there have been a few hybrid methods that jointly learn the word and character representations [15, 19, 32]. However, the passages in machine reading dataset are content-rich and contain massive words and characters, using fine-grained features, such as named entity recognition and part-of-speech (POS) tags will need too high computational cost in return, meanwhile the efficiency of readers is crucial in practice.

In this paper, we verify the effectiveness of various simple yet effective character-augmented word embedding (CAW) strategies and propose a CAW Reader. We survey different CAW strategies to integrate word-level and character-level embedding for a fine-grained word representation. To ensure adequate training of OOV and low-frequency words, we employ a short list mechanism. Our evaluation will be performed on three public Chinese reading comprehension datasets and one English benchmark dataset for showing our method is effective in multi-lingual case.

2 Related Work

Machine reading comprehension has been witnessed rapid progress in recent years [8, 22, 26–29, 31, 33, 35]. Thanks to various released MRC datasets, we can evaluate MRC models in different languages. This work focuses on cloze-style ones since the answers are single words or phrases instead of text spans, which could be error-prone when they turn out to be rare or OOV words that are not recorded in the model vocabulary.

Recent advances for MRC could be mainly attributed to attention mechanisms, including query-to-passage attention [7, 14], attention-over-attention [5] and self attention [30]. Different varieties and combinations have been proposed for further improvements [8, 25]. However, the fundamental part, word representation, which proves to be quite important in this paper, has not aroused much interest. To integrate the advantages of both word-level and character-level embeddings, some researchers studied joint models for richer representation learning where the common combination method is the concatenation. Seo et al. [25] concatenated the character and word embedding and then fed the joint representation to a two-layer Highway Network. FG reader in [32] used a fine-grained gating mechanism to dynamically combine word-level and character-level representations based on word property. However, this method is computationally complex and requires extra labels such as NE and POS tags.

Not only for machine reading comprehension tasks, character embedding has also benefited other natural language process tasks, such as word segmentation [2, 3], machine translation [18, 19], tagging [1, 9, 17] and language modeling [21, 23]. Notably, Cai et al. [3] presented a greedy neural word segmenter where

high-frequency word embeddings are attached to character embedding via average pooling while low-frequency words are represented as character embedding. Experiments show this mechanism helps achieve state-of-the-art word segmentation performance, which partially inspires our reader design.

3 Model

In this section, we will introduce our model architecture, which is consisted of a fundamental word representation module and a gated attention learning module.

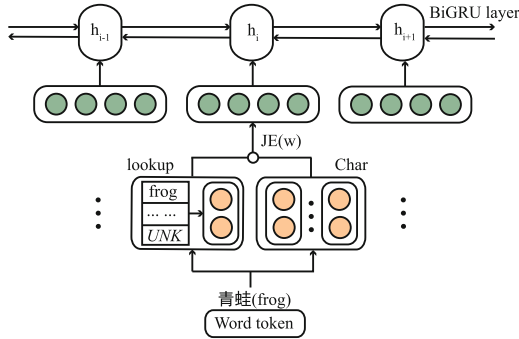


Fig. 1. Overview of the word representation module.

3.1 Word Representation Module

Figure 1 illustrates our word representation module. The input token sequence is first encoded into embeddings. In the context of machine reading comprehension tasks, word only representation generalizes poorly due to the severe word sparsity, especially for rare words. We adopt two methods to augment word representations, namely, a short list filtering and character enhancement.

Actually, if all the words in the dataset are used to build the vocabulary, the OOV words from the test set will not be well dealt with for inadequate training. To handle this issue, we keep a short list L for specific words. If word w is in L , the immediate word embedding \mathbf{e}_w is indexed from word lookup table $M^w \in \mathbb{R}^{d \times s}$ where s denotes the size (recorded words) of lookup table and d denotes the embedding dimension. Otherwise, it will be represented as the randomly initialized default word (denoted by a specific mark UNK). Note that only the word embedding of the OOV words will be replaced by the vectors of UNK (denoted by \mathbf{e}_u) while their character embedding \mathbf{e}_c will still be processed using the original word. In this way, the OOV words could be tuned sufficiently with expressive meaning after training.

In our experiments, the short list is determined according to the word frequency. Concretely, we sort the vocabulary according to the word frequency

from high to low. A frequency filter ratio γ is set to filter out the low-frequency words (rare words) from the lookup table. For example, $\gamma = 0.9$ means the least frequent 10% words are replaced with the default UNK notation.

Character-level embeddings have been widely used in lots of natural language processing tasks and verified for the OOV and rare word representations. Thus, we consider employing neural networks to compose word representations from smaller units, i.e., character embedding [15, 21], which results in a hybrid mechanism for word representation with a better fine-grained consideration. For a given word w , a joint embedding (JE) is to straightforwardly integrate word embedding \mathbf{e}_w and character embedding \mathbf{e}_c .

$$JE(w) = \mathbf{e}_w \circ \mathbf{e}_c$$

where \circ denotes the joint operation. Specifically, we investigate concatenation (*concat*), element-wise summation (*sum*) and element-wise multiplication (*mul*). Thus, each passage P and query Q is represented as $\mathbb{R}^{d \times k}$ matrix where d denotes the dimension of word embedding and k is the number of words in the input.

Finally by combining the short list mechanism and character enhancement, $JE(w)$ can be rewritten as

$$JE(w) = \begin{cases} \mathbf{e}_w \circ \mathbf{e}_c & \text{if } w \in L \\ \mathbf{e}_u \circ \mathbf{e}_c & \text{otherwise} \end{cases}$$

The character embedding e_c can be learned by two kinds of networks, recurrent neural network (RNN) or convolutional neural network (CNN)¹.

RNN Based Embedding. The character embedding \mathbf{e}_c is generated by taking the final outputs of a bidirectional gated recurrent unit (GRU) [4] applied to the vectors from a lookup table of characters in both forward and backward directions. Characters $w = \{x_1, x_2, \dots, x_l\}$ of each word are vectorized and successively fed to forward GRU and backward GRU to obtain the internal features. The output for each input is the concatenation of the two vectors from both directions: $\overleftarrow{h}_t = \overrightarrow{h}_t \parallel \overleftarrow{h}_t$ where h_t denotes the hidden states.

Then, the output of BiGRUs is passed to a fully connected layer to obtain the a fixed-size vector for each word and we have $\mathbf{e}_c = W \overleftarrow{h}_t + b$.

CNN Based Embedding character sequence $w = \{x_1, x_2, \dots, x_l\}$ is embedded into vectors M using a lookup table, which is taken as the inputs to the CNN, and whose size is the input channel size of the CNN. Let W_j denote the Filter matrices of width l , the substring vectors will be transformed to sequences $c_j (j \in [1, l])$:

$$c_j = [\dots; \tanh(W_j \cdot M_{[i:i+l-1]} + b_j); \dots]$$

¹ Empirical study shows the character embeddings obtained from these two networks perform comparatively. To focus on the performance of character embedding, we introduce the networks only for reproduction. Our reported results are based on RNN based character embeddings.

where $[i : i+l-1]$ indexes the convolution window. A *one-max-pooling* operation is adopted after convolution $s_j = \mathbf{max}(c_j)$. The character embedding is obtained through concatenating all the mappings for those l filters.

$$\mathbf{e}_c = [s_1 \oplus \cdots \oplus s_j \oplus \cdots \oplus s_l]$$

3.2 Attention Learning Module

To obtain the predicted answer, we first apply recurrent neural networks to encode the passage and query. Concretely, we use BiGRUs to get contextual representations of forward and backward directions for each word in the passage and query and we have G_p and G_q , respectively.

Then we calculate the gated attention following [8] to obtain the probability distribution of each word in the passage. For each word p_i in G_p , we apply soft attention to form a word-specific representation of the query $q_i \in G_q$, and then multiply the query representation with the passage word representation.

$$\begin{aligned}\alpha_i &= \text{softmax}(G_q^\top p_i) \\ \beta_i &= G_q \alpha_i \\ x_i &= p_i \odot \beta_i\end{aligned}$$

where \odot denotes the element-wise product to model the interactions between p_i and q_i . The passage contextual representation $\tilde{G}_p = \{x_1, x_2, \dots, x_k\}$ is weighted by query representation.

Inspired by [8], multi-layered attentive network tends to focus on different aspects in the query and could help combine distinct pieces of information to answer the query, we use K intermediate layers which stacks end to end to learn the attentive representations. At each layer, the passage contextual representation \tilde{G}_p is updated through above attention learning. Let q_k denote the k -th intermediate output of query contextual representation and G_P represent the full output of passage contextual representation \tilde{G}_p . The probability of each word $w \in C$ in the passage as being the answer is predicted using a softmax layer over the inner-product between q_k and G_P .

$$r = \text{softmax}((q_k)^\top G_P)$$

where vector p denotes the probability distribution over all the words in the passage. Note that each word may occur several times in the passage. Thus, the probabilities of each candidate word occurring in different positions of the passage are added together for final prediction.

$$P(w|p, q) \propto \sum_{i \in I(w, p)} r_i$$

where $I(w, p)$ denotes the set of positions that a particular word w occurs in the passage p . The training objective is to maximize $\log P(A|p, q)$ where A is the correct answer.

Finally, the candidate word with the highest probability will be chosen as the predicted answer. Unlike recent work employing complex attention mechanisms, our attention mechanism is much more simple with comparable performance so that we can focus on the effectiveness of our embedding strategies.

Table 2. Data statistics of PD, CFT and CMRC-2017.

	PD			CFT	CMRC-2017		
	Train	Valid	Test	Human	Train	Valid	Test
# Query	870,710	3,000	3,000	1,953	354,295	2,000	3,000
Avg # words in docs	379	425	410	153	324	321	307
Avg # words in query	38	38	41	20	27	19	23
# Vocabulary	248,160				94,352		

4 Evaluation

4.1 Dataset and Settings

Based on three Chinese MRC datasets, namely People’s Daily (PD), Children Fairy Tales (CFT) [7] and CMRC-2017 [6], we verify the effectiveness of our model through a series of experiments². Every dataset contains three parts, *Passage*, *Query* and *Answer*. The *Passage* is a story formed by multiple sentences, and the *Query* is one sentence selected by human or machine, of which one word is replaced by a placeholder, and the *Answer* is exactly the original word to be filled in. The data statistics is shown in Table 2. The difference between the three Chinese datasets and the current cloze-style English MRC datasets including Daily Mail, CBT and CNN [10] is that the former does not provide candidate answers. For the sake of simplicity, words from the whole passage are considered as candidates.

Besides, for the test of generalization ability in multi-lingual case, we use the Children’s Book Test (CBT) dataset [11]. We only consider cases of which the answer is either a NE or common noun (CN). These two subsets are more challenging because the answers may be rare words.

For fair comparisons, we use the same model setting in this paper. We randomly initialize the 100d character embeddings with the uniformed distribution in the interval $[-0:05, 0:05]$. We use word2vec [20] toolkit to pre-train 200d word embeddings on *Wikipedia* corpus³, and randomly initialize the OOV words. For both the word and character representation, the GRU hidden units are 128. For

² In the test set of CMRC-2017 and human evaluation test set (Test-human) of CFT, questions are further processed by human and the pattern of them may not be in accordance with the auto-generated questions, so it may be harder for machine to answer.

³ <https://dumps.wikimedia.org/>.

optimization, we use stochastic gradient descent with ADAM updates [16]. The initial learning rate is 0.001, and after the second epoch, it is halved every epoch. The batch size is 64. To stabilize GRU training, we use gradient clipping with a threshold of 10. Throughout all experiments, we use three attention layers.

Table 3. Accuracy on PD and CFT datasets. All the results except ours are from [7].

Model	Strategy	PD		CFT
		Valid	Test	Test-human
AS Reader	-	64.1	67.2	33.1
GA Reader	-	64.1	65.2	35.7
CAS Reader	-	65.2	68.1	35.0
CAW Reader	concat	64.2	65.3	37.2
	sum	65.0	68.1	38.7
	mul	69.4	70.5	39.7

4.2 Results

PD & CFT. Table 3 shows the results on PD and CFT datasets. With improvements of 2.4% on PD and 4.7% on CFT datasets respectively, our CAW Reader model significantly outperforms the CAS Reader in all types of testing. Since the CFT dataset contains no training set, we use PD training set to train the corresponding model. It is harder for machine to answer because the test set of CFT dataset is further processed by human experts, and the pattern quite differs from PD dataset. We can learn from the results that our model works effectively for out-of-domain learning, although PD and CFT datasets belong to quite different domains.

CMRC-2017. Table 4 shows the results⁴. Our CAW Reader (mul) not only obtains 7.27% improvements compared with the baseline Attention Sum Reader (AS Reader) on the test set, but also outperforms all other single models. The best result on the valid set is from WHU, but their result on test set is lower than ours by 1.97%, indicating our model has a satisfactory generalization ability.

We also compare different CAW strategies for word and character embeddings. We can see from the results that the CAW Reader (mul) significantly outperforms all the other three cases, word embedding only, concatenation and summation, and especially obtains 8.37% gains over the first one. This reveals

⁴ Note that the test set of CMRC-2017 and human evaluation test set (Test-human) of CFT are harder for the machine to answer because the questions are further processed manually and may not be in accordance with the pattern of auto-generated questions.

Table 4. Accuracy on CMRC-2017 dataset. Results marked with † are from the latest official CMRC Leaderboard (<http://www.hfl-tek.com/cmrc2017/leaderboard.html>). The best results are in bold face. WE is short for word embedding.

Model	CMRC-2017	
	Valid	Test
Random Guess †	1.65	1.67
Top Frequency †	14.85	14.07
AS Reader †	69.75	71.23
GA Reader	72.90	74.10
SJTU BCMI-NLP †	76.15	77.73
6ESTATES PTE LTD †	75.85	74.73
Xinktech †	77.15	77.53
Ludong University †	74.75	75.07
ECNU †	77.95	77.40
WHU †	78.20	76.53
CAW Reader (WE only)	69.70	70.13
CAW Reader (concat)	71.55	72.03
CAW Reader (sum)	72.90	74.07
CAW Reader (mul)	77.95	78.50

that compared with concatenation and sum operation, the element-wise multiplication might be more informative, because it introduces a similar mechanism to endow character-aware *attention* over the word embedding. On the other hand, too high dimension caused by concatenation operation may lead to serious over-fitting issues⁵, and sum operation is too simple to prevent from detailed information losing.

CBT. The results on CBT are shown in Table 5. Our model outperforms most of the previous public works. Compared with GA Reader with word and character embedding concatenation, i.e., the original model of our CAW Reader, our model with the character augmented word embedding has 2.4% gains on the CBT-NE test set. FG Reader adopts neural gates to combine word-level and character-level representations and adds extra features including NE, POS and word frequency, but our model also achieves comparable performance with it. This results on both languages show that our CAW Reader is not limited to dealing with Chinese but also for other languages.

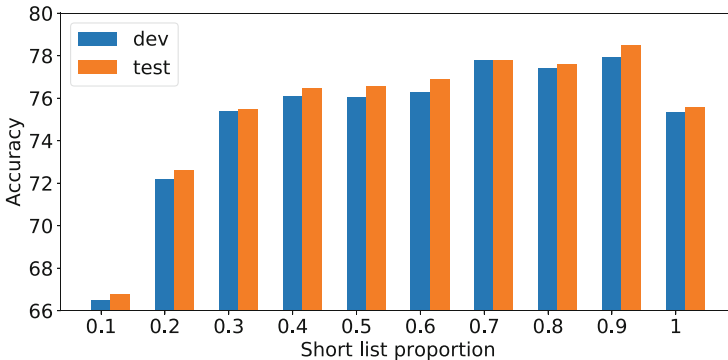
⁵ For the best concat and mul model, the training/validation accuracies are 97.66%/71.55, 96.88%/77.95%, respectively.

Table 5. Accuracy on CBT dataset. Results marked with ‡ are of previously published works [7,8,32].

Model	CBT-NE		CBT-CN	
	Valid	Test	Valid	Test
Human ‡	-	81.6	-	81.6
LSTMs ‡	51.2	41.8	62.6	56.0
MemNets ‡	70.4	66.6	64.2	63.0
AS Reader ‡	73.8	68.6	68.8	63.4
Iterative Attentive Reader ‡	75.2	68.2	72.1	69.2
EpiReader ‡	75.3	69.7	71.5	67.4
AoA Reader ‡	77.8	72.0	72.2	69.4
NSE ‡	78.2	73.2	74.3	71.9
GA Reader ‡	74.9	69.0	69.0	63.9
GA word char concat ‡	76.8	72.5	73.1	69.6
GA scalar gate ‡	78.1	72.6	72.4	69.1
GA fine-grained gate ‡	78.9	74.6	72.3	70.8
FG Reader ‡	79.1	75.0	75.3	72.0
CAW Reader	78.4	74.9	74.8	71.5

5 Analysis

We conduct quantitative study to investigate how the short list influence the model performance on the filter ratio from $[0.1, 0.2, \dots, 1]$. Figure 2 shows the results on the CMRC-2017 dataset. Our CAW reader achieves the best accuracy when $\gamma = 0.9$. It indicates that it is not optimal to build the vocabulary among the whole training set, and we can reduce the frequency filter ratio properly to

**Fig. 2.** Quantitative study on the influence of the short list.

promote the accuracy. In fact, training the model on the whole vocabulary may lead to over-fitting problems. Besides, improper initialization of the rare words may also bias the whole word representations. As a result, without a proper OOV representation mechanism, it is hard for a model to deal with OOV words from test sets precisely.

6 Conclusion

This paper surveys multiple embedding enhancement strategies and proposes an effective embedding architecture by attending character representations to word embedding with a short list to enhance the simple baseline for the reading comprehension task. Our evaluations show that the intensified embeddings can help our model achieve state-of-the-art performance on multiple large-scale benchmark datasets. Different from most existing works that focus on either complex attention architectures or manual features, our model is more simple but effective. Though this paper is limited to the empirical verification on MRC tasks, we believe that the improved word representation may also benefit other tasks as well.

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