Exploring Description-Augmented Dataless Intent Classification

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Abstract

 In this work, we introduce several schemes to leverage description-augmented embedding similarity for dataless intent classification us-**ing current state-of-the-art (SOTA) text embed-** ding models. We report results of our methods on three commonly used intent classification datasets and compare against previous works of a similar nature. Our work shows promising results for dataless classification scaling to a large number of unseen intents, yielding com- petitive results to, and in some situations outper- forming strong zero-shot baselines, all without training on labelled or task-specific data. Fur- thermore, we provide qualitative error analysis 015 of the shortfalls of this methodology to help guide future research in this area.

017 1 **Introduction**

018 Task-oriented dialogue systems (TODS) by design, aid the user in accomplishing tasks within specific domains, and can have a wide range of applications [f](#page-9-0)rom shopping [\(Yan et al.,](#page-10-0) [2017\)](#page-10-0) to healthcare [\(Wei](#page-9-0) [et al.,](#page-9-0) [2018;](#page-9-0) [Valizadeh and Parde,](#page-9-1) [2022\)](#page-9-1). Modu- lar TODS [\(Wen et al.,](#page-9-2) [2017\)](#page-9-2) will typically contain [a](#page-8-0)n intent classification component [\(Louvan and](#page-8-0) [Magnini,](#page-8-0) [2020;](#page-8-0) [Chen et al.,](#page-8-1) [2019;](#page-8-1) [Su et al.,](#page-9-3) [2022\)](#page-9-3) used by the dialogue manager to determine the appropriate task the user intends to complete. In recent years, neural-based models using supervised training have reached state-of-the-art on many natu- ral language processing tasks, including intent clas- sification. However, supervised learning methods require human-labelled data for a predefined set of intents, which may be time-consuming and labour- intensive to acquire [\(Xia et al.,](#page-9-4) [2018\)](#page-9-4), and may have poor scalability if new intents are added, or task def- inition changed. An early approach to tackle this [p](#page-8-2)roblem is *dataless intent classification* [\(Chang](#page-8-2) [et al.,](#page-8-2) [2008;](#page-8-2) [Song and Roth,](#page-9-5) [2014\)](#page-9-5) which aimed to leverage the pairwise similarities between semantic representations of utterances and intent classes to

perform classification without reliance on human- **041** labelled data. However, this approach relies heavily **042** [o](#page-8-2)n the quality of semantic representations [\(Chang](#page-8-2) **043** [et al.,](#page-8-2) [2008\)](#page-8-2). In recent years, successful *zero-shot* **044** *intent classification* approaches [\(Liu et al.,](#page-8-3) [2019;](#page-8-3) **045** [Yan et al.,](#page-10-1) [2020;](#page-10-1) [Yin et al.,](#page-10-2) [2019\)](#page-10-2) have received 046 greater attention, whereby learning conducted us- **047** ing labelled examples of a subset of *seen* intent **048** labels is transferred to *unseen* intents. However, **049** these methods still require human-labelled data, **050** and tend to bias towards seen intents, with the num- **051** ber of unseen intents also generally much lower **052** that seen intents [\(Liu et al.,](#page-8-4) [2022;](#page-8-4) [Zhang et al.,](#page-10-3) **053** [2022\)](#page-10-3). With the significant recent advancements in **054** [t](#page-8-5)he quality of text embedding models [\(Muennighoff](#page-8-5) **055** [et al.,](#page-8-5) [2023\)](#page-8-5), we explore the potential for dataless **056** intent classification methods using a number of re- **057** cent state-of-the-art text embedding models. We **058** introduce several approaches for generating inter- **059** mediate textual representations for intents, most no- **060** tably using intent label descriptions, and formalise **061** our methodology. We perform extensive evalua- **062** tion of our methods, including scenarios with large **063** numbers of intents from different domains, using 064 three commonly used intent classification datasets. **065** We summarise our contributions as follows: **066**

- We introduce a new scheme for generating **067** intent descriptions with an aim to minimise **068** reliance on human expert input. **069**
- We show that our intent descriptions yield **070** significant improvements over label tokeniza- **071** tion and synthetic utterances through exten- **072** sive evaluation. **073**
- We aggregate and explore the potential of a **074** multitude of current SOTA text embedding **075** models for dataless classification. **076**
- We implement and evaluate a method for gen- **077** erating and utilising synthetic examples for **078** dataless classification. **079**
- We extensively evaluate our methodology **080** on three commonly used intent classification **081**

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082 datasets and report on the results.

083 • We provide qualitative error analysis aimed at **084** guiding future work.

⁰⁸⁵ 2 Related Works

086 2.1 Generalized Zero-Shot Learning

 Zero-shot learning (ZSL) [\(Yin et al.,](#page-10-2) [2019\)](#page-10-2) aims to leverage learning previously performed on labeled examples from seen tasks to unseen tasks, of which there are no labeled examples available for super- vised training. ZSL has seen increasing popularity in the domain of intent classification [\(Liu et al.,](#page-8-3) [2019;](#page-8-3) [Yan et al.,](#page-10-1) [2020\)](#page-10-1) in recent years, whereby models are trained on a subset of intent labels and evaluated on another disjoint subset of intent labels. In more recent years, the concept of generalized zero-shot learning (GZSL) has seen an increase in prominence in the domain, in which the perfor- mance on both seen and unseen classes are consid- ered in tandem [\(Zhang et al.,](#page-10-3) [2022;](#page-10-3) [Lamanov et al.,](#page-8-6) [2022\)](#page-8-6). Several GZSL approaches learn a label pro- totype space during training, which is transferred to unseen classes through methods such as inter- class relationship modelling [\(Zhang et al.,](#page-10-4) [2021\)](#page-10-4) and prototype adaptation [\(Zhang et al.,](#page-10-3) [2022\)](#page-10-3). Ap- proaches such as [\(Lamanov et al.,](#page-8-6) [2022\)](#page-8-6) encode the utterance and labels in a sentence-pair setup, with template-based lexicalisation of labels used as class prototypes. Other approaches exist that use label prototypes as centroids in Gaussian mixture models trained on seen class utterances [\(Yan et al.,](#page-10-1) [2020;](#page-10-1) [Liu et al.,](#page-8-4) [2022\)](#page-8-4). An issue that can occur with GZSL is bias towards seen classes [\(Zhang et al.,](#page-10-3) [2022\)](#page-10-3), which can lead to significantly lower perfor- mance on unseen classes. It is also difficult to see the efficacy of transfer to a large number of diverse unseen classes, as the number of unseen classes in evaluation are also typically much smaller than the number of seen classes.

120 2.2 Dataless Classification

Dataless text classification [\(Chang et al.,](#page-8-2) [2008\)](#page-8-2) is defined as tackling text classification without prior training on any labelled data. Generally regarded as a precursor to zero-shot text classification, this ap- proach typically leverages sentence representations without any training on labelled data, by comparing the semantic representations between a sentence and that of the intent classes [\(Song and Roth,](#page-9-5) [2014\)](#page-9-5). [\(Zha and Li,](#page-10-5) [2019\)](#page-10-5) utilises "seed" words associated with each intent class to further contextualise the intent class representation, as a single word may **131** often be insufficient to encapsulate the meaning **132** of the class [\(Chen et al.,](#page-8-7) [2015\)](#page-8-7). Some approaches **133** further leverages class hierarchy to augment classi- **134** fication performance [\(Li et al.,](#page-8-8) [2016;](#page-8-8) [Popov et al.,](#page-9-6) **135** [2019\)](#page-9-6). **136**

3 Methodology **¹³⁷**

3.1 Problem Definition 138

Let C be a set of intents supported by a task- 139 oriented dialogue system, $\mathcal{U} = \bigcup \{ \mathcal{U}_c \}_{c \in \mathcal{C}}$ defines 140 the set of all user utterances, $\mathcal{U}_c = \{u_i\}_{1 \leq i \leq n_c}$ is the set of utterances belonging to intent class c. The **142** model undergoes no task-specific training and is **143** tasked with making an intent prediction \hat{y}_i for a previously unseen utterance u_i at inference time. We **145** follow the paradigm set by previous works in data- **146** [l](#page-9-5)ess text classification [\(Chang et al.,](#page-8-2) [2008;](#page-8-2) [Song](#page-9-5) **147** [and Roth,](#page-9-5) [2014\)](#page-9-5) to conduct nearest-neighbour clas- **148** sification over the sentence embedding space. For 149 a given utterance u_i , an encoder $h(\cdot)$ and a set 150 of class label representations $\{l_c\}_{c \in \mathcal{C}}$, we make a 151 prediction \hat{y}_i as follows: **152**

$$
\hat{y}_i = \arg\max_c s(\mathbf{h}(u_i), \mathbf{h}(l_c)) \tag{153}
$$

is **141**

where $s(\mathbf{u}, \mathbf{v}) = \mathbf{u} \cdot \mathbf{v}/||\mathbf{u}||_2||\mathbf{v}||_2$ is the cosine 154 similarity between two vectors. **155**

In order to conduct nearest-neighbour classifica- **156** tion using intent labels, we require an intermediate **157** representation, or prototype, which encapsulates **158** [t](#page-10-5)o some degree the meaning of a class [\(Zha and](#page-10-5) **159** [Li,](#page-10-5) [2019\)](#page-10-5), from which we can obtain a suitable 160 embedding. A commonly used approach in data- **161** less classification is to use the labels [\(Chang et al.,](#page-8-2) **162** [2008\)](#page-8-2). **163**

3.2 Label Tokenization 164

A class prototype is obtained by tokenizing intent **165** labels directly, inserting spaces and replacing char- **166** acter separators, i.e. **167**

AddToPlaylist → Add To Playlist oil_change_how → Oil Change How

However, this approach depends on the descrip- **168** tiveness of the original intent labels, which can **169** vary significantly between datasets and tasks. As **170** such, we propose an additional step to produce 171 intent label *descriptions* which we hypothesise **172** can (1) better align the semantic representation **173**

Table 1: Example descriptions for intent labels from

each of the datasets used in our experimentation (Section [4.1\)](#page-2-1).

205 In our experimentation (Section [4\)](#page-2-2), our intent **206** descriptions added on average 6.6 tokens to the 207 tokenized intent labels $(1.9 \rightarrow 8.5)$, with 98.3% of descriptions containing at least one of the label **208** tokens in exact form, and 82.7% of all label tokens **209** preserved. **210**

3.3.2 Synthetic Examples **211**

We compare additionally against synthetic utter- 212 ance generated for each intent class. We leverage **213** gpt-3.5-turbo [\(OpenAI,](#page-9-7) [2023\)](#page-9-7) for this pur- **²¹⁴** pose, by including the tokenized intent labels and **215** label description within the prompt to generate a **216** set S of questions or commands fitting said intent 217 i.e. "*Given a category* tokenized_intent *and* **²¹⁸** *the description* description*, Please generate* **219** n *different example sentences of users asking ques-* **220** *tions or making commands that fit the given cate-* **221** *gory.*". At inference time, we sample k synthetic **222** examples for c classes and make prediction \hat{y}_i as 223 follows: **224**

$$
\hat{y}_i = \argmax_c \frac{\sum_{m}^{k} s(\mathbf{h}(u_i), \mathbf{h}(s_m^c))}{k}
$$

225

where s_m^c denotes the m^{th} example utterance be- $\frac{226}{2}$ longing to intent class $c \in \mathcal{C}$. Examples of syn- **228** thetic utterances can be found in Appendix [A.1.](#page-10-6) **229** We report on the results separately in Section [5.5](#page-5-0) 230 and the full results can be seen in Appendix [A.2.](#page-10-7) **231** We also consider synthetic examples generated us- **232** ing gpt-4 but found the average performance to **²³³** be lower on our task (Appendix [A.3\)](#page-10-8). **234**

4 Experiments **²³⁵**

4.1 Datasets **236**

We evaluate our methods on three commonly used **237** English task-oriented dialogue (TOD) system in- **238** [t](#page-8-9)ent classification datasets. (1) ATIS [\(Hemphill](#page-8-9) **239** [et al.,](#page-8-9) [1990\)](#page-8-9) is an English air-travel information **240** system dataset containing 18 intent classes. For 241 [c](#page-10-3)omparison, we follow previous works [\(Zhang](#page-10-3) **242** [et al.,](#page-10-3) [2022\)](#page-10-3) in filtering out intent classes con- **243** taining fewer than 5 examples. (2) SNIPS-NLU **244** [\(Coucke et al.,](#page-8-10) [2018\)](#page-8-10) contains 7 intent classes, to- **245** [t](#page-8-11)alling 14,484 utterances. (3) CLINIC [\(Larson](#page-8-11) **246** [et al.,](#page-8-11) [2019\)](#page-8-11) is a dataset for out-of-scope intent clas- **247** sification, with 150 intents and 22,500 utterances **248** spanning 10 domains. As our method does not **249** involve fine-tuning on task-specific data, we con- **250** sider *entire* datasets to consist of unseen data for **251** evaluation. **252**

4.2 Models **253**

We select 11 models from the Massive Text Em- **254** bedding Benchmark (MTEB) [\(Muennighoff et al.,](#page-8-5) **255**

Label Description abbreviation "user is asking what an abbreviation stands for or means" flight_no "user is asking about a flight number" AddToPlaylist "user wants to add a song to a playlist" food_last "user wants to know how long a food lasts maybe "user is expressing uncertainty"

 with the characteristics of the class and (2) pro- vide more consistent performance across datasets or approaches without requiring in-task data, which previous works [\(Lamanov et al.,](#page-8-6) [2022\)](#page-8-6) have shown could improve performance over purely using tok-

182 Our objective for generating intent label descrip-**183** tions is to produce a brief description of the intent **184** expressed by the user in a given utterance, while en-

¹⁹¹ tent label i.e. car_rental → User wants **¹⁹²** to rent a car, or replace with an appropriate

 Format Consistency Descriptions should be written in the declarative form, beginning with either "User is [asking|saying]", or "User wants [to]", and aim to introduce minimal extraneous tokens. Our approach differs [f](#page-8-6)rom the template-based approach in [\(Lamanov](#page-8-6) [et al.,](#page-8-6) [2022\)](#page-8-6) in that we use exclusively the declar- ative form in writing our descriptions to maintain consistency across intent classes and datasets. Ex-ample descriptions can be seen in Table [1,](#page-2-0) more

193 word (lexical cognates, synonyms etc.).

204 examples can be found in Appendix [A.1.](#page-10-6)

185 suring the process requires minimal expert human **186** effort as to remain scalable for large numbers of **187** intent classes. We formalise our process for writing **188** intent descriptions as follows: **189** Label Preservation The resulting intent descrip-**190** tion must contain tokens from the original in-

179 enized labels.

180 3.3 Our Approach

181 3.3.1 Intent Description

256 [2023\)](#page-8-5) that are in the top 20 at the time of writing[1](#page-3-0) **257** . Our selections are based of the following **258** criteria: (1) the model weights must be released **259** (2) documentation of training methods and experi-**260** mentation details must be readily available. Addi-[2](#page-3-1)61 tionally, owing to computational limits², we only **262** consider models up to 3GB in size. Basic model **263** specifications are shown in Table [2.](#page-3-2)

Model	\boldsymbol{s}	d_h	l	$\mu_{\mathbf{MTEB}}$
InstructOR _{Large}	1.34	768	512	61.59
$E5-v2_{Base}$	0.44	768	512	61.50
$E5-v2_{Large}$	1.34	1024	512	62.25
Multilingual- $E5_{Large}$	2.24	1024	514	61.50
$E5_{Large}$	1.34	1024	512	61.42
GTE_{Small}	0.07	384	512	61.36
GTE_{Base}	0.22	768	512	62.39
GTE_{Large}	0.67	1024	512	63.13
BGE_{Small}	0.13	384	512	62.17
BGE_{Base}	0.44	768	512	63.55
\mathbf{BGE}_{Large}	1.34	1024	512	64.23
OpenAI-Ada-002		1536	8191	60.99

Table 2: Specifications of selected models grouped by training method. Column s shows model size (GB), d_h embedding dimensions, *l* maximum sequence length and μ_{MTEB} averaged performance on MTEB benchmark.

 InstructOR [\(Su et al.,](#page-9-8) [2023\)](#page-9-8) embeds the utter- ance with a task description, allowing for task- specific conditioning at inference time, with good performance on unseen domains. Trained on 330 [d](#page-9-9)atasets using a contrastive learning objective [\(Ni](#page-9-9) [et al.,](#page-9-9) [2022\)](#page-9-9). This family of models is initialised from GTR [\(Ni et al.,](#page-9-9) [2022\)](#page-9-9) models, which are in-turn initialised from T5 [\(Raffel et al.,](#page-9-10) [2020\)](#page-9-10) models.

 E5 [\(Wang et al.,](#page-9-11) [2022\)](#page-9-11) performs unsupervised pretraining on the model on ∼270M text pairs us- ing an InfoNCE [\(van den Oord et al.,](#page-9-12) [2019\)](#page-9-12) ob- jective with other utterances within the batch act- ing as negative examples, followed by supervised fine-tuning on 3 datasets. We select the *Base* and *Large* variants, initialised from *bert-base-uncased* and *bert-large-uncased-whole-word-masking* re-spectively.

281 GTE [\(Li et al.,](#page-8-12) [2023\)](#page-8-12) pretrains the model on **282** ∼800M text pairs and fine-tunes using 33 datasets. The contrastive learning objective used in this work **283** considers, for each query-document pair (q_i, d_i) in 284 a batch, the pairwise relation to the remaining ex- **285** amples $\{(q_j, d_j)\}_{j \neq i}$. The embedding similarities 286 $s(q_i, d_j)$, $s(q_i, q_j)$, $s(d_i, d_j)$ are added to the parti-
287 tion function, where $s(q, d)$ is the cosine similarity 288 between two embeddings. **289**

BGE The work [\(Xiao et al.,](#page-10-9) [2023\)](#page-10-9) initialised **290** from BERT [\(Devlin et al.,](#page-8-13) [2019\)](#page-8-13) models and trained **291** using RetroMAE [\(Xiao et al.,](#page-9-13) [2022\)](#page-9-13) whereby both **292** the input sentence and sentence embeddings in an **293** autoencoder setup are randomly masked during **294** MLM training. The authors use [CLS] token em- **²⁹⁵** beddings as the sentence representation. Our ex- **296** perimentation showed a slight improvement when **297** using averaged token embeddings (Mean perfor- **298** mance +0.82% *Tokenized-labels*, +1.06% *Class-* **299** *description*). **300**

We report results in Section [5](#page-3-3) for all E5, 301 GTE and BGE models using averaged token em- **302** beddings as sentence representations. We ad- **303** ditionally compare model performances against **304** a commonly used embedding model in Ope- **305** [n](#page-9-14)AI's text-embedding-ada-002 [\(Neelakan-](#page-9-14) **³⁰⁶** [tan et al.,](#page-9-14) [2022\)](#page-9-14) which we refer to in our tables as **307** 'OpenAI-Ada-002'. **308**

5 Results **³⁰⁹**

5.1 Baselines and Terminology 310

We compare the performance of our methods **311** against several unknown intent classification meth- **312** ods previously detailed in Section [2.](#page-1-0) Here we clar- **313** ify the terminology used henceforth to refer to these **314** methods in our results. We refer to scores on un- **315** seen intent labels reported by [\(Zhang et al.,](#page-10-4) [2021\)](#page-10-4) 316 as ICR, [\(Yan et al.,](#page-10-1) [2020\)](#page-10-1) as SEG, [\(Liu et al.,](#page-8-4) [2022\)](#page-8-4) **317** as ML-SEG, dataless approach trained using origi- **318** nal data from [\(Lamanov et al.,](#page-8-6) [2022\)](#page-8-6) as TIR_{Oria} 319 and likewise TIR_{Syn} for training on synthetic data. **320** We refer to the results of the adapted method of **321** [\(Gidaris and Komodakis,](#page-8-14) [2018\)](#page-8-14) reported in [\(Zhang](#page-10-3) **322** [et al.,](#page-10-3) [2022\)](#page-10-3) as CosT and the reported main results **323** as LTA. **324**

5.2 Metrics **325**

Following from previous works [\(Zhang et al.,](#page-10-3) [2022;](#page-10-3) **326** [Lamanov et al.,](#page-8-6) [2022\)](#page-8-6), we report Accuracy and **327** Macro-F1 scores for intent classification on each **328** of the datasets. In addition, we also compute the **329** average of Accuracy and F1 score for direct model **330**

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²All experiments conducted using a single 9GB GPU

Table 3: Performance of baseline and selected models on 3 intent classification tasks. We report accuracy, macro-f1 score and the mean of both for each dataset. For each metric, **bold** denotes highest score, underline denotes second-highest

331 comparison similar to [\(Gritta et al.,](#page-8-15) [2022\)](#page-8-15). Results **332** are shown in full in Table [3.](#page-4-0)

333 5.3 Methods using Tokenized Labels

 Despite a lack of task-specific fine-tuning, models using tokenized intent labels generally performed comparably to most of the baselines on unseen in- tents. The average performance across all mod- els for each dataset is shown in Table [4.](#page-5-1) The best-performing model (GTE_{Base}) outperforms ICR (+20.63 Mean) on the ATIS dataset, SEG (+12.30 Mean) and ML-SEG (+5.23 Mean) on the SNIPS-NLU dataset and both TIR approaches $(+2.15 \text{ Mean vs TIR}_{Orig}, +11.00 \text{ Mean vs TIR}_{Syn})$ 343 on the CLINIC dataset. GTE_{Base} outperforms 344 CosT on all 3 datasets (+10.04 Mean ATIS, +26.47 **345** Mean SNIPS-NLU, +4.15 Mean CLINIC); how- **346** ever, it also significantly underperforms LTA on all **347** 3 datasets (-4.89 Mean ATIS, -7.79 Mean SNIPS- **348** NLU, -4.92 Mean CLINIC). We note the average **349** performance across 12 models remains compet- **350** itive with baselines other than LTA, though this **351** approach appears quite sensitive to model as indi- **352** cated by the comparatively high standard deviation **353** (Table [4\)](#page-5-1). **354**

Table 4: Performance mean μ and standard deviation σ across all 12 selected models for each of the 3 evaluation datasets. Desc-Tok denotes the individual differences in performance between using tokenized labels and intent descriptions.

355 5.4 Methods using Intent Descriptions

 Our method using intent label descriptions yields a significant improvement over using tokenized la- bels (Table [4\)](#page-5-1), with an average increase per model of +20.19% on the ATIS dataset, +10.61% on the SNIPS dataset and +7.36% on the CLINIC dataset. This appears to support our hypthesis (1) (Section [3.2\)](#page-1-1) in that the additional contextualisation added through describing the label via a declarative sen- tence better encapsulates the semantic information represented by a label. We also note from Ta- ble [4](#page-5-1) that the standard deviation in performance across models is significantly lower when using descriptions, supporting our hypothesis (2) that descriptions can improve consistency across mod- els and approaches. Our overall best performing 371 model (BGE_{Large}) also considerably outperforms the strongest baseline (LTA) in both SNIPS (89.30 vs 87.16) and CLINIC (79.00 vs 74.46). We do note that all of our approaches underperform on the ATIS dataset compared to the baseline, with our overall best-performing approach yielding 53.38 vs 60.55, we provide further insight into possible reasons in Section [6](#page-5-2) to help guide future research.

379 5.5 Methods using Synthetic Data

 We evaluate the efficacy of methods using syn-381 thetic examples by generating a set of $n = 20$ synthetic examples, from which we sample k to act as class prototypes, we repeat this procedure 20 times and compute the average performance across all samples. Table [5](#page-5-3) shows averaged model perfor- mance across all 12 selected models and samples **for** $k = [1, 3, 5, 10, 15]$. For full results see Ta- ble [11](#page-14-0) in Appendix [A.2.](#page-10-7) We conducted additional experimentation with $k > 15$ but found further in-creasing k did not yield significant improvements

Table 5: Averaged mean of accuracy and macro-f1 scores experiments conducted across 20 samples and 12 models using k number of synthetic examples per intent class. Δ_{Label} and Δ_{Desc} are differences to the averaged performance of methods using tokenized labels and intent descriptions respectively.

in performance. We note our method using $k = 15$ 391 synthetic examples outperforms tokenized labels **392** on SNIPS (80.06 vs 76.30) and CLINIC (69.99 vs **393** 67.18) datasets, but underperforms slightly on the **394** ATIS dataset (31.12 vs 31.70). Synthetic examples **395** underperforms description-based methods by a con- **396** siderable margin on all datasets, suggesting single **397** intent label descriptions can be more powerful as **398** class prototypes than synthetic instances. We note **399** also the higher standard deviation σ in performance 400 compared to the description-augmented method but **401** lower compared to methods using tokenized labels. **402**

6 Analysis **⁴⁰³**

Figure [1](#page-6-0) shows the embeddings generated by our 404 best-performing model (BGELarge) on the 3 eval- **⁴⁰⁵** [u](#page-9-15)ation datasets visualised using t-SNE [\(van der](#page-9-15) **406** [Maaten and Hinton,](#page-9-15) [2008\)](#page-9-15), along with the embed- **407** ding for the intent label description. Due to the **408** challenge to readability posed by the large number **409** of intents in the CLINIC dataset, instead sample **410** the 15 top-performing (100% accuracy) and lowest- **411** performing (24.47% accuracy) intent classes for **412** illustration, with the results shown in Figures [1c](#page-6-0) **413** and [1d](#page-6-0) respectively. 414

In-Domain Saturation We observe a poor align- **415** ment on the ATIS dataset between the intent label **416** descriptions (Figure [1a](#page-6-0)) and utterance embeddings **417** corresponding to each class, possibly explaining **418**

Figure 1: t-SNE [\(van der Maaten and Hinton,](#page-9-15) [2008\)](#page-9-15) visualisation of embeddings computed using BGE_{Large}, class label description embeddings are shown in black and labelled. (a) Embeddings of ATIS (b) Embeddings of SNIPS (c) Embeddings of top 15 classes from CLINIC (d) Embeddings of bottom 15 classes from CLINIC.

Dataset $\left \mu_{s_{in}} \ \sigma_{s_{in}}\right \mu_{s_{out}} \ \sigma_{s_{out}} \left \ \Delta_s \ \ \%\Delta_s\right $			
$\begin{tabular}{c ccc ccc} ATIS & 0.80 & 0.06 & 0.73 & 0.05 & 0.07 & 8.33 \\ SNIPS & 0.76 & 0.04 & 0.68 & 0.03 & 0.08 & 10.09 \\ CLINIC & 0.83 & 0.05 & 0.68 & 0.04 & 0.15 & 17.98 \\ \end{tabular}$			

Table 6: Mean embedding similarity of sentences within the same class (*in*) and different classes (*out*). Δ_s denotes the average difference between *in*-class and *out*class, $\%\Delta_s$ denotes the percentage average difference of similarity.

 the poor performance in general on this dataset across models. We note the single-domain nature of the ATIS dataset, with all utterances relating to air-travel/flight, additionally, we note the signifi- [c](#page-8-16)antly imbalanced nature of the ATIS dataset [\(Nan](#page-8-16) [et al.,](#page-8-16) [2021\)](#page-8-16), with ∼ 74% of utterances belonging to the flight class, which is a label that overlaps the domain of the dataset. We hypothesise this may lead to the intent label descriptions being much worse at capturing semantic information distinct to each class. This is supported by analysis on the pairwise embedding similarities of utterances be- longing to the same class vs utterances belonging to difference classes (Table [6\)](#page-6-1) where models' embed- dings on the ATIS dataset consistently had lower percentage-difference in embedding similarity be- tween *in*-class and *out*-class, implying more diffi-culty in distinguishing the utterances using solely

embeddings. This issue does not appear as promi- **437** nently in SNIPS or CLINIC likely due to domains **438** being largely more distinct, though it is still visible **439** in the lower-performing classes in CLINIC (Figure **440** [1d](#page-6-0)). **441**

Keyword/Lexical Overlap Another source **442** of misclassifications may arise in situations **443** whereby the class utterance embedding 444 spaces overlap, whilst the intent label de- **445** scription embedding is aligned with the **446** utterance embeddings. This can be seen for **447** example with SearchScreeningEvent **⁴⁴⁸** ←→ SearchCreativeWork in Figure [1b](#page-6-0), **⁴⁴⁹** play_music ←→ update_playlist and **⁴⁵⁰** user_name ←→ change_user_name from **⁴⁵¹** Figure [1d](#page-6-0). This appears to be due to the significant **452** lexical overlap between utterances within the two **453** classes, i.e. referring to common topics, keywords, **454** irrespective of the domain of the classes. **455**

Embedding Similarity Analysis We perform ad- **456** ditional analysis on the mean embedding similarity **457** of sentences within the same intent class (*in*-class) **458** and of different intents (*out*-class). For a set of 459 intent classes $\mathcal C$ and utterances $\mathcal U$, we calculate the 460 mean *in*-class similarity s_{in} and *out*-class similarity 461 **462**

$$
\mathbf{s}_{in} = \frac{1}{|\mathcal{C}|} \sum_{c \in \mathcal{C}} \sum_{u_i \in \mathcal{U}_c} \sum_{u_j \in \mathcal{U}_c \setminus \{u_i\}} \frac{s(\mathbf{h}(u_i), \mathbf{h}(u_j))}{n_c(n_c - 1)}
$$

Model	\mathbf{s}_{in}	\mathbf{s}_{out}		Δ_s % Δ_s
InstructOR _{Large}	0.87	0.79	0.08	0.09
$E5-v2_{Base}$	0.82	0.74	0.08	0.09
$E5-v2_{Large}$	0.82	0.75	0.07	0.08
Multilingual- $E5_{Large}$	0.84	0.79	0.06	0.07
$E5_{Large}$	0.81	0.72	0.09	0.11
${\rm GTE}_{Small}$	0.84	0.76	0.07	0.09
${\rm GTE}_{Base}$	0.82	0.75	0.08	0.10
GTE_{Large}	0.83	0.75	0.08	0.09
\mathbf{BGE}_{Small}	0.67	0.49	0.18	0.27
BGE_{Base}	0.71	0.56	0.15	0.21
\mathbf{BGE}_{Large}	0.71	0.55	0.16	0.23
OpenAI-Ada-002	0.81	0.72	0.08	0.10

Table 7: Mean μ of pairwise embedding similarity between *in*-class (\mathbf{s}_{in}) and *out*-class (\mathbf{s}_{out}) utterances for each selected model. Δ_s denotes the difference between \mathbf{s}_{in} and \mathbf{s}_{out} , % Δ_s

$$
\mathbf{s}_{out} = \frac{1}{|\mathcal{C}|} \sum_{c \in \mathcal{C}} \sum_{u_i \in \mathcal{U}_c} \sum_{u_j \in \mathcal{U}_{c'}} \frac{s(\mathbf{h}(u_i), \mathbf{h}(u_j))}{n_c n_{c'}}
$$

.

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467

466 where \mathcal{U}_c and $\mathcal{U}_{c'}$ denotes the set of utterances belonging to class c and all classes other than c' respectively, n_c is the number of utterances in 469 set U_c . The mean *in*-class and *out*-class similar- ity scores are shown per dataset (Table [6\)](#page-6-1), and per model (Table [7\)](#page-7-0) . From a basic correlation analysis of the mean embedding similarity against a number of metrics, we note for model perfor- mance on the MTEB benchmark there exists a 475 strong positive correlation to the difference Δ_s be- tween *in*-class and *out*-class examples (Pearson *r* = 0.72, *p* < 0.01) as well as % Δ_s (Pearson $r = 0.73$, $p < 0.01$), and there exists a strong neg- ative correlation to the mean *out*-class similarity $\mu_{s_{out}}$ (Pearson $r = -0.71$, $p < 0.01$). Addition- ally we observe a strong correction between the aforementioned measures to model performance on the CLINIC dataset: mean difference (Pearson $r = 0.74$, $p < 0.01$), percentage-mean-difference 485 (Pearson $r = 0.72$, $p < 0.01$) and mean *out*-class **(Pearson** $r = -0.71, p < 0.01$). We hypothesise that this indicates the quality of model embeddings as indicated by the mean difference between *in*- class and *out*-class to matter more with higher num- bers of intent classes, and that this task in turn is a good indicator for text embedding model quality.

492 Analysis Summary Our proposed approach per-**493** forms well overall against the strong baseline meth-**494** ods in unseen intent classification; however, it struggles in certain instances with overlaps in in- **495** tents within the same domain, particularly if the **496** class definition is non-distinct from other classes **497** in domain i.e. flight from the ATIS dataset. To **⁴⁹⁸** tackle such issues, future work may investigate the **499** introduction of a hierarchical intent structure that is **500** inferred in a dataless context to maintain scalability. **501** The results of our experiments have shown intent **502** label descriptions can perform well as intent pro- **503** totypes in this problem setting, and that the naive **504** addition of synthetic examples may yield worse **505** performance; however, synthetic examples may be **506** able to supplement dataless classification using in- **507** tent label descriptions i.e. to tackle issues relating **508** to lexical overlap between classes, hierarchical in- **509** tent classes. **510**

Limitations Our approach nonetheless contains **511** a number of limitations: We have identified issues **512** with the descriptiveness of individual labels ear-
513 lier in this section, and textual labels may not be **514** readily available for certain datasets, though sum- **515** marisation methods may be effectively applied to **516** few user utterances to produce such labels. Future **517** work may also investigate the application of de- **518** scriptions to tasks outside of intent classification, 519 such as emotion recognition [\(Rashkin et al.,](#page-9-16) [2019\)](#page-9-16). **520**

7 Conclusion **⁵²¹**

Dataless classification allows for scaling to a large **522** number of unseen classes without requiring train- **523** ing on labelled, task-specific data. The benefits **524** of such an approach can enhance development of **525** task-oriented dialogue systems in application to **526** data-poor or compute-limited scenarios where sup- **527** ported intents may also change as the system is **528** developed. In this paper, we have explored the **529** potential of current SOTA text embedding models **530** in dataless intent classification settings using three **531** different approaches for representing intent classes **532** and compared our results against strong zero-shot **533** learning baselines. We proposed a method for stan- **534** dardising the generation of intent label descriptions **535** with an aim to minimise the amount of human annotations required to further support scaling to high **537** numbers of intent classes. Our results have shown **538** that description-augmented dataless classification **539** methods can achieve comparable, and sometimes **540** superior performance to zero-shot methods on the 541 task of intent classifcation. **542**

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A Appendix

 A.1 Table of intents, descriptions and sampled synthetic examples generated using gpt-3.5-turbo

 See Table [8](#page-11-0) (ATIS), Table [9](#page-12-0) (SNIPS) and Table [10](#page-13-0) (CLINIC).

 A.2 Full table of results for approach using synthetic examples generated using gpt-3.5-turbo

See Table [11.](#page-14-0)

A.3 Table of averaged mean and standard **817** deviation statistics for examples **818 generated using gpt-4** 819

See Table [12.](#page-15-0) **820**

Table 8: Intents, descriptions and synthetic examples for the ATIS dataset.

Table 9: Intents, descriptions and synthetic examples for the SNIPS dataset.

Table 10: Intents, descriptions and synthetic examples for 15 intents from the CLINIC dataset.

	Model		ATIS		SNIPS F1 Mean Acc			CLINIC		
		Acc	$_{\rm F1}$	Mean				F1 Mean Acc		
	InstructOR $_{Large}$	32.77	23.99	28.38	72.60	69.26	70.93	56.94	53.71	55.32
	$E5-v2_{Base}$ $E5-v2_{Large}$	27.01 29.50	19.30 19.12	23.16 24.31	70.28 68.09	66.52 64.41	68.40 66.25	50.05 47.24	47.21 44.54	48.63 45.89
	Multilingual- $E5_{Large}$	23.85	18.37	21.11	64.02	60.24	62.13	45.68	43.54	44.61
	$E5_{Large}$	28.57	20.22	24.40	69.35	66.13	67.74	54.44	51.38	52.91
$\overline{ }$	OpenAI-Ada-002	30.86	19.40	25.13	75.35	72.78	74.07	57.70	54.42	56.06
\parallel \boldsymbol{n}	${\rm GTE}_{Small}$	25.87	20.15	23.01	65.42	62.17	63.80	51.37	48.41	49.89
	GTE_{Base}	25.34	20.33	22.83	69.09	65.89	67.49	53.10	50.04	51.57
	GTE_{Large}	29.94	21.83	25.88	70.02	66.56	68.29	54.95	51.72	53.34
	\mathbf{BGE}_{Small}	27.44 24.57	21.32 20.62	24.38 22.59	66.60 70.39	62.76 66.52	64.68 68.46	52.69 55.24	49.56 52.21	51.13 53.72
	$\mathop{\mathsf{BGE}}_{Base}$ BGE_{Large}	33.97	23.83	28.90	71.31	67.29	69.30	58.17	54.73	56.45
	$Instructor_{Large}$	39.20 35.75	29.25	34.22	76.71	72.39 71.56	74.55	67.88	64.84 60.63	66.36
	$E5-v2_{Base}$ $E5-v2_{Large}$	40.41	26.97 27.85	31.36 34.13	76.25 75.68	70.98	73.90 73.33	63.52 62.35	59.47	62.08 60.91
	Multilingual- $E5_{Large}$	25.07	25.90	25.48	75.67	70.93	73.30	60.56	58.19	59.37
	$E5_{Large}$	37.33	29.64	33.48	74.57	70.24	72.40	67.18	64.25	65.72
S	OpenAI-Ada-002	46.96	26.53	36.74	82.42	80.27	81.34	68.77	65.77	67.27
\parallel \boldsymbol{n}	${\rm GTE}_{Small}$	24.50	26.95	25.72	71.00	67.40	69.20	62.38	59.16	60.77
	GTE_{Base}	30.05	27.82	28.93	74.57	70.63	72.60	64.69	61.76	63.23
	${\rm GTE}_{Large}$	40.40	29.40	34.90	75.04	71.23	73.14	65.78	62.67	64.23
	\mathbf{BGE}_{Small}	29.24 28.35	27.49 27.00	28.37 27.67	73.49 73.83	68.98 69.23	71.23 71.53	64.59 66.59	61.72 63.66	63.16 65.13
	BGE_{Base} BGE_{Large}	38.30	28.14	33.22	74.83	70.09	72.46	68.05	64.62	66.34
	InstructOR $_{Large}$	41.77	32.86	37.31	78.36	74.08	76.22	70.30	67.51	68.90
	E5-v2_{Base} $E5-v2_{Large}$	34.49 36.82	28.76 29.53	31.63 33.17	78.53 78.02	73.47 73.66	76.00 75.84	66.75 65.70	63.94 62.76	65.34 64.23
	Multilingual- $E5_{Large}$	31.29	29.28	30.29	76.21	72.18	74.19	64.36	61.78	63.07
	$\mathrm{E} 5_{Large}$	37.24	32.79	35.01	76.04	71.20	73.62	69.63	66.62	68.13
r.	OpenAI-Ada-002	45.01	28.38	36.70	84.56	82.60	83.58	70.81	68.03	69.42
\parallel \boldsymbol{a}	GTE_{Small}	32.92	30.05	31.48	73.21	69.16	71.18	65.63	62.58	64.10
	GTE_{Base}	29.90	30.02	29.96	76.54	72.13	74.33	67.11	63.95	65.53
	GTE_{Large}	41.92	32.41	37.17	75.73	71.18	73.45	68.48	65.38	66.93
	\mathbf{BGE}_{Small} $\mathop{\mathsf{BGE}}_{Base}$	35.33 27.94	32.64 29.49	33.99 28.72	72.85 76.61	68.06 71.90	70.46 74.25	67.15 69.42	64.35 66.52	65.75 67.97
	$\mathop{\hbox{\rm BGE}}_{Large}$	35.79	32.38	34.08	76.26	71.00	73.63	70.68	67.64	69.16
	InstructOR $_{Large}$ E5-v2_{Base}	47.38 37.04	33.77 32.17	40.58 34.60	80.58 80.31	76.50 74.92	78.54 77.61	72.37 69.59	69.68 66.86	71.03 68.23
	E5-v2_{Large}	46.80	32.53	39.66	79.11	74.31	76.71	68.65	65.70	67.17
	Multilingual- $E5_{Large}$	30.88	32.70	31.79	78.71	74.43	76.57	67.87	65.39	66.63
	$\mathrm{E} 5_{Large}$	41.44	34.74	38.09	77.83	73.35	75.59	72.42	69.62	71.02
$\overline{10}$	OpenAI-Ada-002	46.60	32.90	39.75	85.57	83.46	84.51	73.30	70.60	71.95
Ш \boldsymbol{n}	GTE_{Small}	32.71	33.53	33.12	74.77	70.42	72.59	67.48	64.56	66.02
	${\rm GTE}_{Base}$	28.05	31.23	29.64	77.35	72.76	75.06	69.50	66.44	67.97
	${\rm GTE}_{Large}$	45.05	35.25	40.15	76.29	71.67	73.98	69.86	66.90	68.38
	$\mathop{\hbox{\rm BGE}}_{Small}$ $\mathop{\mathsf{BGE}}_{Base}$	36.24 31.14	34.44 31.62	35.34 31.38	75.95 78.15	71.13 73.07	73.54 75.61	68.96 71.48	66.27 68.73	67.61 70.10
	\mathbf{BGE}_{Large}	43.19	35.56	39.38	77.77	72.44	75.10	72.36	69.39	70.88
	InstructOR $_{Large}$ $E5-v2_{Base}$	40.59 42.17	35.40 34.44	37.99 38.31	80.57 80.25	75.75 74.65	78.16 77.45	73.10 70.18	70.54 67.50	71.82 68.84
	$E5-v2_{Large}$	47.71	33.67	40.69	79.86	74.66	77.26	69.70	66.69	68.19
	Multilingual- $E5_{Large}$	28.31	33.48	30.89	79.91	75.32	77.61	69.31	66.76	68.03
	$E5_{Large}$	42.42	36.31	39.36	78.02	73.00	75.51	73.13	70.26	71.69
$\frac{5}{2}$	OpenAI-Ada-002	48.13	34.26	41.20	87.04	85.03	86.03	73.97	71.36	72.66
Ш $\boldsymbol{\mathcal{Z}}$	GTE_{Small}	38.54	34.38	36.46	75.03	70.32	72.68	68.63	65.60	67.12
	${\rm GTE}_{Base}$	33.68	32.35	33.02	78.27	73.56	75.92	69.86	66.73	68.29
	${\rm GTE}_{Large}$ \mathbf{BGE}_{Small}	37.98 28.06	34.38 34.30	36.18 31.18	77.78 75.43	72.93 70.54	75.36 72.98	70.51 70.20	67.62 67.56	69.07 68.88
	$\mathop{\mathsf{BGE}}_{Base}$	27.20	31.08	29.14	78.92	73.65	76.29	71.93	69.15	70.54
	\mathbf{BGE}_{Large}	42.22	37.06	39.64	78.76	73.43	76.10	73.17	70.24	71.71

Table 11: Results per model using k synthetic examples averaged across 20 samples.

\boldsymbol{k}	Metric	ATIS		SNIPS		CLINIC		
		μ	σ	μ	σ	μ	σ	
	Mean	24.51	10.15	67.63	5.48	51.63	5.13	
\mathbf{I}	Δ_{Label}	-7.19	-2.58	-8.68	-1.05	-15.56	0.08	
چ	Δ_{Desc}	-27.38	6.37	-19.29	2.46	-22.92	2.12	
∞	Mean	31.19	8.61	73.25	4.49	63.71	2.76	
Ш	Δ_{Label}	-0.51	-4.11	-3.06	-2.04	-3.47	-2.29	
چ	Δ_{Desc}	-20.70	4.84	-13.66	1.47	-10.83	-0.25	
LΩ.	Mean	33.29	7.90	74.73	4.16	66.54	2.35	
I	Δ_{Label}	1.59	-4.82	-1.57	-2.37	-0.64	-2.70	
چ	Δ_{Desc}	-18.60	4.13	-12.18	1.14	-8.00	-0.67	
Ξ	Mean	36.12	7.51	76.28	3.49	68.92	2.08	
I	Δ_{Label}	4.42	-5.21	-0.02	-3.04	1.73	-2.97	
چ	Δ_{Desc}	-15.77	3.73	-10.63	0.48	-5.63	-0.94	
$\overline{15}$	Mean	36.17	7.13	76.78	3.75	69.74	1.93	
\mathbf{I}	Δ_{Label}	4.47	-5.59	0.48	-2.78	2.55	-3.12	
چ	Δ_{Desc}	-15.72	3.36	-10.13	0.73	-4.81	-1.09	

Table 12: Averaged mean of accuracy and macro-f1 scores experiments conducted across 20 samples and 12 models using k number of synthetic examples per intent class generated using $qpt-4-1106-prev$ iew. Δ_{Label} and ∆Desc are differences to the averaged performance of methods using tokenized labels and intent descriptions respectively.