Intensional Summaries as Cooperative Responses in Dialogue: Automation and Evaluation

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Abstract

Despite its long history, and a great deal of research producing many useful algorithms and observations, research in cooperative response generation has had little impact on the recent commercialization of dialogue technologies, particularly within the spoken dialogue community. We hypothesize that a particular type of cooperative response, intensional summaries, are effective for when users are unfamiliar with the domain. We evaluate this hypothesis with two experiments with CRUISER, a DS for in-car or mobile users to access restaurant information. First, we compare CRUISER with a baseline system-initiative DS, and show that users prefer CRUISER. Then, we experiment with four algorithms for constructing *intensional summaries* in CRUISER, and show that two summary types are equally effective: summaries that maximize domain coverage and summaries that maximize utility with respect to a user model.

1 Introduction

Research in cooperative response generation has had a long history and produced many useful algorithms and observations (Mays 1980; Pollack et al.1982; Joshi et al., 1986; Kalita et al., 1986) inter alia. However, it has had little impact on the recent commercialization of dialogue technologies, particularly within the spoken dialogue community. We believe that this lack of interest in cooperative response generation arises from two limitations of previous work: (1) There has been relatively little empirical research showing that cooperative responses lead

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<i>U1</i> :	Tell me about restaurants in London
	Tell me about restaurants in London.
SI1:	What kind of cuisine are you interested in?
<i>C1</i> :	I know of 596 restaurants in London. I know
	of 3 inexpensive vegetarian restaurants and 14
	inexpensive Chinese restaurants. I also know
	of 4 inexpensive Greek restaurants.
<i>U2</i> :	Chinese.
SI2:	Do you have a price range in mind?
<i>C2</i> :	I know of 27 restaurants in London that
	serve Chinese food. There are 8 inexpen-
	sive Chinese restaurants in Chinatown and
	2 inexpensive Chinese restaurants in Hamp-
	stead/Kilburn. I also know of 1 inexpensive
	Chinese restaurant in Soho.
<i>U3</i> :	How about a cheap one?
SI3:	What neighborhood would you like?
<i>C3</i> :	I know of 1 inexpensive Chinese restaurant
	in Hampstead/Kilburn with very good food
	quality and 1 in Bayswater with good food
	quality. I also know of 2 in Chinatown with
	medium food quality.
	mourain rood quanty.

Figure 1: Intensional summaries (C = CRUISER) as compared with a system initiative (SI) strategy in the London restaurant domain. U = User

to more natural, effective, or efficient dialogues (Litman et al. 1998; Demberg and Moore, 2006); and (2) Previous work has hand-crafted such responses, or hand-annotated the database to support them (Kaplan, 1984; Kalita et al., 1986; Cholvy, 1990; Polifroni et al., 2003; Benamara, 2004), which has made it difficult to port and scale these algorithms.

Moreover, we believe that there is an even greater need today for cooperative response generation. Larger and more complex datasets are daily being created on the Web, as information is integrated across multiple sites and vendors. Many users will want to access this information from a mobile device and will have little knowledge of the domain. We hypothesize that these users will need cooperative responses that select and generalize the information provided.

In particular, we hypothesize that a particular type of cooperative response, *intensional* summaries, when provided incrementally during a dialogue, are effective for large or complex domains, or when users are unfamiliar with the domain. These intensional summaries have the ability to describe the data that forms the knowledge base of the system, as well as relationships among the components of that database. We have implemented *intensional* summaries in CRUISER (Cooperative Responses Using Intensional Summaries of Entities and Relations), a DS for in-car or mobile users to access restaurant information (Becker et al. 2006; Weng et al.2005; Weng et al.2006). Figure 1 contrasts our proposed *intensional summary* strategy with the system initiative strategy used in many dialogue systems (Walker et al., 2002; VXML, 2007).

Previous research on cooperative responses has noted that summary strategies should vary according to the context (Sparck Jones, 1993), and the interests and preferences of the user (Gaasterland et al., 1992; Carenini and 2000; Demberg and Moore, Moore, 2006). A number of proposals have emphasized the importance of making generalizations (Kaplan, 1984; Kalita et al., 1986; Joshi et al., 1986). In this paper we explore different methods for constructing intensional summaries and investigate their effectiveness. We present fully automated algorithms for constructing intensional summaries using knowledge discovery techniques (Acar, 2005; Lesh and Mitzenmacher, 2004; Han et al., 1996), and decisiontheoretic user models (Carenini and Moore, 2000).

We first explain in Sec. 2 our fully automated, domain-independent algorithm for constructing intensional summaries. Then we evaluate our intensional summary strategy with two experiments. First, in Sec. 3, we test the hypothesis that users prefer summary responses in dialogue systems. We also test a refinement of that hypothesis, i.e., that users prefer summary type responses when they are unfamiliar with a domain. We compare several versions of CRUISER with the system-initiative strategy, exemplified in Fig. 1, and show that users prefer CRUISER. Then, in Sec. 4, we test four different algorithms for constructing *intensional summaries*, and show in Sec. 4.1 that two summary types are equally effective: summaries that maximize domain coverage and summaries that maximize utility with respect to a user model. We also show in Sec. 4.2 that we can predict with 68%accuracy which summary type to use, a significant improvement over the majority class baseline of 47%. We sum up in Sec. 5.

2 Intensional Summaries

This section describes algorithms which result in the four types of intensional summaries shown in Fig. 2. We first define *intensional summaries* as follows. Let D be a domain comprised of a set Rof database records $\{r_i, ..., r_n\}$. Each record consists of a set of attributes $\{A_j, ..., A_n\}$, with associated values v: $D(A_i) = \{v_{i,1}, v_{i,2}, ..., v_{i,n}\}$. In a dialogue system, a constraint is a value introduced by a user with either an explicit or implied associated attribute. A constraint c is a function over records in D such that $c_i(R)$ returns a record r if $r \subseteq D$ and $r : A_i = c$. The set of all dialogue constraints $\{c_i, ..., c_n\}$ is the context C at any point in the dialogue. The set of records R in D that satisfy C is the focal information: R is the *extension* of C in D. For example, the attribute *cuisine* in a restaurant domain has values such as "French" or "Italian". A user utterance instantiating a constraint on cuisine, e.g., "I'm interested in Chinese food", results in a set of records for restaurants serving Chinese food. Intensional summaries as shown in Fig. 2 are descriptions of the focal information, that highlight particular subsets of the focal information and make generalizations over these subsets.

The algorithm for constructing intensional summaries takes as input the focal information R, and consists of the following steps:

• Rank attributes in context *C*, using one of two ranking methods (Sec. 2.1);

Type	Ranking	#atts	Clusters	Scoring	Summary
Ref-	Refiner	3	Single	Size	I know of 35 restaurants in London serving Indian
Sing			value		food. All price ranges are represented. Some of the
					neighborhoods represented are Mayfair, Soho, and
					Chelsea. Some of the nearby tube stations are Green
					Park, South Kensington and Piccadilly Circus.
Ref-	Refiner	2	Associative	Size	I know of 35 restaurants in London serving Indian
Assoc					food. There are 3 medium-priced restaurants in May-
					fair and 3 inexpensive ones in Soho. There are also
					2 expensive ones in Chelsea.
UM-	User	3	Single	Utility	I know of 35 restaurants in London serving Indian
Sing	model		value		food. There are 6 with good food quality. There are
					also 12 inexpensive restaurants and 4 with good ser-
					vice quality.
UM-	User	2	Associative	Utility	I know of 35 restaurants in London serving Indian
Assoc	model				food. There are 4 medium-priced restaurants with
					good food quality and 10 with medium food quality.
					There are also 4 that are inexpensive but have poor
					food quality.

Figure 2: Four intensional summary types for a task specifying restaurants with Indian cuisine in London.

- Select top-*N* attributes and construct clusters using selected attributes (Sec. 2.2);
- Score and select top-N clusters (Sec. 2.3);
- Construct frames for generation, perform aggregation and generate responses.

2.1 Attribute Ranking

We explore two candidates for attribute ranking: User model and Refiner.

User model: The first algorithm utilizes decision-theoretic user models to provide an attribute ranking specific to each user (Carenini and Moore, 2000). The database contains 596 restaurants in London, with up to 19 attributes and their values. To utilize a user model, we first elicit user ranked preferences for domain attributes. Attributes that are unique across all entities, or missing for many entities, are automatically excluded, leaving six attributes: cuisine, decor quality, food quality, price, service, and neighborhood. These are ranked using the SMARTER procedure (Edwards and Barron, 1994). Rankings are converted to weights (w) for each attribute, with a formula which guarantees that the weights sum to 1:

$$w_k = \frac{1}{K} \sum_{i=k}^{K} \frac{1}{i}$$

where K equals the number of attributes in the ranking. The absolute rankings are used to select attributes. The weights are also used for cluster scoring in Sec. 2.3. User model ranking is used to produce **UM-Sing** and **UM-Assoc** in Fig. 2.

Refiner method: The second attribute ranking method is based on the Refiner algorithm for summary construction (Polifroni et al., 2003). The Refiner returns values for every attribute in the focal information in frames ordered by frequency. If the counts for the top-N(typically, 4) values for a particular attribute, e.g., cuisine, exceeded M% (typically 80%) of the total counts for all values, then that attribute is selected. For example, 82% of Indian restaurants in the London database are in the neighborhoods Mayfair, Soho, and Chelsea. Neighborhood would, therefore, be chosen as an attribute to speak about for Indian restaurants. The thresholds M and N in the original Refiner were set a priori, so it was possible that no attribute met or exceeded the thresholds for a particular subset of the data. In addition, some entities could have many unknown values for some attributes.

Thus, to insure that all user queries result in some summary response, we modify the Refiner method to include a ranking function for attributes. This function favors attributes that contain fewer unknown values but always returns a ranked set of attributes. Refiner ranking is used to produce **Ref-Sing** and **Ref-Assoc** in Fig. 2.

2.2 Subset Clustering

Because the focal information is typically too large to be enumerated, a second parameter attempts to find interesting clusters representing subsets of the focal information to use for the content of intensional summaries. We assume that the *coverage* of the summary is important, i.e., the larger the cluster, the more general the summary.

The simplest algorithm for producing clusters utilizes a specified number of the top-ranked attributes to define a cluster. Single attributes, as in the **Ref-Sing** and **UM-Sing** examples in Fig. 2, typically produce large clusters. Thus one algorithm uses the top three attributes to produce clusters, defined by either a single value (e.g., **UM-Sing**) or by the set of values that comprise a significant portion of the total (e.g., **Ref-Sing**).



Figure 3: A partial tree for Indian restaurants in London, using price range as the predictor variable and food quality as the dependent variable. The numbers in parentheses are the size of the clusters described by the path from the root.

However, we hypothesize that more informative and useful intensional summaries might be constructed from clusters of discovered *associations* between attributes. For example, associations between *price* and *cuisine* produce summaries such as *There are 49 medium-priced*

restaurants that serve Italian cuisine. We apply c4.5 decision tree induction to compute associations among attributes (Kamber et al., 1997; Quinlan, 1993). Each attribute in turn is designated as the dependent variable, with other attributes used as predictors. Thus, each branch in the tree represents a cluster described by the attribute/value pairs that predict the leaf node. Fig. 3 shows clusters of different sizes induced from Indian restaurants in London. The cluster size is determined by the number of attributes used in tree induction. With two attributes, the average cluster size at the leaf node is 60.4, but drops to 4.2 with three attributes. Thus, we use two attributes to produce associative clusters, as shown in Fig. 2 (i.e., the **Ref-Assoc** and **UM-Assoc** responses), to favor larger clusters.

2.3 Cluster Scoring

The final parameter scores the clusters. One scoring metric is based on cluster size. Single attributes produce large clusters, while association rules produce smaller clusters.

The second scoring method selects clusters of high utility according to a user model. We first assign scalar values to the six ranked attributes (Sec. 2.1), using clustering methods as described in (Polifroni et al., 2003) The weights from the user model and the scalar values for the attributes in the user model yield an overall utility U for a cluster h, similar to utilities as calculated for individual entities (Edwards and Barron, 1994; Carenini and Moore, 2000):

$$U_h = \sum_{k=1}^K w_k(x_{hk})$$

We use cluster size scoring with Refiner ranking and utility scoring with user model ranking. For conciseness, all intensional summaries are based on the three highest scoring clusters.

2.4 Summary

The algorithms for attribute selection and cluster generation and scoring yield the four summary types in Table 2. Summary **Ref-Sing** is constructed using (1) the Refiner attribute ranking; and (2) no association rules. (The quantifier (e.g., *some, many*) is based on the cover-

age.) Summary **Ref-Assoc** is constructed using (1) the Refiner attribute ranking; and (2) association rules for clustering. Summary **UM-Sing** is constructed using (1) a user model with ranking as above; and (2) no association rules. Summary **UM-Assoc** is constructed using (1) a user model with ranking of price, food, cuisine, location, service, and decor; and (2) association rules.

3 Experiment One

This experiment asks whether subjects prefer intensional summaries to a baseline systeminitiative strategy. We compare two types of intensional summary responses from Fig. 2, **Ref-Assoc** and **UM-Assoc** to system-initiative.

The 16 experimental subjects are asked to assume three personas, in random order, chosen to typify a range of user types, as in (Demberg and Moore, 2006). Subjects were asked to read the descriptions of each persona, which were available for reference, via a link, throughout the experiment.

The first persona is the *Londoner*, representing someone who knows London and its restaurants quite well. The Londoner persona typically knows the specific information s/he is looking for. We predict that the system-initiative strategy in Fig. 1 will be preferred by this persona, since our hypothesis is that users prefer intensional summaries when they are *unfamiliar* with the domain.

The second persona is the *Generic tourist* (GT), who doesn't know London well and does not have strong preferences when it comes to selecting a restaurant. The GT may want to *browse* the domain, i.e. to learn about the structure of the domain and retrieve information by recognition rather than specification (Belkin et al., 1994). We hypothesize that the **Ref-Assoc** strategy in Fig. 2 will best fit the GT, since the corresponding clusters have good domain coverage.

The third persona is the *UM tourist* (UMT). This persona may also want to *browse* the database, since they are unfamiliar with London. However, this user has expressed preferences about restaurants through a previous interaction. The UMT in our experiment is con-

cerned with price and food quality (in that order), and prefers restaurants in Central London. After location, the UMT is most concerned with cuisine type. The intensional summary labelled **Um-Assoc** in Fig. 2 is based on this user model, and is computed from discovered associations among preferred attributes.

As each persona, subjects rate responses on a Likert scale from 1-7, for each of four dialogues, each containing between three and four query/response pairs. We do not allow tie votes among the three choices.

3.1 Experimental results

The primary hypothesis of this work is that users prefer summary responses in dialogue systems, without reference to the context. To test this hypothesis, we first compare Londoner responses (average rating 4.64) to the most highly rated of the two intensional summaries (average rating 5.29) for each query/response pair. This difference is significant (df = 263, p < .0001), confirming that over users prefer an intensional summary strategy to a system-initiative strategy.

Table 1 shows ratings as a function of persona and response type. Overall, subjects preferred the responses tailored to their persona. The Londoner persona significantly preferred Londoner over UMT responses (df = 95, p < .05),but not more than GT responses. This confirms our hypothesis that users prefer incremental summaries in dialogue systems. Further, it disconfirms our refinement of that hypothesis, that users prefer summaries only when they are unfamiliar with the domain. The fact that no difference was found between Londoner and GT responses indicates that GT responses contain information that is perceived as useful even when users are familiar with the domain.

The Generic Tourist persona also preferred the GT responses, significantly more than the Londoner responses (df = 95, p < .05), but not significantly more than the UMT responses. We had hypothesized that the optimal summary type for users completely new to a domain would describe attributes that have high coverage of the focal information. This hypothesis is disconfirmed by these findings, that indicate that user

	Response Type			
Persona	London	GT	UMT	
London	5.02	4.55	4.32	
GT	4.14	4.67	4.39	
UM tourist	3.68	4.86	5.23	

Table 1: Ratings by persona assumed. London = Londoner persona, GT = Generic tourist, UMT = User Model tourist

model information is helpful when constructing summaries for any user interested in browsing.

Finally, the UM Tourist persona overwhelmingly preferred UMT responses over Londoner responses (df = 95, p < .0001). However, UMT responses were not significantly preferred to GT responses. This confirms our hypothesis that users prefer summary responses when they are unfamiliar with the domain, but disconfirms the hypothesis that users will prefer summaries based on a user model. The results for both the Generic Tourist and the UM Tourist show that both types of intensional summaries contain useful information.

4 Experiment Two

The first experiment shows that users prefer intensional summaries; the purpose of the second experiment is to investigate what makes a good intensional summary. We test the different ways of constructing such summaries described in Sec. 2, and illustrated in Fig. 2.

Experimental subjects were 18 students whose user models were collected as described in Sec. 2.3. For each user, the four summary types were constructed for eight tasks in the London restaurant domain, where a task is defined by a query instantiating a particular attribute/value combination in the domain (e.g., I'm interested in restaurants in Soho). The tasks were selected to utilize a range of attributes. The focal information for four of the tasks (*large set tasks*) were larger than 100 entities, while the focal information for the other four tasks were smaller than 100 entities (*small set tasks*). Each task was presented to the subject on its own web page with the four intensional summaries presented as text on the web page. Each subject was asked to carefully read and rate each al-

	User model	Refiner
Association rules	3.4	2.9
Single attributes	3.0	3.4
	User model	Refiner
Small dataset	3.1	3.4
Large dataset	3.2	2.9

Table 2: User ratings showing the interaction between clustering method, attribute ranking, and dataset size in summaries.

ternative summary response on a Likert scale of 1...5 in response to the statement, *This response contains information I would find useful when choosing a restaurant.* The subjects were also asked to indicate which response they considered the best and the worst, and to provide free-text comments about each response.

4.1 Hypothesis Testing Results

We performed an analysis of variance with attribute ranking (user model vs. refiner), clustering method (association rules vs. single attributes), and set size (large vs. small) as independent variables and user ratings as the dependent variable. There was a main effect for set size (df = 1, f = 6.7, p < .01), with summaries describing small datasets (3.3 average rating) rated higher than those for large datasets (3.1 average rating).

There was also a significant interaction between attribute ranking and clustering method (df = 1, f = 26.8, p < .001). Table 2 shows ratings for the four summary types. There are no differences between the two highest rated summaries: **Ref-Sing** (average 3.4) and **UM-Assoc** (average 3.4). See Fig. 2. This suggests that discovered associations provide useful content for intensional summaries, but only for attributes ranked highly by the user model.

In addition, there was another significant interaction between ranking method and setsize (df = 1, f = 11.7, p < .001). The ratings at the bottom of Table 2 shows that overall, users rate summaries of small datasets higher, but users rate summaries higher for large datasets when a user model is used. With small datasets, users prefer summaries that don't utilize user model information. We also calculate the average utility for each response (Sec. 2.1) and find a strong correlation between the rating and its utility (p < .005). When considering this correlation, it is important to remember that utility can be calculated for all responses, and there are cases where the Refiner responses have high utility scores.

4.2 Summary Type Prediction

Our experimental data suggest that characteristics associated with the set of restaurants being described are important, as well as utility information derived from application of a a user model. The performance of a classifier in predicting summary type will indicate if trends we discovered among user judgements carry over to an automated means of selecting which response type to use in a given context.

In a final experiment, for each task, we use the highest rated summary as a class to be predicted using C4.5 (Quinlan, 1993). Thus we have 4 classes: **Ref-Sing**, **Ref-Assoc**, **UM-Sing**, and **UM-Assoc**. We derive two types of feature sets from the responses: features derived from each user model and features derived from attributes of the query/response pair itself. The five feature sets for the user model are:

- *umInfo*: 6 features for the rankings for each attribute for each user's model, e.g. a summary whose user had rated *food quality* most highly would receive a '5' for the feature *food quality*;
- *avgUtility*: 4 features representing an average utility score for each alternative summary response, based on its clusters (Sec. 2.3).
- *hiUtility*: 4 features representing the highest utility score among the three clusters selected for each response;
- *loUtility*: 4 features representing the lowest utility score among the three clusters selected for each response;
- *allUtility*: 12 features consisting of the high, low, and average utility scores from the previous three feature sets.

Three feature sets are derived from the query and response pair:

 numRests: 4 features for the coverage of each response. For summary Ref-Assoc in Table 2, numRests is 43; for summary UM-Assoc, numrests is 53.;

Sys	Feature Sets	Acc(%)
S1	all Utility	47.1
S2	task, numRests	51.5
S3	all Utility, um Info	62.3^{*}
S4	all Utility, um Info, num Rests, task	
S5	avgUtility, umInfo, numRests, tas	
S6	hi Utility, um Info, num Rests, task	
S7	hi Utility, um Info, num Rests, task,	
S8	$lo{\it Utility, um Info, num Rests, task}$	60.3^{*}
S9	hi Utility, um Info	64.0^{*}

Table 3: Accuracy of feature sets for predicting preferred summary type. * = p < .05 as compared to the Baseline (S1)).

- *task*: A feature for the type of constraint used to generate the focal information (e.g., *cuisine*, *price range*).
- *dataset*: A feature for the size of the focal information subset (i.e., *big, small*), for values greater and less than 100.

Table 3 shows the relative strengths of the two types of features on classification accuracy. The majority class baseline (System S1) is 47.1%. The S2 system uses only features associated with the query/response pair, and its accuracy (51.5%) is not significantly higher than the baseline. User model features perform better than the baseline (S3 in Table 3), and combining features from the query/response pair and the user model significantly increases accuracy in all cases. We experimented with using all the utility scores (S4), as well as with using just the average (S5), the high (S6), and the low (S8). The best performance (68.4%) is for the (S7) system combination of features.

The classification rules in Table 4 for the best system (S7) suggests some bases for users' decisions. The first rule is very simple, simply stating that, if the highest utility value of the **Ref-Sing** response is lower than a particular threshold, then use the **UM-Assoc** response. In other words, if one of the two highest scoring response types has a low utility, use the other.

The second rule in Table 4 shows the effect that the number of restaurants in the response has on summary choice. In this rule, the **Ref-Sing** response is preferred when the highest util-

IF (HighestUtility: Ref-Sing) < 0.18 THEN USE UM-Assoc
<pre>IF (HighestUtility: Ref-Assoc) > 0.18) && (NumRestaurants: UM-Assoc < 400) && (HighestUtility: UM-Assoc < .47) THEN USE Ref-Sing</pre>
IF (NumRestaurants: UM-Assoc < 400) && (HighestUtility: UM-Assoc < .57) && (HighestUtility: Ref-Assoc > .2) THEN USE Ref-Assoc

Table 4: Example classification rules from System 7 in Table 3.

ity value of that response is over a particular threshold.

The final rule in Table 4 predicts **Ref-Assoc**, the lowest overall scoring response type. When the number of restaurants accounted for by **UM-Assoc**, as well as the highest utility for that response, are both below a certain threshold, and the highest utility for the **Ref-Assoc** response is above a certain threshold, then use **Ref-Assoc**. The utility for any summary type using the Refiner method is usually lower than those using the user model, since overall utility is not taken into account in summary construction. However, even low utility summaries may mention attributes the user finds important. That, combined with higher coverage, could make that summary type preferable over one constructed to maximize user model utility.

5 Conclusion

We first compared intensional summary cooperative responses against a system initiative dialogue strategy in CRUISER. Subjects assumed three "personas", a native Londoner, a tourist who was interacting with the system for the first time (GT), or a tourist for which the system has a user model (UMT). The personas were designed to reflect differing ends of the spectra defined by Belkin to characterize informationseeking strategies (Belkin et al., 1994). There was a significant preference for intensional summaries across all personas, but especially when the personas were unfamiliar with the domain. This preference indicates that the benefits of intensional summaries outweigh the increase in verbosity.

We then tested four algorithms for summary construction. Results show that intensional summaries based on a user model with association rules, or on the Refiner method (Polifroni et al., 2003), are equally effective. While (Demberg and Moore, 2006) found that their user model stepwise refinement (UMSR) method was superior to the Refiner method, they also found many situations (70 out of 190) in which the Refiner method was preferred. Our experiment was structured differently, but it suggests that, in certain circumstances, or within certain domains, users may wish to hear about choices based on an analysis of focal information, irrespective of user preferences.

Our intensional summary algorithms automatically construct summaries from a database, along with user models collected via a domainindependent method; thus we believe that the methods described here are domainindependent. Furthermore, in tests to determine whether a classifier can predict the best summary type to use in a given context, we achieved an accuracy of 68% as compared to a majority class baseline of 47%, using dialogue context features. Both of these results point hopefully towards a different way of automating dialogue design, one based on a combination of user modelling and an analysis of contextual information. In future work we hope to test these algorithms in other domains, and show that intensional summaries can not only be automatically derived but also lead to reduced task times and increased task success.

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