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# Encoding Database Schemas with Relation-Aware Self-Attention for Text-to-SQL Parsers

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## Abstract

1       When translating natural language questions into SQL queries to answer questions  
2       from a database, we would like our methods to generalize to domains and database  
3       schemas outside of the training set. To handle complex questions and database  
4       schemas with a neural encoder-decoder paradigm, it is critical to properly encode  
5       the schema as part of the input with the question. In this paper, we use relation-  
6       aware self-attention within the encoder so that it can reason about how the tables  
7       and columns in the provided schema relate to each other and use this information  
8       in interpreting the question. We achieve significant gains on the recently-released  
9       Spider dataset with 42.94% exact match accuracy, compared to the 18.96% reported  
10      in published work.

## 11   1 Introduction

12   The ability to effectively query databases with natural language has the potential to unlock the power  
13   of large datasets to the vast majority of users who are not proficient in the use of languages such as  
14   SQL. As such, a large body of existing work has focused on the task of translating natural language  
15   questions into queries that existing database software can execute.

16   The release of large annotated datasets containing questions and the corresponding database queries  
17   has catalyzed significant progress in the field, by enabling the training of supervised learning models  
18   for the task [24, 4]. This progress has arrived not only in the form of improved accuracy on the test  
19   sets provided with the datasets, but also through an evolution of the problem formulation towards  
20   greater complexity more closely resembling real-world applications.

21   The recently-released Spider dataset [22] exemplifies greater realism in the task specification: the  
22   queries are written using SQL syntax, the dataset contains a large number of domains and schemas  
23   with no overlap between the train and test sets, and each schema contains multiple tables with many  
24   complicated questions being expressed in the queries. Due to the extra difficulty caused by these  
25   factors, the best publicly-reported result on this dataset as of this writing achieves about 19% exact  
26   matching accuracy on the development set [14], which is significantly worse compared to > 80%  
27   exact matching accuracy reported for past datasets such as ATIS, GeoQuery, and WikiSQL [22, 1].

28   We posit that a central challenge of the multi-schema problem setting is generalization to new database  
29   schemas different from what was seen during training. when the model needs to generate queries for  
30   arbitrary new schemas, it needs to take the relevant schema as an input and process it together with  
31   the question in order to generate the correct query.

32   Previous methods on the WikiSQL dataset [24] have also contended with the challenge of generalizing  
33   to arbitrary new schemas. However, all schemas in this dataset are quite simple, as they only contain  
34   one table. The model has no need to reason about the relationships between multiple tables in order  
35   to generate the correct query. As such, models developed for this dataset have largely focused on

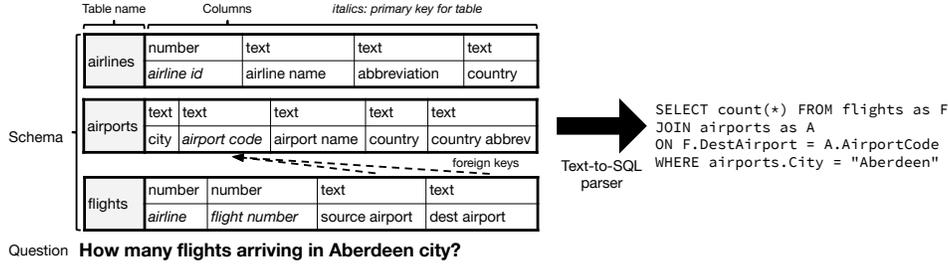


Figure 1: Overview of text-to-SQL task. This paper proposes and evaluates the use of relation-aware self-attention to encode the question and schema, including elements such as the “foreign key” relationship shown.

36 innovations to the decoder for generating the query, rather than the encoder for the question and the  
 37 schema. In contrast, most real databases (including those in Spider) contain multiple tables with  
 38 features such as foreign keys that link rows in one table to another. We hypothesize that to generate  
 39 correct queries for such databases, a model needs the ability to reason about how the tables and  
 40 columns in the provided schema relate to each other and use this information in interpreting the  
 41 question.

42 In this paper, we develop a method to test this hypothesis. First, we construct a directed graph (with  
 43 labels on nodes and edges) over all of the elements of the schema. This graph contains a node for  
 44 each column or table, and an edge exists from one node to another if the two have an interesting  
 45 relationship (e.g., the two nodes are columns which belong to the same table) with a label encoding  
 46 that relationship. Each node has an initial vector representation based on the words in the column  
 47 or table’s name. We also obtain a vector representation for each word in the question. For a fixed  
 48 number of times, we then update each node and word representation based on all other node and  
 49 word representations, taking the labels of edges between nodes into account. We use these updated  
 50 representations with a SQL decoder, which uses attention over them at each decoding step, and also  
 51 points to the column and table representations when it needs to output a column or table reference in  
 52 the query.

53 We empirically evaluate our method on the Spider dataset [22], using a decoder based on Yin and  
 54 Neubig [19]. We achieve 42.94% exact set match accuracy on the development set, significantly  
 55 higher than the published result of 18.9% [14, 21]. We further verify the utility of directly encoding  
 56 the relationships within the schema with an ablation study.

## 57 2 Problem Formulation

58 Provided with a natural language question and a schema for a relational database, our goal is  
 59 to generate the SQL query corresponding to the question. The schema contains the following  
 60 information, as depicted in Figure 1:

- 61 • A list of *tables* in the database, each with a meaningful name (e.g., AIRLINES, AIRPORTS,  
 62 and FLIGHTS for an aviation database).
- 63 • For each table, a list of *columns*. Each column represents an attribute of the entities stored  
 64 in the table. Each column has a type such as `number` or `text`.
- 65 • Each table can designate some of its columns as *primary keys*, which uniquely identify each  
 66 row in the table.
- 67 • A column can have another column in a different table as its *foreign key*, which is used to  
 68 link together rows across multiple tables.

69 As mentioned in the introduction, we would like our method to generalize to not only new questions,  
 70 but also new schemas it has never seen during training time.

### 71 3 Motivation for Our Approach

72 Using natural language to query databases has been a long-standing problem studied for many decades  
73 in the research community [2, 11]. We identify several limitations of past work and problem settings:

- 74 (a) Some datasets only concern themselves with one domain (e.g., US geography [23]).
- 75 (b) Most datasets about one domain also contain only one database schema for the domain, so  
76 the system only needs to know how to generate queries for that single schema.
- 77 (c) While WikiSQL [24] contains a large number of domains and schemas, each schema only  
78 contains one table in it.
- 79 (d) Datasets containing only one domain and database necessarily have them overlap across the  
80 train and test sets. Furthermore, as discussed by Finegan-Dollak et al. [4], many existing  
81 datasets exhibit overlap in queries between the train and test sets, which limits their ability  
82 to test how models generalize to generating new queries.

83 The neural methods common in recent work follow an encoder-decoder paradigm, and past work  
84 has largely focused on improvements to the decoder part. As such, the question of how best to  
85 encode the question and the schema has remained relatively under-studied. Models developed using  
86 datasets which contain only one domain and schema ((a) and (b) above) typically internalize the  
87 schema within the learned parameters. The popular WikiSQL dataset necessitates generalizing to new  
88 schemas at test time, so models developed for it also encode the schema together with the question;  
89 however, as all these schemas only contain one table, the demands placed on the schema encoder are  
90 relatively light.

91 It is most useful if we can train a single model that can generalize to new domains and new database  
92 schemas, where both the queries and the schemas have complicated structure that better reflect  
93 potential real-world applications. The Spider dataset [22] provides an environment for evaluating this  
94 problem setting. In this work, we study how to better encode the question and schema under these  
95 more demanding conditions.

### 96 4 Existing Encoding Schemes

97 In this section, we review how some existing works (mostly for the WikiSQL dataset) addressed the  
98 challenge of encoding the input question and schema.

99 **Encoding each element independently** In SQLNet [17] (for the WikiSQL dataset), the name of  
100 each column, and the question, are separately processed using a bidirectional LSTM. The LSTM  
101 outputs for the question tokens are utilized in the decoder using attention, and the final LSTM states  
102 of the columns with a pointer network. Note that the encoding of each column is uninfluenced by  
103 which other column are present; furthermore, the question is encoded entirely separately from the  
104 schema.

105 In SyntaxSQLNet [21] (for the Spider dataset), the question is encoded identically as SQLNet, using  
106 a bidirectional LSTM. Each column is encoded similarly, by using a bidirectional LSTM over the  
107 concatenation of the words in the column name, words in the table name, and column type (e.g.,  
108 `number, string`).

109 **Encoding the columns jointly** TypeSQL [20] computes the encoding of each column by an  
110 elementwise averaging of the embeddings of the words in the name, and using a bidirectional LSTM  
111 over these averages; therefore, the encoding for each column depends on which other columns are  
112 present (and also their order, although that can be arbitrary).

113 **Using the schema while encoding the question** Using the information in the schema while encod-  
114 ing the question can help the decoder generate the correct query. In TypeSQL, the word embeddings  
115 for each question token are concatenated with a *type* embedding; in particular, question tokens  
116 appearing in a column name are specially marked.

117 Coarse2Fine [3] goes further by using attention to gather information from the schema while encoding  
118 the question. First, the input question is encoded using a bidirectional LSTM, then an attention

Type of $x$	Type of $y$	Edge label	Description
Column	Column	SAME-TABLE	$x$ and $y$ belong to the same table.
		FOREIGN-KEY-COL-F	$x$ is a foreign key for $y$ .
		FOREIGN-KEY-COL-R	$y$ is a foreign key for $x$ .
Column	Table	PRIMARY-KEY-F	$x$ is the primary key of $y$ .
		BELONGS-TO-F	$x$ is a column of $y$ (but not the primary key).
Table	Column	PRIMARY-KEY-R	$y$ is the primary key of $x$ .
		BELONGS-TO-R	$y$ is a column of $x$ (but not the primary key).
Table	Table	FOREIGN-KEY-TAB-F	Table $x$ has a foreign key column in $y$ .
		FOREIGN-KEY-TAB-R	Same as above, but $x$ and $y$ are reversed.
		FOREIGN-KEY-TAB-B	$x$ and $y$ have foreign keys in both directions.

Table 1: Description of edge types present in the directed graph created to represent the schema. An edge exists from node  $x$  to node  $y$  if the pair fulfills one of the descriptions listed in the table, with the corresponding label. Otherwise, no edge exists from  $x$  to  $y$ .

119 mechanism retrieves a weighted sum of the column embeddings for the LSTM state of each token.  
120 These two are concatenated together and processed together in another bidirectional LSTM, to obtain  
121 the final embeddings for each question token.

122 IncSQL [13] uses “cross-serial attention”, also updating the column embeddings using the question  
123 token embeddings, in addition to the other direction used in Coarse2Fine.

## 124 5 Our Approach

125 In the previous section, we reviewed how previous neural methods developed for the text-to-SQL  
126 problem encode the input (the question and the database schema) for use in the decoder. Several of  
127 these methods encode the question and the columns entirely independently (e.g., the embedding of a  
128 column is uninfluenced by other columns in the schema).

129 In contrast, we specifically seek interactions between schema elements within our encoder, as  
130 explained in Sections 1 and 3. In this section, we describe how we encode the schema as a directed  
131 graph and use relation-aware self-attention to interpret it. We will use the following notation:

- 132 •  $c_i$  for each column in the schema. Each column contains words  $c_{i,1}, \dots, c_{i,|c_i|}$ .
- 133 •  $t_i$  for each table in the schema. Each table contains words  $t_{i,1}, \dots, t_{i,|t_i|}$ .
- 134 •  $q$  for the input question. The question contains words  $q_1, \dots, q_{|q|}$ .

### 135 5.1 Encoding the Schema as a Graph

136 To support reasoning about relationships between schema elements in the encoder, we begin by  
137 representing the database schema using a directed graph  $\mathcal{G}$ , where each node and edge has a label.  
138 We represent each table and column in the schema as a node in this graph, labeled with the words in  
139 the name; for columns, we prepend the type of the column to the label. For each pair of nodes  $x$  and  
140  $y$  in the graph, Table 1 describes when there exists an edge from  $x$  to  $y$  and the label it should have.

### 141 5.2 Initial Encoding of the Input

142 We now obtain an initial representation for each of the nodes in the graph, as well as for the words  
143 in the input question. For the graph nodes, we use a bidirectional LSTM over the words contained  
144 in the label. We concatenate the output of the initial and final time steps of this LSTM to form  
145 the embedding for the node. For the question, we also use a bidirectional LSTM over the words.  
146 Formally, we perform the following:

$$\begin{aligned}
(\mathbf{c}_{i,0}^{\text{fwd}}, \mathbf{c}_{i,0}^{\text{rev}}, \dots, (\mathbf{c}_{i,|c_i|}^{\text{fwd}}, \mathbf{c}_{i,|c_i|}^{\text{rev}})) &= \text{BiLSTM}_{\text{Column}}(c_i^{\text{type}}, c_{i,1}, \dots, c_{i,|c_i|}); & \mathbf{c}_i^{\text{init}} &= \text{Concat}(\mathbf{c}_{i,|c_i|}^{\text{fwd}}, \mathbf{c}_{i,0}^{\text{rev}}) \\
(\mathbf{t}_{i,1}^{\text{fwd}}, \mathbf{t}_{i,1}^{\text{rev}}, \dots, (\mathbf{t}_{i,|t_i|}^{\text{fwd}}, \mathbf{t}_{i,|t_i|}^{\text{rev}})) &= \text{BiLSTM}_{\text{Table}}(t_{i,1}, \dots, t_{i,|t_i|}); & \mathbf{t}_i^{\text{init}} &= \text{Concat}(\mathbf{t}_{i,|t_i|}^{\text{fwd}}, \mathbf{t}_{i,1}^{\text{rev}})
\end{aligned}$$

$$(\mathbf{q}_1^{\text{fwd}}, \mathbf{q}_1^{\text{rev}}, \dots, (\mathbf{q}_{|q|}^{\text{fwd}}, \mathbf{q}_{|q|}^{\text{rev}})) = \text{BiLSTM}_{\text{Question}}(q_1, \dots, q_{|q|}); \quad \mathbf{q}_i^{\text{init}} = \text{Concat}(\mathbf{q}_i^{\text{fwd}}, \mathbf{q}_i^{\text{rev}})$$

147 where each of the BiLSTM functions first lookup word embeddings for each of the input tokens. The  
148 LSTMs do not share any parameters with each other.

### 149 5.3 Relation-Aware Self-Attention

150 At this point, we have representations  $\mathbf{c}_i^{\text{init}}$ ,  $\mathbf{t}_i^{\text{init}}$ , and  $\mathbf{q}_i^{\text{init}}$ . Similar to encoders used in some previous  
151 papers, these initial representations are independent of each other (uninfluenced by which other  
152 columns or tables are present). Now, we would like to imbue these representations with the informa-  
153 tion in the schema graph. We use a form of self-attention [16] that is relation-aware [12] to achieve  
154 this goal.

155 In one step of relation-aware self-attention, we begin with an input  $\mathbf{x}$  of  $n$  elements (where  $x_i \in \mathbb{R}^{d_x}$ )  
156 and transform each  $x_i$  into  $y_i \in \mathbb{R}^{d_z}$ . We follow the formulation described in Shaw et al. [12]:

$$e_{ij}^{(h)} = \frac{x_i W_Q^{(h)} (x_j W_K^{(h)} + \mathbf{r}_{ij}^{\mathbf{K}})^T}{\sqrt{d_z/H}}; \quad \alpha_{ij}^{(h)} = \frac{\exp(e_{ij}^{(h)})}{\sum_{l=1}^n \exp(e_{il}^{(h)})}$$

$$z_i^{(h)} = \sum_{j=1}^n \alpha_{ij}^{(h)} (x_j W_V^{(h)} + \mathbf{r}_{ij}^{\mathbf{V}}); \quad z_i = \text{Concat}(z_i^{(0)}, \dots, z_i^{(H)})$$

$$\tilde{y}_i = \text{LayerNorm}(x_i + z_i); \quad y_i = \text{LayerNorm}(\tilde{y}_i + \text{FC}(\text{ReLU}(\text{FC}(\tilde{y}_i))))$$

157 The  $r_{ij}$  terms encode the relationship between the two elements  $x_i$  and  $x_j$  in the input. We explain  
158 how we obtain  $r_{ij}$  in the next part.

159 **Application Within Our Encoder** At the start, we construct the input  $x$  of  $|c| + |t| + |q|$  elements  
160 using  $\mathbf{c}_i^{\text{init}}$ ,  $\mathbf{t}_i^{\text{init}}$ , and  $\mathbf{q}_i^{\text{init}}$ :

$$x = (\mathbf{c}_1^{\text{init}}, \dots, \mathbf{c}_{|c|}^{\text{init}}, \mathbf{t}_1^{\text{init}}, \dots, \mathbf{t}_{|t|}^{\text{init}}, \mathbf{q}_1^{\text{init}}, \dots, \mathbf{q}_{|q|}^{\text{init}}).$$

161 We then apply a stack of  $N$  relation-aware self-attention layers, where  $N$  is a hyperparameter. We set  
162  $d_z = d_x$  to facilitate this stacking. The weights of the encoder layers are not tied; each layer has its  
163 own set of weights.

164 We define a discrete set of possible relation types, and map each type to an embedding to obtain  $r_{ij}^{\mathbf{V}}$   
165 and  $r_{ij}^{\mathbf{K}}$ . We need a value of  $r_{ij}$  for every pair of elements in  $x$ . If  $x_i$  and  $x_j$  both correspond to nodes  
166 in  $\mathcal{G}$  (i.e. each is either a column or table) with an edge from  $x_i$  to  $x_j$ , then we use the label on that  
167 edge (possibilities listed in Table 1).

168 However, this is not sufficient to obtain  $r_{ij}$  for every pair of  $i$  and  $j$ . In the graph we created for the  
169 schema, we have no nodes corresponding to the question words; not every pair of nodes in the graph  
170 has an edge between them (the graph is not complete); and we have no self-edges (for when  $i = j$ ).  
171 As such, we add more types beyond what is defined in Table 1:

- 172 • If  $i = j$ , then COLUMN-IDENTITY or TABLE-IDENTITY.
- 173 •  $x_i \in \text{question}$ ,  $x_j \in \text{question}$ :  
174 QUESTION-DIST- $d$ , where  $d = \text{clip}(j - i, D)$ .  $\text{clip}(a, D) = \max(-D, \min(D, a))$ . We  
175 use  $D = 2$ .
- 176 •  $x_i \in \text{question}$ ,  $x_j \in \text{column} \cup \text{table}$ ; or  $x_i \in \text{column} \cup \text{table}$ ,  $x_j \in \text{question}$ :  
177 QUESTION-COLUMN, QUESTION-TABLE, COLUMN-QUESTION or TABLE-QUESTION  
178 depending on the type of  $x_i$  and  $x_j$ .
- 179 • Otherwise, one of COLUMN-COLUMN, COLUMN-TABLE, TABLE-COLUMN, or TABLE-  
180 TABLE.

181 In the end, we add 2 + 5 + 4 + 4 types beyond the 10 in Table 1, for a total of 25 types.

182 After processing through the stack of  $N$  encoder layers, we obtain

$$(\mathbf{c}_1^{\text{final}}, \dots, \mathbf{c}_{|c|}^{\text{final}}, \mathbf{t}_1^{\text{final}}, \dots, \mathbf{t}_{|t|}^{\text{final}}, \mathbf{q}_1^{\text{final}}, \dots, \mathbf{q}_{|q|}^{\text{final}}) = y.$$

183 We use  $\mathbf{c}_i^{\text{final}}$ ,  $\mathbf{t}_i^{\text{final}}$ , and  $\mathbf{q}_i^{\text{final}}$  in our decoder.

184 **Comparison to Past Work** We use the same formulation of relation-aware self-attention as Shaw  
 185 et al. [12]. However, that work only applied it to sequences of words in the context of machine  
 186 translation, and as such, their  $r_{ij}$  only encoded the relative distance between two words. We go  
 187 beyond by also showing that relation-aware self-attention can be effectively used for encoding more  
 188 complex relationships that exist within an unordered sets of elements (in this case, columns and tables  
 189 within a database schema).

190 Compared to the encoders used in past work such as Coarse2Fine [3] and IncSQL [13], our novel use  
 191 of relation-aware self-attention frees our encoder from spurious consideration of the order in which  
 192 the columns and tables are presented in the schema (as the relations we have defined are not impacted  
 193 by this order).

194 In their implementation, Shaw et al. [12] shares  $r_{ij}^K$  across the  $H$  heads and the  $b$  examples in a batch,  
 195 which meant they could use  $n$  parallel multiplications of  $bH \times (d_z/H)$  and  $(d_z/H) \times n$  matrices.  
 196 This is possible as  $r_{ij}^K$  does not change across the batch when only encoding the relative distances  
 197 between words. However, due to the more varied relations between  $x_i$  in our work, we instead use  $bn$   
 198 parallel multiplications of  $H \times (d_z/H)$  and  $(d_z/H) \times n$  matrices, exploiting the fact that we share  
 199  $r_{ij}^K$  across the  $H$  heads.

## 200 5.4 Decoder

201 Once we have obtained an encoding of the input, we used the decoder from Yin and Neubig [19] to  
 202 generate the SQL query. The decoder generates the SQL query as an abstract syntax tree in depth-first  
 203 traversal order, by outputting a sequence of *production rules* that expand the last generated node in  
 204 the tree. However, following SyntaxSQLNet [21], the decoder does not generate the FROM clause;  
 205 rather, it is recovered afterwards with hand-written rules using the columns referred to in the query.  
 206 The decoder is restricted to choosing only syntactically valid production rules, and therefore it always  
 207 produces syntactically valid outputs. To save space, we refer readers to Yin and Neubig [19], although  
 208 we made the following modifications:

- 209 • When the decoder needs to output a column or table, we use a pointer network based on  
 210 scaled dot-product attention [16] which points to  $\mathbf{c}_i^{\text{final}}$  and  $\mathbf{t}_i^{\text{final}}$ . For choosing a table, we  
 211 allow the decoder to point to either the correct  $\mathbf{t}_i^{\text{final}}$ , or any of the  $\mathbf{c}_i^{\text{final}}$  for the columns  
 212 which make up that table.
- 213 • At each step, the decoder accesses the encoder outputs  $\mathbf{c}_i^{\text{final}}$ ,  $\mathbf{t}_i^{\text{final}}$ , and  $\mathbf{q}_i^{\text{final}}$  using multi-head  
 214 attention. The original decoder in Yin and Neubig [19] uses a simpler form of attention.

## 215 6 Experiments

216 In this section, we describe the experiments we conducted to empirically validate our schema encoding  
 217 approach.

### 218 6.1 Experimental Setup

219 We implemented our model using PyTorch [9]. Within the encoder, we use GloVe word embeddings  
 220 and hold them fixed during training. All word embeddings have dimension 300. The bidirectional  
 221 LSTMs have hidden size 128 per direction, and use the recurrent dropout method of Gal  
 222 and Ghahramani [5] with rate 0.2. Within the relation-aware self-attention layers, we set  $d_x = d_z = 256$ ,  
 223  $H = 8$ , and use dropout with rate 0.1. The position-wise feed-forward network has inner layer  
 224 dimension 1024. Inside the decoder, we use rule embeddings of size 128, node type embeddings of  
 225 size 64, and a hidden size of 256 inside the LSTM with dropout rate 0.2 .

226 We used the Adam optimizer [7] with  $\beta_1 = 0.9$ ,  $\beta_2 = 0.999$ , and  $\epsilon = 10^{-9}$ , which are defaults  
 227 in PyTorch. During the first  $warmup\_steps = max\_steps/20$  steps of training, we linearly  
 228 increase the learning rate from 0 to  $10^{-3}$ . Afterwards, the learning rate is annealed to 0, with formula  
 229  $10^{-3} \left(1 - \frac{step - warmup\_steps}{max\_steps - warmup\_steps}\right)^{-0.5}$ . For all parameters, we used the default initialization method  
 230 in PyTorch. We use a batch size of 50 and train for up to 40,000 steps.

Table 2: Exact match accuracy of different models on the development set of Spider. The first row is the SyntaxSQLNet [21] baseline; the second row is our method; the remainder are ablations on our method.

Model	Easy	Medium	Hard	Extra Hard	All
SyntaxSQLNet	38.40%	15.00%	16.09%	3.53%	18.96%
Our method	57.20%	44.55%	39.66%	21.18%	<b>42.94%</b>
No self-attention layers	42.40%	24.77%	22.41%	5.88%	25.53%
2 self-attention layers	53.60%	42.50%	40.80%	17.65%	40.81%
Fewer relation types	44.80%	30.45%	25.86%	7.65%	29.40%
Minimal relation types	42.40%	28.86%	28.74%	7.65%	28.63%
No pretrained word embeddings	40.80%	29.09%	27.01%	5.88%	27.76%

231 **6.2 Dataset and Metrics**

232 We use the Spider dataset [22] for all our experiments. As described by Yu et al. [22], the training  
 233 data contains questions, queries, and schemas from the Restaurants [10, 15], GeoQuery [23], Scholar  
 234 [6], Academic [8], Yelp and IMDB [18] datasets. We do **not** use the data augmentation scheme of Yu  
 235 et al. [21].

236 As Yu et al. [22] have kept the test set secret, we perform all evaluations using the publicly available  
 237 development set. We report results using the same metrics as Yu et al. [21]: exact match accuracy on  
 238 all development set examples, as well as after division into four levels of difficulty. We also measure  
 239 *component matching* scores, as defined in Yu et al. [22]. As in previous work, these metrics do not  
 240 measure the model’s performance on generating values within the queries. We report results from the  
 241 snapshot that obtained the best exact match accuracy across 3 repetitions of each configuration.

242 **6.3 Variants Tested**

243 Our main result uses the encoder and decoder described previously, with the number  $N$  of relation-  
 244 aware self-attention layers in the encoder set to 4. To further study the utility of our scheme, we also  
 245 tried the following variations.

246 **Reduce number of self-attention layers.** Set  $N = 0$  and  $N = 2$ . With  $N = 0$ , there are no  
 247 relation-aware self-attention layers; we set  $\mathbf{c}_i^{\text{final}} = \mathbf{c}_i^{\text{init}}$ ,  $\mathbf{t}_i^{\text{final}} = \mathbf{t}_i^{\text{init}}$ , and  $\mathbf{q}_i^{\text{final}} = \mathbf{q}_i^{\text{init}}$ . As such, the  
 248 question words, the words in each column’s name, and the words in each table’s name are encoded  
 249 separately using bidirectional LSTMs.

250 **Remove relation information from the encoder.** We would like to measure the impact of provid-  
 251 ing to the encoder the 25 relation types we defined earlier. In particular, we want to see whether  
 252 the self-attention mechanism is sufficient within the encoder to obtain a representation for each  
 253 schema element that is aware of all of the other schema elements, even if we don’t explicitly provide  
 254 information about how the elements are related.

255 For “fewer relation types”, we exclude all of the types in Table 1, resulting in 15 rather than 25  
 256 possible types. For “minimal relation types”, we further merge all of {QUESTION,COLUMN,TABLE}-  
 257 {QUESTION,COLUMN,TABLE} relations into one, as well as {COLUMN,TABLE}-IDENTITY with  
 258 QUESTION-DIST-0, and so we only have 5 types.

259 **Not using pretrained word embeddings.** The Spider dataset only contains 8,659 training exam-  
 260 ples, which is significantly smaller than many other datasets used in natural language processing.  
 261 However, there is also reduced overlap in the vocabulary between the training and validation/test sets,  
 262 as they contain different database schemas and domains. Therefore, we measure the impact of using  
 263 word embeddings learned from only this dataset.

## 264 7 Results and Discussion

265 Table 2 presents our exact match accuracy results on the development set of Spider, and Table ?? the  
266 component-matching F1 scores. For the SyntaxSQLNet row, we obtained the results by running the  
267 pretrained model without data augmentation from <https://github.com/taoyds/syntaxSQL>. As  
268 expected, our method exceeds the performance of all other configurations tried. In particular, we can  
269 see that our method strongly outperforms SyntaxSQLNet [21], the best published baseline, achieving  
270 42.94% exact match accuracy over the 18.96% of the previous work.

271 **Reducing the number of self-attention layers.** We can see that the process of relation-aware  
272 self-attention is critical for the performance of this encoder, as the accuracy drops precipitously  
273 when the self-attention layers are removed. We observe fairly marginal gains by using 4 such layers  
274 (in “Our method”) as opposed to 2 (“2 self-attention layers”).

275 **Removing relation information from the encoder.** Comparing against the rows of “No self-  
276 attention layers” and “Our method”, we see that while having self-attention layers helps increase  
277 performance, it is the relation information provided to the encoder that is responsible for most of the  
278 gains.

279 **Not using pretrained word embeddings.** Given the small size of the training data, using pretrained  
280 word embeddings helps significantly with our result; in fact, our encoder used without pretrained  
281 word embeddings performs only slightly better than when we remove all of the self-attention layers  
282 but keep the GloVe word embeddings. However, when we evaluate the model without pretrained  
283 word embeddings on the subset of the development set where all question words have a learned  
284 embedding (i.e. no UNKs in the question; 239 out of 1034 examples), then the exact match accuracy  
285 recovers to 40.17%, indicating that UNKs can seriously hurt the performance of the method.

## 286 8 Conclusion

287 This paper proposes the use of relation-aware self-attention [12] when encoding a database schema  
288 and a natural language question for the purposes of synthesizing a SQL query. We achieve significantly  
289 better results on the Spider dataset than the best published result of Yu et al. [21]. Our ablation study  
290 confirms the importance of encoding relations directly in the self-attention mechanism.

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