

Consistent Document-Level Relation Extraction via Counterfactuals

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Abstract

Many datasets have been developed to train and evaluate document-level relation extraction (RE) models. Most of these are constructed using real-world data. It has been shown that RE models trained on real-world data suffer from factual biases. To evaluate and address this issue, we present COVERED, a **counterfactual data generation approach for document-level relation extraction datasets using entity replacement**. We first demonstrate that models trained on factual data exhibit inconsistent behavior: while they accurately extract triples from factual data, they fail to extract the same triples after counterfactual modification. This inconsistency suggests that models trained on factual data rely on spurious signals such as specific entities and external knowledge – rather than on the input context – to extract triples. We show that by generating document-level counterfactual data with COVERED and training models on them, consistency is maintained with minimal impact on RE performance. We release our COVERED pipeline¹ as well as RE-DOCRED-CF, a dataset of counterfactual RE documents, to assist in evaluating and addressing inconsistency in document-level RE.

1 Introduction

Relation extraction (RE) extracts triples, semantic relations between two entities, from text. In document-level RE, triples can span multiple sentences (Yao et al., 2019; Tan et al., 2022b; Xiaoyan et al., 2023). RE datasets such as DocRED (Yao et al., 2019) and Re-DocRED (Tan et al., 2022b) consist of a factual corpus (Wikipedia) annotated with triples. Most recent DocRE models are based on pretrained language models (PLMs) (Tang et al., 2020; Zhou et al., 2021; Tan et al., 2022a) trained on these datasets. While PLMs perform strongly, they are susceptible to factual biases and other spurious correlations. To generate triples, instead of

¹<https://github.com/amodaresi/CovEReD>

Original Document:

The **Eminem Show** is the fourth studio album by American rapper **Eminem**, released on May 26, 2002 by **Aftermath Entertainment**, **Shady Records**, and Interscope Records. **The Eminem Show** includes the commercially successful singles "Without Me", "**Cleanin' Out My Closet**", "Superman", and "Sing for the Moment". The **Eminem Show** reached number one...

RE Model Prediction (TP): (Cleanin' Out My Closet, part of, The Eminem Show)

Counterfactual Document w. Entity Replacement:

London Calling is the fourth studio album by American rapper **Marilyn Manson**, released on May 26, 2002 by **Volcom Entertainment**, **Track Records**, and Interscope Records. **London Calling** includes the commercially successful singles "Coco", "**The Ultimate Collection**", "Watching You", and "Déjà Vu". **London Calling** reached number one...

Missed Prediction (FN): (The Ultimate Collection, part of, London Calling)

Figure 1: Document from Re-DocRED (Tan et al., 2022b) and counterfactual version generated with entity replacement. A model trained on factual data extracts the original triple, but fails on its counterfactual (CF) counterpart. Thus, the model is relying on spurious patterns such as entity biases. We address this by generating CF data and training RE models on them.

inferring from the input, they may use their parametric knowledge (McCoy et al., 2019; Kaushik et al., 2020; Paranjape et al., 2022). A common case is entity bias: the model relies on entities in its parametric knowledge to make a prediction (Longpre et al., 2021; Qian et al., 2021; Xu et al., 2022; Chen et al., 2023).

Wang et al. (2022) perform a counterfactual analysis (CoRE) for sentence-level RE. They remove the context and provide only the entity mentions. They then distil the biases and propose a debiasing method using a causal graph. ENTRE (Wang et al., 2023), a counterfactual modification of TACRED (Zhang et al., 2017), replaces entities to develop a robust sentence-level RE benchmark. They show

that RE models rely on memorized facts instead of the sentence context. All of this work is focused on *sentence-level RE*.

This paper presents COVERED, a counterfactual (CF) data generation method for *document-level RE*. It replaces entities and thereby generates text containing triples with minimal factual alignment. We apply COVERED to Re-DocRED, creating RE-DOCRED-CF, a counterfactual document-level RE dataset. Since we apply replacements on the document level, our method handles multiple entity mentions and also multiple replacements at a time – unlike sentence-level methods. We achieve this by considering all triples that an entity is involved in and embeddings of its contexts. Evaluation on RE-DOCRED-CF allows us to measure how consistent a model is in RE. We show that models trained on factual documents lack robustness against nonfactual data (Figure 1). We then train an RE model on Re-DocRED and RE-DOCRED-CF and show that it has high consistency with only a negligible effect on accuracy on factual data. Our approach is novel in that it creates counterfactual datasets on the document level – the level at which RE is used in a real application – to analyze and improve DocRE models. Alongside COVERED, the data generation pipeline, we release RE-DOCRED-CF, a counterfactual dataset generated from Re-DocRED.

2 Counterfactual pipeline and dataset

To evaluate and address robustness against factuality bias, we need to generate documents from which such biases have been removed. Hence, in this section we describe COVERED, our mechanism for generating counterfactual (CF) documents from a document-level RE dataset. Our seed dataset is Re-DocRED (Tan et al., 2022b). For each Re-DocRED document d , we have a set of entities E and a set of relation triples R . For each entity node $e_i \in E$, the dataset provides the positioning of each mention of e_i and its type (ORG, TIME ...). In a triple $r \in R$, we have the indices (i) of head and tail entities, the relation r_t and – if the triple comes from the original DocRED (Yao et al., 2019) – the IDs of the sentences that are the evidence for r .

To generate counterfactuals from Re-DocRED’s documents, our pipeline COVERED proceeds with the following three steps (§2.1–§2.3).

2.1 Entity mention cleanup

If two entities e_i and e_j share a common (exactly matching) mention, then we merge them; this means that we merge the two sets of mentions and treat e_i and e_j as synonymous. Also, if two mentions overlap in a sentence, we discard the shorter one and only keep the longer one. Example: If “Great Britain” in a sentence is annotated with two mentions “Great Britain” and “Britain”, then we only keep “Great Britain”.

2.2 Gathering entity candidates

In sentence-level RE, entities are very rarely part of multiple triples, but in document-level RE this is common. If we want to generate consistent counterfactual documents, we have to replace all of an entity’s occurrences. This makes it impractical to use simplistic replacement methods in document-level RE – such as relying on an entity bank for random replacement as in ENTRE (Wang et al., 2023).

Another challenge is that we need “plausible” counterfactual documents that do not obviously contradict general knowledge. For example, “Obama was born in Panthera leo” (where Panthera leo is a species, the lion) is too implausible to teach the model about correct RE. We therefore only replace e_i with e_j if they have (i) similar **relation maps** and (ii) similar **context snippets**. For this step, we use the set of entities over the entire seed dataset.

The **relation map** for an entity e_i is a set of pairs, each consisting of a relation and the position of e_i within that relation (head or tail). For example, the relation map of “United States” – occurring in triples such as $\langle \text{NBA, country, United States} \rangle$ – may contain the pair (country, tail). If two entities e_i and e_j have similar relation maps, then e_i is a good candidate for replacing e_j since they occur in similar triples.

The **context snippet** of a mention m includes up to 16 words on each side of m . For each context snippet, we compute its embedding (using Contriever (Izacard et al., 2022)). If two entities e_i and e_j have similar context embeddings (as measured by cosine similarity), then e_i is a good candidate for replacing e_j since they occur in similar contexts.

2.3 Generating counterfactual documents

Our general approach to generating counterfactual documents is to find suitable entity alternatives for

each entity node and apply replacements.

In Algorithm 1, function GETALTS is responsible for finding suitable entity replacements. For each entity node, we compare its features (its type, relation map, mention and context snippet embeddings; see §2.2) with the *candidates* – the other entity nodes in the pool E gathered from the document collection. We deem a candidate a suitable alternative if it is similar and not from the same document. We do not want candidates’s entity mentions (as measured by cosine similarity of the embeddings of the entity mention strings) to be too similar; e.g., “United States” vs “U.S.”. The reason is that we of course want the candidate to be a different entity. GETALTS returns a list of sets, each containing, for a particular alternative entity e_i , possible mention strings for e_i . For instance, if the entity node we want to replace is “United States”, an example mention set is {“United Kingdom”, “UK”, “Britain”}. For more details see Appendix A.

To generate counterfactual documents from the seed document d , we loop over all entity nodes in d . We attempt to apply replacements for each entity node. To achieve this, we first create an empty dictionary – denoted as \mathbb{D} – for our newly generated documents (each created through replacements). After having replaced an entity node, we add the resulting counterfactual document to this dictionary. We use EditTuple to record which nodes have been replaced, preventing any node from being replaced more than once. We repeatedly loop over the dictionary to gather a large number of counterfactual documents. After the replacement process is completed, we select those counterfactual documents that are affected by the replacement more than a threshold τ_r . Thus, we require that a valid counterfactual document have at least τ_r percent of their triples altered (in either one or both entities).

3 Experiments

We generate RE-DOCRED-CF, our counterfactual dataset, from Re-DocRED using COVERED. We run COVERED five times on Re-DocRED train to produce RE-DOCRED-CF train (so it consists of five different counterfactual datasets). We run COVERED on Re-DocRED test once to generate RE-DOCRED-CF test. We set $\tau_{e[\text{MAX}]} = .8$, $\tau_{e[\text{MIN}]} = .2$, $\tau_c = .4$, $M_N = 3$ (to limit the search)

²For each replacement the closest mention to the original mentions, in terms of embedding similarity would be selected.

Algorithm 1 Counterfactual Example Generator

Input:

d : Document with entity nodes and relation triples
 τ_r : Affected relations threshold—An augmented document should have more than τ_r of its relations affected by the replacements

M_N : Maximum number of alternatives to sample from

Output:

\mathcal{D} : A set of documents with entity replacements applied on d

Auxiliary functions:

REPLACE(i, d, alt): A function that replaces node (i) and its mentions in the document (d) with a given alternative entity mentions set (alt).²

AFFECTR(EditTuple, d): This function returns the ratio of relation triples that are affected by the replacements specified in the EditTuple.

GETALTS($e_i, \mathbb{E}, \tau_{e[\text{MAX}]}, \tau_{e[\text{MIN}]}, \tau_c$): This function returns a list of sets of alternatives for the given entity node e_i . It requires the candidates pool \mathbb{E} , and other sets of hyperparameters (cf. Appendix A).

```

1: Initialize  $\mathbb{D} \leftarrow \{\}$ , EditTuple  $\leftarrow ()$ ,  $\mathcal{D} \leftarrow []$ 
2:  $\mathbb{D}[\text{EditTuple}] \leftarrow d$ 
3: for EditTuple,  $\tilde{d}$  in  $\mathbb{D}$  do
4:   for  $e_i$  in  $\tilde{d}[\text{EntityNodes}]$  do
5:     if  $i \notin \text{EditTuple}$  then
6:        $alts \leftarrow \text{GETALTS}(e_i, \mathbb{E}, \tau_{e[\text{MAX}]}, \tau_{e[\text{MIN}]}, \tau_c)$ 
7:       Sample  $alt$  from  $alts$ :  $M_N$ 
8:       Add  $i$  to EditTuple
9:        $\mathbb{D}[\text{EditTuple}] \leftarrow \text{REPLACE}(i, \tilde{d}, alt)$ 
10:    end if
11:  end for
12: end for
13: for EditTuple,  $\tilde{d}$  in  $\mathbb{D}$  do
14:   if AFFECTR(EditTuple,  $d$ ) >  $\tau_r$  then
15:     Add  $\tilde{d}$  to  $\mathcal{D}$ 
16:   end if
17: end for
18: return  $\mathcal{D}$ 

```

and (to make sure at least 70% of triples are affected by the replacements) $\tau_r = .7$.

We first evaluate the hypothesis that models that are trained merely on factual data do not reliably use the context for the RE task. To test this, we measure how consistent these models are for documents that have undergone entity replacement. We use the KD-DocRE framework (Tan et al., 2022a)³ to train DocRE models. The framework features axial attention modules, adaptive focal loss and knowledge distillation over the distant supervised examples. As we want to observe the effect of using counterfactual data in training, we do not use knowledge distillation and only do their first stage of training over the human-annotated data.

We follow Tan et al. (2022a)’s setup and hyperparameters in finetuning a RoBERTa-large model (Liu et al., 2019) for relation extraction. First,

³<https://github.com/tonytan48/KD-DocRE>

Training Data	PRC	REC	F1	CONS
Re-DocRED	88.1	69.8	78.0	68.6
CF Only	85.3	62.8	72.4	89.5
Re-DocRED + CF	85.7	68.8	76.3	<u>88.3</u>

Table 1: Evaluation results on factual (Re-DocRED), counterfactual (CF Only) and combined (Re-DocRED + CF) data. Our measures are Precision (PRC), Recall (REC) and F1 score on Re-DocRED’s test set. Using a counterfactual counterpart of the test set, we report consistency (CONS) results of each approach. (All reported numbers are the median over 5 runs with different random seeds.)

with the training set of Re-DocRED, we finetune a model that we probe for factual biases. To mitigate random errors, we train with five random seeds and report the median over each metric.

To assess a model’s factual bias, we need to observe how its behavior changes when presented with counterfactual data. Following [Paranjape et al. \(2022\)](#), we use *pairwise consistency* as our measure. Pairwise consistency is the accuracy of the model on those counterfactuals whose factual counterparts (the original facts) were predicted correctly.

3.1 Results

Table 1 shows performance of the trained models on Re-DocRED test. As expected, the model that is only trained on factual data performs well on similar factual data. However, it only shows 68.6% consistency (for Re-DocRED test and RE-DOCRED-CF test) – more than 30% of the correctly predicted output is based on entity and factual biases. Figure 1 shows the original text (top) and the text after replacement of entities (bottom). We see that COVERED, our replacement algorithm, did a good job here: the original entities were replaced with similar entities (which occur in similar contexts and with similar relations), but of course the new triples are nonfactual. The model correctly predicted the triple (Cleanin’ Out My Closet, part of, The Eminem Show) from the original document. However, for the document with replaced entities – even though the relation (“part of”) is still the same, only the entities have changed – the model fails to extract the correct triple, which would be: (The Ultimate Collection, part of, London Calling). See Appendix B for more examples. This result corroborates other similar analysis that was done on the sentence level ([Wang et al., 2022, 2023](#)).

To evaluate the effectiveness of COVERED in

generating plausible examples, we conducted a human evaluation on a sample subset of the data. We randomly selected 50 triplets from the test set and found that 45 of them were deemed plausible. This indicates that 90 percent of the counterfactual triplets accurately reflect relationships that are evident from the counterfactual version of the document.⁴

Our hypothesis is that we can increase robustness against entity and factual biases by training on counterfactual data. We finetune a separate model with its own separate random seed for each of the five parts of RE-DOCRED-CF train. Table 1 shows that consistency increases with a >20% gap compared to only using factual data (89.5% vs 68.6%). This shows that counterfactuals improve the model’s robustness against entity and factual biases. However, training on counterfactuals only also deteriorates performance on factual test data (5.6 drop on F1, 72.4 vs 78.0). Since the real-world use case of DocRE models is factual data, we need to devise a solution that is both performant and consistent.

Therefore, we conduct a third experiment in which we mix each of the five subsets of RE-DOCRED-CF train with Re-DocRED train. To keep the number of training steps equal, we halve the number of epochs of training that we used in the other two experiments (30 → 15). As shown in Table 1, the resulting model shows both a high performance with minimum drop in F1 (only -1.7, 76.3 vs 78.0) while also being consistent (88.3% vs 68.6% for the “factual-training-only” model). This means that the counterfactual RE-DOCRED-CF dataset helps the model to learn the task based on the context and mitigates bias issues while having the factual dataset alongside keeps the model performant on factual data.

4 Conclusion

In this work, we present a method for generating counterfactual examples for document-level relation extraction. Our approach searches for suitable entity replacements over a document and applies them to a point where most of the relations are affected by these replacements. By generating a counterfactual test set, we demonstrate the high

⁴For this evaluation, we excluded counterfactual examples where the original counterparts were already mislabelled (e.g., due to entity linking errors or misannotation of non-evident relations). This ensures that our analysis focuses on evaluating the plausibility of our pipeline on correctly labeled examples.

level of inconsistency DocRE model have when trained only with factual data. Adding counterfactuals to the training sets improves consistency by a large margin while keeping performance high. We make our pipeline COVERED and dataset RE-DOCRED-CF publicly available We hope our findings and resources will raise awareness and support future efforts in addressing entity and factual biases in document relation extraction.

Limitations

The main limitation of this work is its requirement of a seed DocRE dataset. This means to extend this approach to either other domains or languages we need a document RE dataset provided. Here, we measured consistency and performance levels on KD-DocRE, one of the recent and high-performing methods. However, other solutions might yield different performance results. Our aim in this work is to provide a document-level RE dataset for consistency. Also, the improvements in robustness against factual bias were gained in an equal setup.

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A Alternative Entities Search Algorithm

Algorithm 2 is the detailed pseudocode of our approach in finding suitable alternatives for an entity node.

B Extra Counterfactual Examples

In Figure 2, we demonstrated three other examples of a factual bias failure of a DocRE model. Some examples also include relations that are spanning across multiple sentences which a DocRE model should be capable to extract. However, after entity replacement the model (which is trained only on factual data) only manages to predict on the original set.

Original Document:

Tippy Walker (born February 19, 1947) is a former **American** child actress, best known for her role in the film **The World of Henry Orient** (1964). Born **Elizabeth Tipton Walker** in **New York City**, her father... After **appearing** in several television shows, such as **Doctor Kildare** and **Peyton Place**, and the female lead role in the film **Jennifer on My Mind**...

RE Model Prediction (TP): (Doctor Kildare, cast member, Tippy Walker)

Counterfactual Document w. Entity Replacement:

Elizabeth Sterling Haynes (born February 19, 1947) is a former **Canadian** child actress, best known for her role in the film **The World of Henry Orient** (1964). Born **Elizabeth** in **Amsterdam**, her father... After **appearing** in several television shows, such as **Doctor Kildare** and **Peyton Place**, and the female lead role in the film **Think Like a Man Too**...

Missed Prediction (FN): (Doctor Kildare, cast member, Elizabeth Sterling Haynes)

Original Document:

Watts Station is a train station built in 1904 in **Watts**, Los Angeles, **California**. It was one... and Long Beach. It was the only structure that remained intact when stores along **103rd Street** in **Watts** were burned in the 1965 **Watts Riots**...

RE Model Prediction (TP): (103rd Street, located in the administrative territorial entity, California)

Counterfactual Document w. Entity Replacement:

Oslo Airport Station is a train station built in 1904 in **Alabama**, Los Angeles, **Costa Mesa**. It was one... and Long Beach. It was the only structure that remained intact when stores along **103rd Street** in **Alabama** were burned in the 1965 **French Revolution**...

Missed Prediction (FN): (103rd Street, located in the administrative territorial entity, Costa Mesa)

Original Document:

James Whitman "Jim" McLamore (May 30, 1926 – August 9, 1996) was with David Edgerton responsible for the expansion of the **Burger King** fast food franchise... The pair **sold** the business to **Pillsbury** in 1967 and McLamore served as **Burger King**'s president until 1970, and was...

RE Model Prediction (TP): (Burger King, owned by, Pillsbury)

Counterfactual Document w. Entity Replacement:

Ellison (May 30, 1926 – August 9, 1996) was with David Edgerton responsible for the expansion of the **Cheeseburger in Paradise** fast food franchise... The pair **sold** the business to **Orange S.A.** in 1967 and **Ellison** served as **Cheeseburger in Paradise**'s president until 1970, and was...

Missed Prediction (FN): (Cheeseburger in Paradise, owned by, Orange S.A.)

Figure 2: Three other examples of original documents and their counterfactual counterparts. In all three we observe a failure in predicting the counterfactual, while all information required for the relation to be extracted are present (Underlined).

Algorithm 2 Find Suitable Alternatives for a given Entity Node e_i

Input:

e_i : Input entity node
 \mathbb{E} : Entity candidates pool
 $\tau_{e[\text{MAX}]}$, $\tau_{e[\text{MIN}]}$: Maximum and minimum entity mention similarity threshold
 τ_c : Context similarity threshold

Output:

\mathcal{E} : List of sets of alternative entity mentions for the given entity node

```
1: function GETALTS( $e_i, \mathbb{E}, \tau_{e[\text{MAX}]}, \tau_{e[\text{MIN}]}, \tau_c$ )
2:   Initialize:  $\mathcal{E} \leftarrow [], \mathcal{E}' \leftarrow []$ 
3:   for  $\tilde{e}$  in  $\mathbb{E}$  do
4:      $r_{\text{sim}} = |\tilde{e}[\text{rel\_maps}] \cap e_i[\text{rel\_maps}]|$ 
5:     if  $r_{\text{sim}} = 0$  then
6:       continue
7:     else if  $\tilde{e}[\text{doc\_title}] = e_i[\text{doc\_title}]$  then
8:       continue
9:     else if  $\tilde{e}[\text{type}] \cap e_i[\text{type}] = \emptyset$  then
10:      continue
11:    end if
12:    Set:  $m_{\text{sim}} \leftarrow 0$ 
13:    for  $m_i$  in  $e_i[\text{mentions}]$ ,  $\tilde{m}$  in  $\tilde{e}[\text{mentions}]$  do
14:       $\text{sim} = \cos(\tilde{m}[\text{emb}], m_i[\text{emb}])$ 
15:       $m_{\text{sim}} \leftarrow \max(m_{\text{sim}}, \text{sim})$ 
16:    end for
17:    Set:  $c_{\text{sim}} \leftarrow 0$ 
18:    for  $c_i$  in  $e_i[\text{contexts}]$ ,  $\tilde{c}$  in  $\tilde{e}[\text{contexts}]$  do
19:       $\text{sim} = \cos(\tilde{c}[\text{emb}], c_i[\text{emb}])$ 
20:       $c_{\text{sim}} \leftarrow \max(c_{\text{sim}}, \text{sim})$ 
21:    end for
22:    if  $\tau_{e[\text{MIN}]} < m_{\text{sim}} < \tau_{e[\text{MAX}]}$  and  $\tau_c < c_{\text{sim}}$  then
23:      Add  $(\tilde{e}, r_{\text{sim}}, m_{\text{sim}}, c_{\text{sim}})$  to  $\mathcal{E}'$ 
24:    end if
25:  end for
26:  Sort  $\mathcal{E}'$  by  $r_{\text{sim}}, m_{\text{sim}}, c_{\text{sim}}$ 
27:  for  $e$  in  $\mathcal{E}'$  do
28:    Add  $e[0][\text{mentions}]$  to  $\mathcal{E}$ 
29:  end for
30:  Drop any set in  $\mathcal{E}$  that is a subset of another set in  $\mathcal{E}$ 
31:  return  $\mathcal{E}$ 
32: end function
```
