

# When less is more in Neural Quality Estimation of Machine Translation. An industry case study

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## Abstract

Quality estimation (QE) of machine translation (MT), the task of predicting the quality of an MT output without human references, is particularly suitable in dynamic translation workflows, where translations need to be assessed continuously with no specific reference provided. In this paper, we investigate sentence-level neural QE and its applicability in an industry use-case. We assess six QE approaches, which we divide into two-phase and one-phase approaches, based on quality and cost. Our evaluation shows that while two-phase systems perform best in terms of the predicted QE scores, their computational costs suggest that alternatives should be considered for large-scale translation production.

## 1 Introduction

Quality estimation (QE) (Specia et al., 2009) is the process of predicting the quality of a machine translation (MT) system without human intervention or reference translations. QE can be applied at word-, sentence-, or document-level. In the case of document- and sentence-level, the task is typically to predict a score that corresponds to a target evaluation criteria or metric (e.g., BLEU (Papineni et al., 2002), TER (Snover et al., 2006), etc.), i.e. it is a regression task. In this work, we investigate sentence-level QE, estimating TER scores.

QE has been the focus of multiple WMT shared tasks. In such tasks the common evaluation criteria are metrics that score the quality of the estimates, such as Pearson's  $r$  or Root Mean Square

Error (RMSE). However, in a commercial setting, it is important to set a balance between performance and efficiency. Furthermore, a QE solution for industry needs to be generalizable and as language-independent as possible. Feature-based methods have ranked highly in such tasks. However, neural methods have recently not only outperformed feature-based ones, from a quality perspective, but they also provide a more generalizable and language-independent solution. In our work, we first assess the predictive capabilities of neural QE (NQE) systems applied on MT data from the IT software domain, i.e. UI strings, for the English→German and English→Spanish language pairs. We then focus on the efficiency aspect. We further compare the performance of QE systems from a business perspective, i.e. using industry-established metrics.

Our contribution is two-fold: the analysis and comparison of NQE approaches, and the implementation of a new efficient method that scores on a par with the others. The use of QE in commercial setting has been discussed in previous work (Astudillo et al., 2018), but there are, to our knowledge, no published results of tests as extensive as ours of the application of QE to commercial data.

## 2 State-of-the-art

The state-of-the-art in QE was most recently presented at WMT 2018 (Specia et al., 2018a).

**Traditional versus Neural QE** In traditional feature-based QE approaches, the input is first processed and QE features are extracted. Then, these features are used to train a regression or classification model. For sentence-level QE there are 17 features that have been established as standard (Specia et al., 2013), which can be classified as black-

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box (or system-independent) or glass-box (system-dependent).

In contrast to traditional QE systems, NQE systems process source and target text in an end-to-end fashion, using neural networks (NN). It is not necessary to explicitly define QE features to feed to the NQE system. Similar to the encoder-decoder approach for MT (Sutskever et al., 2014; Cho et al., 2014; Bahdanau et al., 2015), NQE systems use one or multiple encoders to compress the input information in a context vector and use this vector to predict a quality score; the context vector implicitly encodes features used to learn estimates.

**One-phase and two-phase approaches** We classify QE in two groups: one-phase and two-phase approaches. The former have a unified architecture and are trained to generate estimates in an end-to-end fashion, with no distinct intermediate stages. The latter employ two phases in training and in testing, typically involving two networks that are trained separately; the first one targets decomposing the input (a source sentence and its MT) into features, which are then used as input for the second network to compute a QE score.

**NQE Systems** The top-scoring systems in the segment-level task at WMT 2018 were QEBrain (Wang et al., 2018) and UNQE (Li et al., 2018), both two-phase systems.

*QEBrain* is an extension of the ‘Neural Bilingual Expert model’ (Fan et al., 2018) with extra features. The first phase extracts high latent semantic and alignment information between the source and the translation output. Based on Transformer (Vaswani et al., 2017), this network builds a conditional language model – the neural bilingual expert. It is complemented with an error-prediction model which identifies possible mismatches of words. In the second phase, the features of these two models are used in a bi-LSTM model to output the QE score.

The *POSTECH* architecture (Kim et al., 2017) consists of a *word predictor* model and an *estimator* model. The predictor model is used to extract QE feature vectors (QEFVs) which are employed to train the estimator: a logistic regression model based on a summary representation of the QEFVs.

*deepQuest* (Ive et al., 2018) implements two types of architectures: (i) BiRNN (a one-phase approach) and (ii) POSTECH (a two-phase approach). The BiRNN architecture employs two

bidirectional RNNs (with GRU units) whose outputs are combined through an attention mechanism. The resulting vector representation is used to produce an estimate of quality. Similarly, the *deepQuest* implementation of POSTECH uses a bidirectional RNN to compute QEFVs.

The first-phase models of systems like QEBrain and POSTECH are typically trained on parallel data. One-phase systems, such as the *deepQuest* BiRNN, are trained only on QE data: source, MT output, and a score.

### 3 SiameseQE

Siamese NNs were proposed initially for the problems of signature verification (Bromley et al., 1993) and fingerprint recognition (Baldi and Chauvin, 1993). The model consists of two (or more) identical networks, encoding different inputs. The two networks share the same configuration with mirrored weights. Siamese NNs have also been applied to address the task of text similarity (Yih et al., 2011; Mueller and Thyagarajan, 2016) and image recognition (Koch et al., 2015).

With the aim of providing an efficient QE system, we implemented our SiameseQE with one LSTM-based RNN that encodes both source and MT sentences in so called *left* and *right* passes, respectively. The encoded representations – the RNN outputs – of both sentences are used to compute a distance score which is optimised through an MSELoss with respect to the expected TER score. We use Euclidean distance in our implementation. Given that we build on a single RNN, we use joint vocabulary so that we could train without mismatch of tokens.

We also explored three types of networks: (i) with no attention; (ii) with Soft Dot Attention (Luong et al., 2015) and (iii) with word-by-word attention, as defined in Rocktäschel et al. (2015).

Ueffing et al. (2018) presented a Siamese NN system for QE with two LSTM RNNs with tied weights, using cosine similarity. Their application identified quality levels of automatically generated product titles. We aim to further optimise the performance via a single RNN (with LSTM units) and by implementing attention mechanisms.

### 4 Use-case and data

Our use-case is QE of the translations of software UI strings from Microsoft products. The domain is, therefore, technical/IT. To train our QE sys-

tems we used proprietary Microsoft data collected from post-edits scored using TER. The language pairs are English-German (EN-DE) and English-Spanish (EN-ES). We also used parallel data from Europarl (Koehn, 2005) and from Microsoft for two-phase systems, abbreviated as EU and MS respectively. In Table 1 we present details of the QE and the extra parallel training data.

To train the one-phase systems, only the QE data was used. To train the two-phase systems (POSTECH systems and QEBrain) for EN-DE and EN-ES we used parallel data (EU or MS) for the feature-extraction part of the model, i.e. for the first phase, and the provided QE data for the QE score computation model, i.e. the second phase. We trained one POSTECH system per language pair on EU data, and another on the MS parallel data sets. The evaluation of these four systems (two per language) led to the conclusion that there were no advantages in the use of the EU data, so for the experiments with the QEBrain system we used only MS parallel data.

QE data	EN-DE	EN-ES	Extra data	EN-DE	EN-ES
Train	67 718	46 217	EU	1 863 144	1 850 469
Dev	7 524	5 136	MS	1 741 218	1 581 875
Test	32 898	34 623			

**Table 1:** Number of sentences in the QE data sets and number of parallel sentences of extra data used to train the feature-extraction part of the two-phase systems.

## 5 Experimental setup

We experimented with three different systems: *deepQuest*, *QEBrain* and *SiameseQE*. While the first two systems have been developed over an extensive period of time, have undergone significant empirical evaluations, and have achieved high rankings in WMT QE shared tasks, the last one is developed by our team for maximum efficiency.

### 5.1 Hardware and software setup

We trained our models on two GPU-powered machines: one with  $2 \times nVidia TitanX$ , 64GB RAM and an *Intel(R) Core(TM) i7-5960X* CPU; and another with  $4 \times nVidia GTX 1080Ti$ , 128GB RAM and an *Intel(R) Core(TM) i7-7820X* CPU. Each model is trained and evaluated using one GPU, with the exception of the *QEBrain* ones, which required a lot of computational power and for which we used 4 GPUs to train one model in parallel, as recommended. For fair comparison, we mir-

rored the software and configurations on the two machines using Anaconda3 virtual environments.

## 5.2 Systems hyperparameters

**deepQuest BiRNN and POSTECH.** We used the EU and MS parallel data (see Table 1) to train the POSTECH models for EN-DE and EN-ES. We used the default vocabulary size of 30 000 tokens. Sentences were clipped after length 70. The mini-batch size was set to 70.

**QEBrain** We used the following settings for the *Expert model*: max-vocab-size=49999; num-train-steps=75000; embedding-size=512; num-nits=512; num-layers=2; batch-size=512; infer-batch-size=24; metrics=BLEU; src-max-len=70; tgt-max-len=70; num-gpus=4; For the *QE model*: num-train-steps=50000; rnn-units=128; rnn-layers=1; qe-batch-size=10; infer-batch-size=10; metrics=pearson.

**SiameseQE** We used the following options: *Vocabulary*: joint; *size*: EN-DE 62 468, EN-ES 41 729; *batch size*: 64; *RNN type*: bidirectional, LSTM; *RNN units*: 64; *layers*: 2; *embedding size*: 256; *learning optimizer*: Adam (Kingma and Ba, 2014); *learning rate*: 0.001.

## 6 Evaluation

### 6.1 Business impact

We compared the performance of the NQE systems according to Microsoft’s business metrics, developed to maximise the use of MT output. As a baseline we used a non-neural QE system based on 33 features (referred to as “33features”).

The following evaluation focuses only on strings above 10 words, with TER scores below 0.3, indicative of good quality. The metrics we used are: **AUC - area under the curve**: a metric of the capacity of classification of the model;

**Throughput**: the percentage of words, out of all translated words, that is approved for publication at an optimal QE threshold. Note that, when calculated as a percentage of MTed words, these values are much higher, since a large percentage of words (up to as much as 55%) is not MTed: they are recycled from translation memories, excluded due to length restrictions, or due to the fact that they belong to high-impact strings (e.g. marketing).

**Gain**: the difference between the percentage of volume approved (below the maximum low quality admitted) by a non-QE system, and the throughput of the QE system.

**Precision:** these values are measured as ratios of words that are associated with correct TER scores, within a fine-grained optimal QE score threshold.

**Distance to ideal (DtI):** the distance between throughput scores and the respective value for an ideal QE system (a system with 100% precision, 100% recall), as estimated by Microsoft. The ideal values for throughput are: 15.49% for German and 29.32% for Spanish.

The scores in these metrics are summarised in Table 2 and Table 3.

System	AUC ↑	Thr. ↑	Gain ↑	Prec. ↑	DtI ↓
BiRNN	0.7475	12.63%	2.83%	36.97%	2.86%
POST. EU	0.7154	12.38%	2.58%	36.74%	3.11%
POST. MS.	0.7047	11.95%	2.15%	34.50%	3.54%
QEBrain	<b>0.8091</b>	<b>13.35%</b>	<b>3.55%</b>	<b>40.33%</b>	<b>2.14%</b>
S. NoATT	0.6004	10.39%	0.59%	26.64%	5.10%
S. DotATT	0.7342	12.57%	2.77%	37.39%	2.92%
S. w2wATT	0.6698	12.43%	2.63%	35.67%	3.06%
33features	0.6639	11.10%	1.30%	29.24%	4.39%

**Table 2:** Business evaluation scores of QE systems for EN-DE (best scores marked in bold).

System	AUC ↑	Thr. ↑	Gain ↑	Prec. ↑	DtI ↓
BiRNN	0.6683	21.77%	5.02%	63.42%	7.55%
Post. EU	0.6401	21.01%	4.26%	62.10%	8.31%
Post. MS	0.6708	21.92%	5.16%	63.61%	7.40%
QEBrain	<b>0.7259</b>	<b>22.82%</b>	<b>6.06%</b>	<b>65.38%</b>	<b>6.50%</b>
S. NoATT	0.5359	16.65%	-0.11%	54.95%	12.67%
S. DotATT	0.6557	21.87%	5.12%	63.62%	7.45%
S. w2wATT	0.6008	21.36%	4.60%	62.71%	7.96%
33features	0.6617	21.63%	4.88%	63.14%	7.69%

**Table 3:** Business evaluation scores of QE systems for EN-ES (best scores marked in bold).

An interesting observation in these tables is the fact that, although all systems were configured in the same way (with the exception of the vocabulary sizes determined by the available data), the scores can be clearly grouped by language pairs:

- For throughput, gain and precision, all systems trained with Spanish data achieve better scores than any system trained with German data. For example, Spanish systems show throughput values of between 22.82% and 16.65%, but the German systems are all below 13.35%.
- However, regarding distance to the ideal QE system, all German-trained systems are better than the Spanish ones: the distance to the ideal values for German is between 2.14% and 5.10%, while for Spanish it is 6.5% or more.

This clear separation between languages shows the impact of fine-tuning and optimising metrics, for different types of data and language.

The ranking of systems for German data shows that QEBrain performs best according to all metrics. The BiRNN system takes second place in all metrics except precision, in which the usually third system, SiameseDotATT, replaces it. The system that scores consistently lowest is the SiameseNoATT, followed by the 33features system.

The ranking of systems trained with Spanish data is very similar to the German ranking, with a few exceptions. QEBrain is confirmed as the best system according to all metrics. The second-best system according to most metrics (except precision) is the Postech MS system, instead of BiRNN. The SiameseDotATT ranks third for most metrics, except precision. In all metrics, the 33features system outperforms three systems (SiameseW2wATT, Postech EU and SiameseNoATT), and in terms of AUC, it also outperforms the SiameseDotATT system.

## 6.2 Model performance

We also evaluated the systems' performance with standard metrics used for the evaluation of QE systems: Pearson correlation coefficient (*Pearson r*), RMSE and MAE. *Pearson r* is a measurement of the strength of the linear dependency between two variables. Both RMSE and MAE are measures of the differences between predicted and expected values.

Previous work has noted that in order to avoid the biases and limitations of each metric, it is necessary to consider them jointly (Specia et al., 2018b). We define Equation (1) to combine these metrics and derive a rank score (denoted by  $\omega$ ), where  $\bar{r}$ ,  $\overline{MAE}$  and  $\overline{RMSE}$  are the arithmetic means of the sets of scores for each of the respective metrics.

$$\omega_i = (0.5 + \frac{0.5 \times r_i}{\bar{r}}) - (\frac{MAE_i}{\overline{MAE}} + \frac{RMSE_i}{\overline{RMSE}}) / 2 \quad (1)$$

The intuition is to allow ascending metrics to subsume descending ones and normalize over the set of all tested systems, thus generating a ranking score that takes into account not only the individual metrics and their combination, but also the distribution of these metrics' scores over all investigated systems. This method takes into account not only the ranking of the systems according to each metric, but also the distances within each metric.

The performance scores of all models are presented in Table 4 and Table 5 for EN-DE and EN-ES, respectively.

System	Pearson $\uparrow$	MAE $\downarrow$	RMSE $\downarrow$	$\omega$ $\uparrow$	Rank
BiRNN	0.4811	0.2107	0.2819	0.3169	2
Post. EU	0.4102	0.2194	0.2838	0.1883	6
Post. MS	0.4255	0.2153	0.2770	0.2312	5
QEBrain	0.6232	0.1753	0.2416	0.6726	1
S. NoATT	0.2535	0.2555	0.3176	-0.1803	7
S. DotATT	0.4277	0.2132	0.2755	0.2416	4
S. w2wATT	0.2869	0.2545	0.3609	-0.1990	8
33features	0.4585	0.2124	0.2729	0.2938	3

**Table 4:** Performance and rank scores for experiments on EN-DE.

System	Pearson $\uparrow$	MAE $\downarrow$	RMSE $\downarrow$	$\omega$ $\uparrow$	Rank
BiRNN	0.3599	0.2226	0.2914	0.0930	2
Post. EU	0.3055	0.2534	0.3214	-0.1036	6
Post. MS	0.3636	0.2292	0.2975	0.0747	3
QEBrain	0.5235	0.1856	0.2455	0.4940	1
S. NoATT	0.1115	0.2216	0.2750	-0.2530	7
S. DotATT	0.3206	0.2297	0.2898	0.0212	5
S. w2wATT	0.2993	0.3084	0.4237	-0.3975	8
33features	0.3650	0.2349	0.2935	0.0712	4

**Table 5:** Performance and rank scores for experiments on EN-ES.

These are the most important observations regarding the different system performance scores:

- QEBrain is clearly the best-performing system. It ranks first across all metrics by quite some distance to the other systems.
- BiRNN ranks second in both language pairs, although its ranks per metric are very different. In German, it ranks second in terms of Pearson’s  $r$  score and MAE, but it is only fifth for RMSE; in Spanish, it is the third system (for MAE only) or fourth system in each metric rank. However, its consistent scores make it second-best.
- The next best-ranked systems are either the POSTECH MS or the Siamese DotATTN.
- The baseline system (“33features”) has very good scores for German (second best for RMSE, and third in the other scores). In Spanish, it reaches second position for Pearson’s  $r$ , but ranks lower for the other metrics.

The rank and scores of the Siamese NoATT system called our attention:

- In Spanish, this system ranks quite highly according to MAE and RMSE (it is the second-best system according to these metrics), but it scores very poorly according to Pearson’s  $r$ . In the case of EN-ES, the variance in this system’s predictions is very low, but so is the mean:  $\sigma^2 = 0.0012$ ,  $\mu = 0.2909$ ; and the max and min values are  $max = 0.4435$ ,  $min = 0.2159$ . The error measurement based on the mean difference between

predicted and expected values will also be low, as there will not be extreme differences per assessed pair. However, Pearson’s  $r$  takes this into account and, as seen from Table 5, gives such a system a lower score. This further supports the claim that, although widely used in QE research, these three metrics should not be considered independently.

- In the case of EN-DE, the variance, mean, min and max values are broader and thus cover the distribution of TER scores more realistically.

Our ranking method balanced these disparate results, making this system rank low, as expected, in the global ranking for both language pairs.

### 6.3 Cost of the different systems

Table 6 shows training times, and Table 7 inference times, i.e., the time for the model to generate TER scores for the given input. These tables also show adjusted values for cost, as described next.

The first three systems (BiRNN, POSTECH EU and POSTECH MS) were trained on a TitanX machine, while the last four were trained on a GTX 1080Ti system. To compensate for the speed difference of these machines and obtain realistic comparative times, we ran the BiRNN model on the GTX 1080Ti machine and we calculated a speed coefficient. We also took into account that QEBrain was trained in parallel on 4 GPUs, using TensorFlow’s *in-graph* replication. To further account for this, we multiplied the time consumed for training the expert model by 4.

The ranking according to GPU costs shows how the total cost of QEBrain significantly exceeds all others: by a factor of approximately 4 for the second slowest system, by a factor of 95 for the fastest EN-DE system and a factor of 62 for the fastest EN-ES system. The biggest share of the consumed time of two-phase systems is during phase 1, when systems are learning word-level features from parallel data. The most cost-effective systems are one-phase: Siamese systems and DeepQuest BiRNN. In fact, all one-phase systems train more than 10 times faster than the fastest two-phase system. Also, since they can run on a single GPU, one-phase systems can train different models in parallel, on multi-GPU machines.

In terms of inference (prediction of the TER scores for unseen data), presented in Table 7, we notice similar trends in the time consumption for all systems, with only one exception; the deepQuest systems perform the quickest. There are

System	GPU	Original time (m)						Adjusted time (m) GPU speed coef. = 0.45					
		EN-DE			EN-ES			EN-DE			EN-ES		
		I	II	Tot.	I	II	Tot.	I	II	Tot.	I	II	Tot.
BiRNN	T	–	–	265	–	–	152	–	–	119	–	–	68
Post. EU	T	1 770	262	2 032	1 859	159	2 018	797	118	915	837	72	908
Post. MS	T	1 118	160	1 268	1 752	154	1 906	503	72	575	788	69	858
QEBrain	G	859	107	966	863	91	954	3 436	107	3 543	3 452	91	3 543
S. NoATT	G	–	–	37	–	–	86	–	–	37	–	–	86
S. DotATT	G	–	–	102	–	–	80	–	–	102	–	–	80
S. w2wATT	G	–	–	75	–	–	62	–	–	75	–	–	62

**Table 6:** Training time in minutes for phase 1, phase 2 and total, denoted as **I**, **II** and **Tot.** respectively. Training time for single-phase systems is only marked as total for readability.

System	GPU	Original time (s)				Adjusted time (s) speed coef. = 0.45			
		EN-DE		EN-ES		EN-DE		EN-ES	
		val.	test	val.	test	val.	test	val.	test
BiRNN	T	15	62	10	71	7	28	5	32
Post. EU	T	56	213	40	242	25	96	18	109
Post. MS	T	56	209	40	244	25	94	18	110
QEBrain	G	42	163	30	195	43	163	30	195
S. NoATT	G	29	136	20	144	29	136	20	144
S. DotATT	G	32	146	22	157	32	146	22	157
S. w2wATT	G	32	148	22	161	32	148	22	161

**Table 7:** Inference time (in seconds) for the validation and the test sets. Number of sentence pairs for the validation set for EN-DE and EN-ES: 7525, 5136 respectively; for the test set for EN-DE and EN-ES: 32898, 34623 respectively.

several factors that play a role here, one of which is the batch size. In the experiments for the Siamese networks we invoke per-sentence inference, i.e., the batch size during test is equal to 1.

In a commercial setting, latency is critical, as it is essential that a deployed QE model does not introduce any additional latency into the workflow. A factor in favour of the one-phase systems is memory consumption. While typically two-phase systems would consume almost 100% of the GPU memory, the one-phase systems with our configuration would only consume between 70% – 90%. This would suggest that, by adapting the training hyperparameters of the one-phase systems to maximally utilise the GPU hardware, one can expect that either one model can be trained faster, or multiple models can be trained on the same GPU, e.g., by adapting the batch or vocabulary size. We also ought to note the size of models and additional files stored on the disk as an extra cost worth considering, one which is optimal for SiameseQE systems.

While the numbers in the previous rankings are in favour of the two-phase systems, we suggest that these rankings should be considered in combination with costs of implementation and use of such systems. We also point out that other business fac-

tors must be taken into account when evaluating such systems. For example, two-phase systems require more training data, which may not be easily available, or of sufficiently high quality. In addition, other computing resources increase the cost of ownership or rental of equipment, or the maintenance and optimisation cost for such systems. All these issues should be addressed in future research.

## 7 Conclusion – discussion of results and future work

This paper investigates NQE applied to industry data. We tested existing deepQuest (BiRNN and POSTECH) and QEBrain systems and the newly-introduced SiameseQE (no attention, Soft Dot attention and word-to-word attention). We conducted a series of experiments to test the performance of these systems on data provided by Microsoft and with additional training data.

Our evaluation shows that the QEBrain system outperforms all others, but is by far the most computationally expensive. An important outcome of our work is the observation that simpler, one-phase systems like BiRNN and Siamese networks show very promising results with low computational costs and easy implementations. In addition, the Siamese NN systems evidence reasonable room for improvement. Using attention yields much better results. We should also note that the baseline system – a statistical QE system – performs quite well. This suggests that statistical, feature-based systems can potentially be integrated into new hybrid approaches.

**Acknowledgements** The ADAPT Centre for Digital Content Technology is funded under the SFI Research Centres Programme (Grant 13/RC/2106) and is co-funded under the ERD Fund. Félix do Carmo collaborates under an Horizon 2020 programme: EDGE COFUND Marie Skłodowska-Curie Grant Agreement no. 713567.

We would also like to thank F. Blain for the useful comments.

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