Annotating Modal Expressions in the Chinese Treebank

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Abstract

This paper reports an effort to annotate modality in the Penn Chinese Treebank. We introduce the modals and features that were annotated, and describe the phases of our working process. Along with this, we address the issues in the preparation of annotation guidelines, and present the preliminary results of the first pass. Finally, we analyze the types of disagreement, and propose directions to improve consistency.

1 Introduction

Since its release to the public in 2000, the Penn Chinese Treebank (Xia et al.1999) has been annotated with several layers of semantic information such as predicate-argument structures and discourse connectives (Xue 2003, 2005). Our effort, as a part of a larger cross linguistic annotation project, aims to expand this body of work with modal annotation.

Modality is the aspect of meaning that expresses states of affairs beyond the **actual** (Hacquard 2011). Distinguishing between the actual versus modal information is necessary for a wide range of natural language processing (NLP) applications such as sentiment analysis (Wiebe et al. 2005), question answering (Saurí et al 2006), medical information extraction (Mowery et al. 2012), etc.

In recent years, many efforts have been made to create resources of manually annotated modality information. These resources vary greatly in terms of what aspects of modality are annotated and how the features are marked. The diverse goals and backgrounds of the researchers determined this variety of annotation schemes. Hacquard and Wellwood (2012), for example, annotated the interpretation (root vs. epistemic) of modal words in a range of embedded contexts. Their goal is to answer a particular formal semantic question-whether epistemic modals contribute to sentence meaning, and consequently can be embedded in various environments. Mowery et al. (2012) on the other hand, targets a particular practical problem, namely distinguishing negated, affirmed and uncertain information in medical texts. Their project annotated the polarity (positive vs. negative) of sentences, and the degree of certainty (moderate vs. high) associated with a statement. Hendrickx et al. (2012) did yet another type of work, which is motivated from a theoretical perspective, but tries to facilitate potential NLP research as well. Their scheme not only covers more semantic properties of modality (what is the trigger, what is its target, who is the source of the modality, etc.), but also has a more fine-grained distinction of modal values (eight main values and several sub-values).

The goal of our annotation is similar to that of Hendrickx et al. We aim to create a resource that provides detailed semantic analyses to a set of prototypical modal expressions in Mandarin. The produced corpus will allow for both linguistic studies (e.g. the ranges of constructions a certain modal expression occurs) and various machine learning experiments.

A secondary goal of our project is to test the cross-linguistic adaptability of the schema we adopt, which is originally developed by Rubinstein

et al. (2013). This schema is supposed to be language-independent, and we applied it to Mandarin with minimum modification.

Started in the fall of 2012, we have so far completed the first pass of annotation on 200 files in the Treebank which are articles from Xinhua newswire^[1]. In this process, several goals are achieved:

- We created a first draft of annotation guidelines by modifying the guidelines designed for the parallel English annotation task.
- We calculated agreement measures for different granularities of various annotated features.
- We learned of the difficulties involved in annotation of individual features.

The paper is organized as follows. In section 2, we provide an overview of the project by outlining the modal inventory, the features annotated, and the working process. In section 3, we discuss the issues involved in developing guidelines. Section 4 presents the results of the first pass of annotation, and section 5 discusses the disagreement patterns revealed by these results. Finally, we conclude the paper in section 6.

2 Overview

The annotation is carried out with MMAX2 (Müller & Strube 2006), with a scheme of ten features, and an evolving modal-list. Two annotators are involved, and they are also responsible for the creation of guidelines and quality control.

2.1 **Working process**

Expecting constant modification of guidelines as well as human errors that need to be corrected regularly, we break the process into small rounds. Each round consists of around 200 files and is divided into four phases, (i) preprocessing of files, (ii) a blind double annotation, (iii) an evaluation, and (iv) a revision. In preprocessing, files to be annotated are prepared, and modals in the modallist are pre-highlighted for the annotators. In the phase, the two annotators independently without discussion. In the next phase, disagreement is measured and analyzed. The inconsistent instances are retrieved and reconsidered. The two annotators work together to resolve the disagreement. In the meantime, guidelines are revised to account for newly encountered issues, while true ambiguities (Rubinstein 2012) will be embraced by keeping both annotations. After revision, the result is reevaluated then re-revised, until the consistency achieves a pre-decided threshold.

PHASES

Preprocessing

Pre-highlighting modals in the modal-list

Annotation

Blind double annotation: 200 files

Evaluation

Measure Inter-annotator agreement (using Kappa score) Analyze disagreement

(employing confusion matrix)

Revision

Correct errors Resolve disagreement Revise guidelines

Table 1: working process

2.2 **Modal list**

The initial modal-list contains 11 entries collected from linguistic literature, most of which are auxiliary verbs. In the first pass, some adverbs are discovered and added to the modal inventory. The updated modal-list is shown in Table 2; the cells containing the acquired modals are shaded.

2.3 **Features**

Annotators mark not only modality type but also the relation between a modal and various components of the sentence. The annotated features are enumerated in Table 3.

^[1] We completed blind double annotation and evaluation, but have not finished error correction and guidelines revision.

Item	Pinyin	POS	Gloss	#token	
可能	keneng	Aux.	possible	74	
应该	yinggai	Aux.	should	6	
会	hui	Aux	sill	40	
可	ke	Aux	can/may	39	
必须	bixu	Aux	must	12	
得	dei	Aux	have to	8	
要	yao	Aux	need to	48	
可以	keyi	Aux	may	17	
能	neng	Aux	be able to	27	
能够	nenggo	Aux	be able to	6	
一定	yiding	Adv	definitely	3	
将	jiang	Adv	will	143	
可望	kewang	Adv	hopefully	5	
无望	wuwang	Adv	impossible	0	
应	ying	Adv	should	4	
total				432	

Table 2: modal-list

FEATURE	DESCRIPTION
Modality type	The flavor of modals; e.g.
	epistemic, deontic, etc
Predicate type	Whether the modal is in its
	comparative, equative or
	superlative form
Prejacent	The propositional argument
	of the modal
Modified element	The NP, AdjP that are
	modified by the modal
Degree indicator	The element that indicates the
	degree of the modal
Source	The entity that is responsible
	for the knowledge, rules etc.
	that the modal claim is based
	on; e.g. [sourceJohn] believes
	that Mary might come.
Background	Information that provides the
	background of the modal
	statement; see(1)
Environmental attitude	The attitude verb embedding
	the modal; see (1)
Environmental polarity	Whether the modal is in the
	scope of a sentential negation
Outscoping quantifier	A quantifier in the syntactic
	scope of a modal but
	semantically scopes over it

Table 3: features

Priority

- Deontic: the claim is based on rules, standards, social norms, etc.
- (1a) Xinwen bixu zhenshi.

 News must real

 'News must be real.'
- Bouletic: the claim is based on desires
- (1b) You should try this chocolate*.
- Teleological: the claim is based on one's goal
- (1c) Zhongguo bixu jinxing gaige, yi zengqiang
 China must make reform to improve
 zishen jingzhengli.
 self competitiveness
 'China must make reforms to improve its
 competitiveness.'

Dynamic (ability_circumstantial)

- Circumstantial: the claim is based on circumstances
- (1d) Zai ci jichu shang, jinnian de jingji prep. this basis loc. this year DE. economy zengzhang mubiao wanquan keyi shixian. growth goal completely can realize 'On this basis, this year's goal of economic growth can absolutely be achieved.'
- Ability: the claim is based on what the agent can
 do.
- (1e) Zhongguo yi neng shengchan shang wan men China already can produce over 10,000 Cl. shuzi dianhua chengkong jiaohuanji digital telephone SPC exchange 'China can already produce over 10,000 digital telephone SPC exchanges.'

Epistemic

- the claim is based on's belief of knowledge
- (1f) Jingguo shidang tiaozheng, dongya jingji through proper adjustments East Asia economy yiding hui jixu xiangqian fazhan definitely will continue forward develop 'With proper adjustment, the economy of East Asia will continue to develop.'

Table 4: examples of modality types

Following the hierarchical classification of modal flavors proposed by Portner (2009), we consider six atomic values for modality type:

^{*} We have not encountered any instance both annotators mark as bouletic. The example is from Portner (2009), p133.

epistemic, circumstantial, ability, deontic, bouletic and teleological. The last three values are subtypes of **priority** modal, while circumstantial and ability are subtypes of **dynamic** modal*. In cases where fine-grained decisions cannot be made, coarser categories are available for selection. For priority modals, in addition to the super-type *priority*, there is an option bouletic_teleological. For non-priority modals, there are epistemic_circumstantial and ability_circumstantial. These collapsed values are created on the basis of a pilot study run on Amazon's Mechanical Turk. (Rubinstein et al 2012).

Table 4 provides descriptions and examples for the atomic values; instances of the coarse classes are shown in (2a-c):

bouletic_teleological

(2a) Su-gang yao kao da yunhe
Su-gang need to rely on great canal
yunshu yuanliao he chengpin
transport raw material and product
'Su-gang Group needs to transport raw
materials and products via the Great Canal.'

epistemic_circumstantial

(2b) Shenzhen tequ jinnian guonei Shenzhen special district this year domestic shengchan zongzhi ke da yiqianyibaisanshiyi product gross can reach 11.3 billion 'GDP of Shenzhen this year can reach 11.3 billion (yuan).'

ability_circumstantial

(2c) Wanqi yi-gan jibing wangwang hui advanced hepatitis B disease often can zhuanhua wei ai turn to as cancer 'Advanced stage of hepatitis B can often turn to cancer.'

Modal tokens rarely appear with all ten features. At minimum, *modality type* is specified for each modal, and in most cases, the *prejacent* of modals is marked as well. Other frequent features include *background* and *environmental attitude*. (3) illustrates how these features are annotated.

(3) Jushanghai shi ji-wei according to Shanghai-city planning committee zhuanjia [fenxi yuce], [yao zai 2000 expert analyze estimate want to in 2000 nian shixian ren-jun guonei shengchan year realize per capita domestic product zong-zhi wu qian meiyuan de mubiao,] gross five thousand dollar DE goal san nian hanghai guonei [jin-hou from now three year Shanghai domestic shengchan zong-zhi pingjun nian-zengfu] product gross average annual-growth yao[teleological] [dadao bai-fen-zhi-shi zhi need to arrive at 10% to 1 bai-fen-zhi-vi eleven percent

'According to the analysis and estimation by the experts from the planning committee of Shanghai city, to achieve a per capita GDP of five thousand dollars by the year 2000 in the following three years, the annual GDP growth of Shanghai needs to be around 10% to 11%.'

- modal: yao, 'need to'
- **modality type**: priority --> teleological
- **prejacent**: 'in the following three years, the annual GDP growth of Shanghai needs to be around 10% to 11%'
- **background**: 'to achieve a GDP of five thousand dollars by the year 2000'
- environmental attitude: 'analyze and estimate'

3 Development of Guidelines

Because this effort is part of a larger cross linguistic annotation, in order to maintain consistency with the other project, we started by applying the guidelines that were originally created for English annotations to the Chinese annotation. It worked well for purely semantic features such as modality type and environmental polarity, but difficulties arise when it comes to the features within the syntax-semantics interface such as span of prejacent.

In cases where no instructions are applicable, we added new specifications. In updating the guidelines, real examples are always included along with the rules. In what follows, we provide

^{*} The term *dynamic* is not used in the schema. Instead the combination ability_circumstantial is adopted.

examples of the problems we have encountered and the treatments proposed.

Modals with A-not-A forms: In Chinese, a polarity question can be formed by alternating the main predicate of a sentence with its positive form (full form or the first syllable only) followed by its negative form. This kind of question is called an A-not-A question, and the form of the predicate is A-not-A form (Huang et al. 2009). Take (4) for example:

(4) Qingshaonian ke-bu-keyi xiyan juvenile may-not-may smoke 'May juveniles smoke or not? '

There are two possible annotations for A-not-A forms. One way is to treat an A-not-A form as one modal. The problem of this proposal is that if it is one markable, then the polarity of then sentence will be neither negative nor positive, and thus is illogical. The other solution is to divide A-not-A into two independent modals. The drawback of this approach is redundancy. Since the positive and negative modal will share the same set of features, the annotation is doubled.

After evaluating both approaches, we adopt the first, i.e. A-not-A is one modal, with a minor modification of the scheme, namely, adding a new value, A-not-A, to the *polarity* feature.

Potential complement: Potential complement construction is marked by the particle de (得), which appears "inside the so-called verb-result construction ($dongjie\ shi$)" or verb-direction construction ($dongqu\ shi$)". This construction "has a modal interpretation" (Xie 2012). The negation of a potential complement is formed by replacing de with the negation word bu (禾). Compare (5) and (6):

- (5) Zhangsan ban de qilai na xiang shu^[1] Zhangsan lift DE up that box(CL) book 'Zhangsan can lift up the box of books.'
- (6) Zhangsan ban bu qilai na xiang shu Zhangsan lift not up that box(CL) book 'Zhangsan cannot lift up the box of books.'

Because the modal interpretation contributes to the whole construction rather than to individual

components, we treat the whole form "verb de/bu complement" as the modal that needs to be annotated. Bu is also marked as the item indicating the negative polarity of the sentence.

Relative clauses: The original guidelines for annotating modals in relative clauses specify that the relativizer should be included in the prejacent of the modal; the head noun that the relative clause modifies should not. Consider (7):

(7) The person [that we might see] is John.

Relative clauses have a different structure in Chinese. They precede the head noun, and do not have a relativizer. Instead, there is a structural particle *de* which connects the relative clause to the nominal head.

We decided to exclude the particle *de* from the span of the prejacent, since it is not a part of the relative clause both syntactically and semantically. See (8):

(8) Gongsi jueding jiang ke [yingli baiwan company decide prep. can profit million yuan yishang] de yi zheng tao ruanjian dui yuan above DE one whole set software to yonghu kaifang.

users open

'The company decided to make open-source the whole set of software which can earn a profit of more than one million yuan.'

Temporal phrases: In many cases, a temporal phrase is contained in the syntactic scope of a modal's prejacent. Take (9) as an illustration:

(9) [Shanghai jin-nian quan nian chukou] keyi shanghai this year all year export may [chaoguo yi bai sis hi wu yi meiyuan.] exceed 14.5 billion dollar

'This year, the annual export of Shanghai may exceed 14.5 billion dollars.'

When marking the prejacent, we do not separate temporal phrases, whether they are inside or outside the scope of the modal. The reason for this is because singling out temporal phrases will make the prejacent more fragmented than necessary..

You (有)-X-modal-Y construction: As illustrated in (10), the modal-Y part expresses certain properties of X, and the verb you 'have'

^[1] The example is modified form Xie (2012), (1).

expresses the existence of X. For example, in *you-fa-ke-yi*, *ke-yi* 'can-abide' modifies the preceding noun *fa* 'law'; and the whole phrase means 'to have laws to abide by'. We did not annotate the modals in this construction, because there is no settled view about its syntactic analysis: It could be a productive morphological template, or it could be a case of postposed relative clause.

(10) a. shi women [you fa ke yi]
make we have law can abide
'to make us have laws that we can abide by
(have laws to abide by)'

b. Ta jintian [you gongzuo yao zuo] he today have work need to do 'He has work that he needs to do today.'

4 Results

As described in 2.1, we will have multiple cycles of evaluation and revision to control the quality of the annotation. This section presents the result of the first round of evaluation.

4.1 Measures of agreement

We calculated inter-annotator agreement on four features: *modality type*, *prejacent*, *background*, and *degree modifier*. Other features will be evaluated the next step. Two measures, κ score (Cohen 1960) and percentage of agreed instances, are provided. Also note that the annotated instances vary across features.

FEATURE	% OF	κ	ANNOTATED
	AGREED		INSTANCES*
Modality type	62.3	0.522	406 (253)
Degree modifier	97.8	0.390	12 (3)
Background	84.7	0.349	86 (24)
Prejacent	66.5	N/A	406 (270)

Table 5: agreement: multiple features

We set a minimum threshold of 0.6 (Carletta 1996) for kappa scores for the purpose of quality control. As shown in Table 3, the kappa scores are all lower than the threshold. It indicates that all the four features are hard to annotate, and validates the

necessity of cyclic evaluation followed by revision.

Table 4 provides kappa scores on the agreement of modality type. It presents them before and after category collapsing per individual modal. Possible values of modality type are listed in Table 5.

Modal	к all Cat.	к Collapsed	#Tokens
dei	1.0	1.0	8
jiang	0.814	0.852	143
bixu	0.406	1.0	12
neng	0.352	0.632	27
hui	0.322	0.399	40
keneng	0.310	1.0	74
ke	0.283	0.633	39
nenggou	0.28	1.0	8
keyi	0.239	0.443	17
yao	0.099	0.289	48
yinggai	-0.256	1.0	6
overall	0.522	0.815	406

Table 6: agreement: modality type

COLLAPSED	ALL CATEGOREIS
priority	priority(p),deontic(d),bouletic(b),
	bouletic_teleological(b/t)
non-priority	epistemic(e), circumstantial(c),
	epistemic(e), circumstantial(c), ability(a), ability_circumstantial(a/c),
	epistemic_circumstantial(a/c),
not set	not_set (n)
to be decided	to_be_decided (tbd)

Table 7: values and labels of modality types

The agreement scores before collapsing modality types is relatively low for most of the modals. The majority of the scores cluster around 0.3, while the extreme scores (=1.0 or < 0) are attested with low-occurrence modals. The kappa scores are generally improved after collapsing. However, some scores are still below the 0.6 threshold. We will discuss these cases in section 5.

Table 8 is the confusion matrix for modality type as marked by both annotators. We point out two obvious differences between Annotator A (columns) and Annotator B (rows):

• Among the priority types, Annotator A prefers *deontic* over *teleological* (64:13), while Annotator B does not have a strong

^{*}The figures in the parentheses are the number of instances annotated by both annotators.

preference (34:30) between them.

• Annotator A selects the coarse type *epistemic_circumstantial* much more often than Annotator B (31 vs. 3). In cases where the *epistemic_circumstantial* is chosen by Annotator A, Annotator B tended to mark the type as *circumstantial* (23/31).

	e	a	c	e/c	a/c	d	b	t	b/t	p	n	tbd	S
e	5	0	5	3	0	0	0	0	0	0	1	0	14
a	1	9	0	0	2	0	0	0	0	0	0	0	12
c	6	1	89	<u>23</u>	8	3	0	0	0	0	4	0	134
e/c	0	0	0	1	1	0	0	0	0	0	1	0	3
a/c	0	10	3	3	10	1	0	0	0	0	0	0	27
d	0	0	2	0	0	31	0	1	0	0	0	0	34
b	0	0	0	0	0	0	0	0	0	0	0	0	0
t	0	0	0	0	0	<u>16</u>	1	3	<u>9</u>	0	1	0	30
b/t	0	0	0	0	0	3	0	5	1	0	1	0	10
p	0	0	0	0	0	2	0	2	0	0	1	0	5
n	0	2	18	1	2	8	0	2	0	0	104	0	137
tbd	0	0	0	0	0	0	0	0	0	0	0	0	0
S	12	22	117	31	23	64	1	13	10	0	113	0	406

Table 8: confusion matrix of modality type

5 Discussions

To better understand annotator disagreement, we retrieved the full list of sentences where any of the four features evaluated did not agree among the annotators. Roughly, these instances fall into four classes in terms of the reason for disagreement:

- a) *Human error*: Some features are accidentally overlooked by one of the annotators, yielding disagreement.
- b) Vague guidelines: Lack of specification in the guidelines causes divergent annotations. The low κ of the degree modifier feature can mainly be attributed to vagueness.
- c) Annotator's deviation from guidelines: Annotators do not always correctly remember the individual instructions in the guidelines, and thus do not always follow

- them. This type of disagreement is commonly found in the annotation of background and prejacent.
- d) High ambiguity of the target word: we pointed out in the previous section that even with collapsed modality type, the κ scores of some modals are still relatively low. This is because they have a broader spectrum of meaning.

		non	-prio	rity		non-priority						
M	e	a	c	e/c	a/c	d	b	t	b/t	p	n	K
yao												.29 .10
hui												.40 .32
keyi												.44 .24
neng												.63 .35
ke												.63 .28
jiang												.85 .81
ying gai												1.0
yiding												1.0
neng gou												1.0 .28
ke neng												1.0 .31
bixu												1.0 .41
dei												1.0 1.0
ke wang												1.0 1.0

Table 9: semantic spectrums of modal inventory

Table 9 shows the distribution of modality types annotated for each expression. The cell is shaded if the corresponding type is chosen by at least one annotator. The darker grey cells are the majority types preferred by each annotator. In some cases the types preferred by the two annotators overlap,

but mostly they do not. From Table 9 we can generalize:

- a). It is more difficult to achieve high agreement on the annotation of a modal's flavor when the modal has many possible interpretations. This coincides with naïve intuitions.
- b). If an item has both modal and non-modal usages (*yao*, *hui*, *jiang*, *ke*, *neng*), then it is likely that the annotation of the item will arrive at a low kappa score.

Take *yao* and *hui* for illustration. These two words have both a modal usage and some other usages. The word *yao* can be used as an attitude verb meaning 'want to'. Similarly, *hui* can be used as a pure future marker without any obvious modal content. (11a-b) provides cases where one of the annotators marked the modality type of the target as *not_set*, i.e. not a modal expression. Table 10 summarizes how often the two tokens are marked as non-modal by each annotator.

- (11a) Oumeng biaoshi yao jinyibu cujin
 E.U. express YAO further promote
 shuangfang zai gelingyu de jiaoliu
 both parties in each area DE communication
 - (i) 'EU says that (it) is willing to further promote the communication between the two parties in various areas.'
 - (ii) 'EU says that the two parties need to further promote their communication in various areas.'
- (11b) *Ji nian nei, Xianggang hui chuxian* several year within, Hong Kong HUI appear *geng-duo de Zhongguo jijin* more DE China fund
 - (i) 'There will be more funds from China in Hong Kong within several years.'
 - (ii) 'There can be more funds from China in Hong Kong within several years.'

	Non-modal meaning	# not_set by both	# not_set by A	# not_set by B
yao	'want to'	4	7	12
hui	future marker	8	8	20

Table 10: tokens marked as not_set

The effect of modal/non-modal distinction

seems to be more significant than the distinction between different flavors of modality. Yet this observation needs to be tested with a larger data set

6 Conclusion

In this paper, we described our effort to annotate various aspects of modals in Penn Chinese Treebank, and reported the preliminary results of the first pass of annotation. The results show that it is hard for two annotators to achieve high agreement not only for modality type, but also for prejacent, background, and degree modifier. Therefore, multiple cycles of evaluation and revision are necessary for quality control. In effect, our project shows that, with minor adjustments, it is possible to use one scheme and set of guidelines for cross-linguistic annotation.

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