

# Adaptive Forms: An Interaction Paradigm for Entering Structured Data

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## ABSTRACT

Many software applications solicit input from the user via a "forms" paradigm that emulates their paper equivalent. It exploits the users' familiarity with these and is well suited for the input of simple attribute-value data (name, phone number, ...). The paper-forms paradigm starts breaking down when there is user input that may or may not be applicable depending on previous user input. In paper-based forms, this manifests itself by sections marked "fill out only if you entered *yes* in question *8a* above", and simple electronic forms suffer from the same problem - much space is taken up for input fields that are not applicable.

One possible approach to making only relevant sections appear is to hand-write program fragments to hide and show them. As an alternative, we have developed a form specification language based on a context-free grammar that encodes data dependencies of the input, together with an accompanying run-time interpreter that uses novel layout techniques for collapsing already-entered input fields, for "blending" input fields possibly yet to come, and for showing only the applicable sections of the form.

## Keywords

Data entry; layout, parsing, user interfaces, human-computer interaction

## INTRODUCTION

Adaptive Forms is a tool for producing context-sensitive form-based interfaces. The system initially displays an overview of the main sections of a form, and an initial set of fields for the user to fill in. Depending on the values that the user enters, Adaptive Forms progressively adds new fields to the form. For example, a form for entering household information would show the user fields for entering the spouse's name only if the user had entered "married" in the "marital status" field.

The main design goal for Adaptive Forms is in entering structured information rapidly and without errors. One of our target applications was the specification of air campaign objectives, which are structured objects consisting of a verb (e.g., deny, gain), an aspect (e.g., what to deny or gain), an actor (e.g., country, a branch of armed forces), a location (e.g., a country or a region) and a time period. Each of the parts is itself a structured object whose sub-structure and

possible values depend on the values specified for the other parts. For example, the aspects that can be gained are different from the aspects that can be denied, so the interface needs to compute the menus for the "aspect" field dynamically based on the fillers of other fields. Similar requirements arise in virtually any other application domain.

## EXAMPLE

The use of an Adaptive Form is best explained with an example. We have written a grammar for operational objectives of a fictional Southern California Emergency Response Center. Figure 1 shows the initial screen. The field labelled "evacuate/ensure" is the currently-active field, highlighted with a thick border (and with a red-brick background color that is hard to see in this black-and-white screenshot). The remaining fields are computed by "looking ahead" in the input grammar to the possible completions of the current sentence. Required fields are indicated by a solid border while optional fields have a dotted border. The captions beneath the fields give an indication of what goes into them.

The first row tells us that the current field is required and may contain either *evacuate* or *ensure*, that the next field is also required but that its possible contents cannot be determined until we have filled in the current field, and that the third field is optional. The second row is required, and it always starts with *using the*. The third and fourth rows are entirely optional.

Figure 2 shows the interface after the user has typed *ev<TAB>* (the character 'e', the character 'v', and the TAB character). The Adaptive Form auto-completes all input so that only disambiguating input has to be entered, similar to the auto-completion in the Intuit Quicken personal finance program and in the Emacs editor [6]. In response, the cursor advances to the next field and the interface shows one more nesting level ahead (the *Evacuate-from-where clause* field from Figure 1 has expanded into two fields in Figure 2 - 'from' and *Evacuate from where?*). The lower pane shows the possible choices for the current field.

Figure 3 shows the state after the user has typed *d<TAB>M*. Malibu and Marina del Rey are highlighted in yellow as they are the possible choices for the character *M* (which is unfortunately nearly impossible to distinguish from the background in the black-and-white screenshot - the arrows point to the highlighted choices). Per the input grammar, an evacuation is possible from either a city or a county - the interface uses a multi-column format with headers to convey this to the user.

The order of the possible values for the current field is defined by the forms designer, and may be in alphabetical or

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MasterMind Adaptive Form: Southern California Emergency Response Center

**Objective**

'evacuate'/'ensure'      Evacuees/Ensure what?      Evacuate-from-where clause

**Who?** using the

Performer

**When?**

before/'after'...      Time/Phase      and      Time

**Where?**

Area modifier      Area

Ok  
Apply  
Cancel  
Clear

Figure 1. Emergency Response Center Example, Initial Screen

MasterMind Adaptive Form: Southern California Emergency Response Center

**Objective**

'domestic animals'/'civilians' ...

'from'      Evacuate from where?

**Who?** using the

Performer

evacuate

*Evacuees*

domestic animals  
civilians  
law enforcement personnel

Ok  
Apply  
Cancel  
Clear

Figure 2. Emergency Response Center Example, Screen Two

MasterMind Adaptive Form: Southern California Emergency Response Center

**Objective**

Evacuate from where?

**Who?** using the

Performer

evacuate domestic animals from M

City	County
Malibu	Los Angeles County
Pacific Palisades	Orange County
Santa Monica	Ventura County
Venice Beach	
Marina del Rey	

Ok  
Apply  
Cancel  
Clear

Figure 3. Emergency Response Center Example, Screen Three

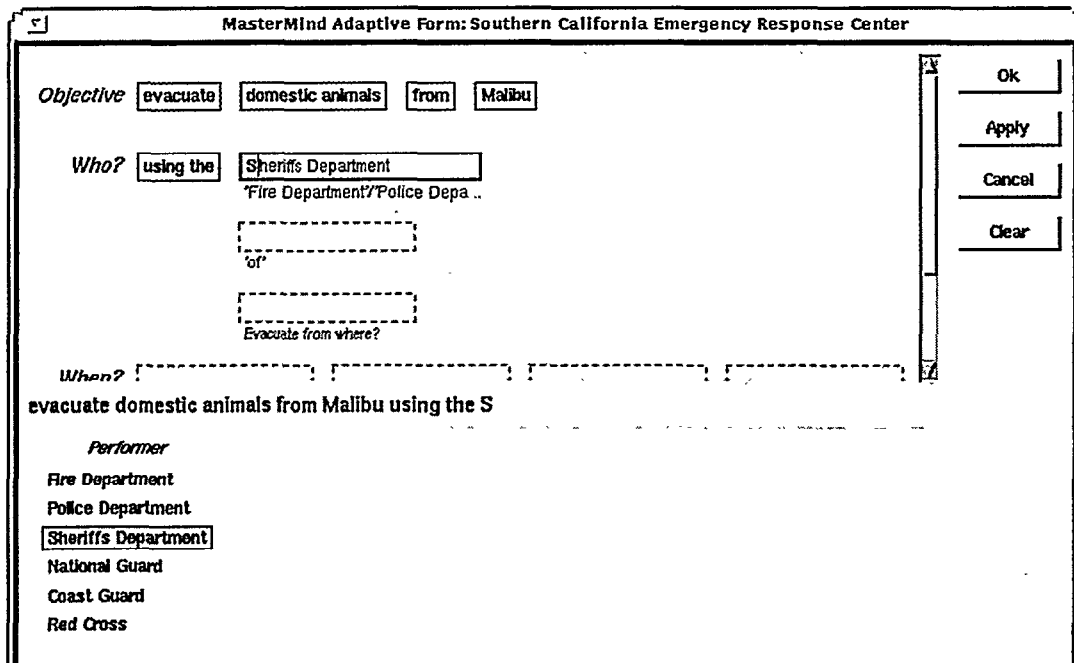


Figure 4. Emergency Response Center Example, Screen Four

der or in a domain-specific order (in Figure 3, the cities shown line the coast near Los Angeles, and are listed from North to South).

Figure 4 shows the interface after the user has clicked on *Malibu* (selecting a current choice with the mouse is equivalent to typing a disambiguating prefix of it and pressing the *Tab* key). After a top-level clause is completed it reverts to a single-row layout to conserve screen space (see the *Objective* clause in Figure 4). One more nesting level is shown for the *Who?* clause as it became the active clause, and the *Sheriffs Department* choice is highlighted in green as it is the only choice matching the user input "S" (meaning that hitting the *Tab* key now will select it). In addition, the auto-completion "*heriffs Department*" is shown in low contrast in the field itself.

Not shown in this example is the entry of user-defined text, such as of a custom city. There are two possible cases: (1) the input of user-defined text is expected, but some often-used choices are presented for the user's convenience, or (2) the users are strongly encouraged to stay with the pre-defined choices. In the former case, the interpreter accepts the input without question while in the latter case users have to explicitly press a "Type my own" button to deviate from the standard choices.

#### FORM SPECIFICATION

The specification language for Adaptive Forms is based on context free grammars. Our notation is similar to Backus-Naur Form, but augmented with labels that can be attached to the non-terminal on the left-hand side of the production. These labels are used to generate prompts for the fields and headers for the menus. The following three grammar rules illustrate our notation:

```
evacuateObjective "Evacuate":
```

```
'evacuate' evacuateEvacuee 'from'
  evacuateFromClause;
evacuateEvacuee "Evacuees":
  'domestic animals' |
  'civilians' |
  'law enforcement personnel';
evacuateFromClause "From": city | county;
```

Our convention for writing the grammar specification is the following: symbols without quotes (e.g., *evacuateObjective*) represent non-terminal symbols in the grammar; symbols in single quotes (e.g., 'domestic animals') represent terminals in the grammar, and symbols in double quotes are labels attached to non-terminals.

Developers can think of a grammar as defining the set of sentences that user can enter (language parsing view), or as defining the data users can enter (structured editor view). We encourage the structured-editor view, where non-terminals represent object types, and terminals represent literal values of a given type.

The first production shown above illustrates the specification of a structured object containing two attributes (*evacuateEvacuee* and *evacuateFromClause*). The terminal 'evacuate' can be thought of as marker for the structured object, which can be used to distinguish it from other objects having attributes with the same types. The terminal 'from' can be thought of as a marker for the following attribute, as it is used to distinguish between objects with the same structure. The second production defines a primitive type (*evacuateEvacuee*) and specifies the values or instances of this type. The third production illustrates the definition of sub-types. The type *evacuateFromClause* is defined as having two subtypes, *city* and *county*. This means that any attribute that is declared to hold a *evacuateFromClause* can be filled with a city or a county.

The form for the example specification above will initially have four fields, corresponding to the four symbols in the expansion of `evacuateObjective`. The first and third fields will be filled by literals ('evacuate' and 'from'), and they will behave as labels (they will be tabbed over automatically). The choices for the second field (*evacuate whom?*) will contain all the literals in the expansion of the who non-terminal ('domestic animals', etc.) The choices for the fourth field (*evacuate from where?*) will have two columns, one for cities and one for counties.

An important aspect of Adaptive Forms is that it is trivial to extend the specification to include new data. For example, suppose that we want to extend the form to allow evacuations from the intersection of two streets (e.g., from a building at Lincoln Boulevard and Mindanao Way). We would modify the rule for `evacuateFromClause` to include a new element called `evacuateLocation`, and we would define a new rule for `evacuateLocation`:

```
evacuateFromClause "From":
    city | county | evacuateLocation;
evacuateLocation "Location":
    'building at' road 'and' road;
```

The Adaptive Forms interpreter constructs the forms as appropriate. If the system is set to produce short forms, the initial form would look as described before (four fields). Now, once the user selects "building at" for the fourth field, the interpreter determines that the user is entering a location, and adds three new fields to the form, two to enter roads, and one pre-filled with 'and'. If the system is set to produce expanded forms, the initial form would contain seven fields: the four fields of the original example, plus the three new fields required for evacuation from an intersection. The three new fields would be marked as optional because the user only has to fill them if he or she enters 'building at' in the first field for location (where a city or county name can also be entered). When this happens, the system knows that the user is entering a `evacuateLocation`, so it converts the fields from optional to required. If the user does not enter 'building at', the three optional fields are removed.

Below we show the complete grammar used to generate the screen shots for our running example. We require that the grammar be unambiguous (more precisely, that for all right-hand sides of a non-terminal their FIRST sets do not intersect [1]). This restriction facilitates writing a recursive-descent parser that requires no backtracking.

The first section of the grammar provides for user-defined symbols, if any. In this particular grammar, we let users input their own city names if the grammar does not already contain them. The definition consists of a name for the symbol, a regular expression for the allowed character sequence, and a quoted string that can be shown to the user.

```
// Regular expressions for user input.
UserDefinedCity ([a-zA-Z][a-zA-Z ]+)
"Custom City"
Cardinal ([0-9]+) "Positive Number"
ArbitraryText () "Free-form Text"
```

Note that we do not allow two user-defined symbols to be active at the same time as that would introduce ambiguity.

For example, if `UserDefinedCity` and `ArbitraryText` were active at the same time, then we could not tell which one was selected by the input "Los Angeles". This restriction is somewhat draconian as there are situations where we could tell them apart (e.g. `UserDefinedCity` and `Cardinal`); in practice, we currently disambiguate by pre-fixing user-defined symbols with other symbols that make them unique (e.g. 'City' 'of' <`UserDefinedCity`> | 'County' 'of' <`UserDefinedCounty`> rather than just <`UserDefinedCity`> | <`UserDefinedCounty`>). The next section of the grammar contains the actual rules.

```
z "Southern California Emergency Response
Center": objective who when where;
```

```
city "City":
    'Malibu' | 'Pacific Palisades' |
    'Santa Monica' | 'Venice Beach' |
    'Marina del Rey' | 'Playa del Rey' |
    'El Segundo' | 'Manhattan Beach' |
    'Redondo Beach' | 'Palos Verdes' |
    UserDefinedCity;
county "County":
    'Los Angeles County' |
    'Orange County' |
    'Ventura County';
```

```
objective "Objective":
    evacuateObjective | ensureObjective;
evacuateObjective "Evacuate":
    'evacuate' evacuateEvacuee
    evacuateFromClause;
evacuateEvacuee "Evacuees":
    'domestic animals' |
    'civilians' |
    'law enforcement personnel';
evacuateFromClause "Evacuate-from-where
clause": | 'from' evacuateFromWhat;
evacuateFromWhat "Evacuate from where?":
    city | county;
ensureObjective "Ensure":
    'ensure' ensureWhat;
ensureWhat "Ensure what?":
    'water supply' | 'use of roads';
```

```
who "Who?": 'using the' performer;
performer "Performer":
    'Fire Department' 'of' city |
    'Police Department' 'of' city |
    'Sheriffs Department' 'of' county |
    'National Guard' | 'Coast Guard' |
    'Red Cross';
```

```
when "When?":
    'before' time | 'after' time |
    'between' time 'and' time | 'during' phase |;
time "Time": timeDay timePlusMinusPhrase;
timeDay "Event":
    'occurrence-of-disaster day' |
    'abandon-search-for-survivors day';
timePlusMinusPhrase "Plus-or-minus
clause": | timePlusMinus timeNumber;
timePlusMinus "+/-" : '+' | '-';
timeNumber "#": '1' | '2' | '3' | '4' | '5' |
    '6' | '7' | '8' | '9' | '10' | Cardinal;
phase "Phase": 'Phase I' | 'Phase II'
    | 'Phase III' | ArbitraryText;
```

```
where "Where?": areaModifier area |;
areaModifier "Area modifier":
    'in' | 'around' | 'over' | 'at';
area "Area": city | county;
```

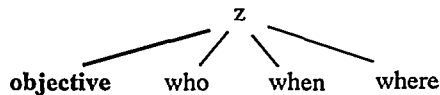
## RUN-TIME INTERPRETATION AND LAYOUT

The Adaptive Forms interpreter is a stand-alone X-Windows application that is called by a client application via the UNIX pipe mechanism. The Adaptive Forms interpreter then notifies the client application with the data (the parse tree) whenever the user submits a form (the *Ok* button submits the data and quits the Adaptive Forms interpreter, the *Apply* button just submits).

We will use the following terminology in this section. A *grammar* consists of *regular expressions* and *rules* (there are 3 regular expressions and 22 rules in our example grammar above). A rule has a name, a label, and one or more *expansions* (the “evacuateFromWhat” rule has two expansions, “city” and “county”). An expansion consists of zero or more *symbols*. An individual symbol is either a non-terminal, or a literal, or a reference to a regular expression (the “who” rule above has a single expansion consisting of the literal ‘using the’ followed by the non-terminal *performer*, and the last expansion of the “phase” rule consists of a reference to the regular expression *ArbitraryText*).

We use a recursive-descent parsing technique (as opposed to a shift-reduce technique such as LALR parsing) [1] so that the parse tree is explicitly represented at all times. This is convenient because the algorithm for laying out fields based on the grammar and the current state can then be implemented as a recursive function on the parse tree.

At start-up, and after the user competes input for a field, we “trivially-expand” the parse tree. This is done by placing the initial symbol on top of the parse tree and by then pushing rules with a single expansion onto the parse tree in a left-most derivation until we encounter a rule with more than one expansion (for which we need user input to make the decision on which of its expansions to follow).

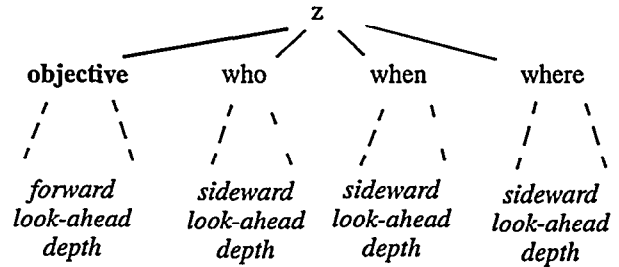


In our running example, the start symbol is *z*, which has only one right-hand-side expansion “*objective who when where*”, and is thus expanded. The rule for the *objective* non-terminal has more than one expansion, so that the trivial-expansion process stops (even though the *who* non-terminal could be trivially-expanded, the reason for not doing so will become clear shortly). Thus, the initial parse tree is as shown above.

In our terminology, “objective” is the *active non-terminal* (the one for which we currently need user input to decide which of its expansions to follow) and the path from the root to the active non-terminal is called the *active path* of the parse tree.

We control the screen layout by two “look-ahead” factors. The *forward look-ahead* determines how far ahead of the active non-terminal we are looking. The *sideward look-ahead* determines how far ahead of the leaf non-terminals not on the active path we are looking. (See diagram below.)

For example, the initial screen of our running example (Figure 1) had a forward look-ahead of one - that is, we go for-



ward one from the active non-terminal *objective* so that we have the alternatives for *evaluateObjective* and *ensureObjective* to present. The labels for those two alternatives are (1) ‘evacuate’ *Evacuees Evacuate-from-where-clause* and (2) ‘ensure’ *Ensure-what?*. The fields on the screen are then produced by transparently overlaying the alternatives. The screen in Figure 1 also had a sideward look-ahead of one: we applied the same procedure of looking one ahead of *who*, *when* and *where*.

Figure 5 shows the effect of setting the sideward look-ahead to zero, and Figure 6 shows the effect of setting the sideward look-ahead to two while setting the forward look-ahead to zero. Figure 5 also illustrates why we did not trivially-expand the *who* non-terminal in the parse-tree: doing so would make the *who* clause appear different from the *when* and *where* clause in Figure 5 because it would in effect force its sideward look-ahead to always be at least one.

In our experience, the optimal forward look-ahead is one or two, while the optimal sideward look-ahead is zero or one. The obvious trade-off is that an overly shallow look-ahead leaves the users in the dark while an overly deep look-ahead may confuse them because of the large number of fields. In addition, a deeper look-ahead demands more computational resources (while we have not yet encountered a situation where this was an issue).

## RELATED WORK

The system most closely related to this work is NLMenu from Texas Instruments, which also implements an interactive parser for a grammar, albeit aimed at natural language understanding [8,9]. It used a simple tiled-columns layout for presenting the possible sentences, and it also did not collapse the already-entered part of a sentence (it keeps showing the choices for past fields, which consume a large amount of screen space). The type of grammars and the parsing algorithms used in these systems are also different. NLMenu accepts an ambiguous grammars and uses a parser based on push-down automata. Adaptive Forms are driven by unambiguous grammar, and uses a recursive descent parser.

Our research should not be confused with earlier work on syntax-directed editors (see [7] for a good overview) - our focus is on forms and simple languages, not on general-purpose programming languages.

There are several tools for building forms that support dynamic hiding and exposure of fields. ActiveForms [10] is a system written in Tcl/Tk that runs under SurfIt, a Web browser also written in Tcl/Tk. ActiveForms allows developers to write Tcl scripts that are executed each time a user

Figure 5. Forward look-ahead of one, sideward look-ahead of zero (compare to Figure 1)

Figure 6. Forward look-ahead of zero, sideward look-ahead of two (compare to Figure 1)

enters a value in a field. ActiveForms allows these scripts to modify the form, by adding or deleting fields. To achieve this dynamic behavior the developer not only needs to attach a script to a field to create and define the layout of new fields, but also must be careful to write the scripts that remove fields when they are no longer needed. In our system, this work is done automatically. A nice aspect of ActiveForms is that the scripts can also be used for other purposes such as validating input, dynamically calling application procedures to generate menus, etc. We plan to extend Adaptive Forms with an application programming interface that will allow developers to define procedures that dynamically compute the set of terminals for a non-terminal, and also to perform input validation that is cumbersome or impossible to encode in a grammar.

Systems like Amulet [5], which use constraints, can also be used to specify relationships between fields so that the values and set of choices for one field can be computed based on the values of other fields. Amulet even allows the constraints to create new graphical objects, so it would be possible to write constraints that add and delete fields in a form. However, like in ActiveForms, developers must

explicitly write programming language code for that purpose (in C++).

Dynamic Forms [3] is another system that provides some capabilities to hide and expose fields in a form. Dynamic Forms allows forms to be organized in a hierarchy, and the forms interpreter provides a facility to let users hide or expose branches of the hierarchy. This feature allows users to conveniently view large forms. The main difference with Adaptive Forms is that fields are exposed and hidden under user control and not based on the data that the user is entering. The two systems are complementary, and we envision adding the ability to open and close the top-level sections of a form. Dynamic Forms also provides capabilities to validate and propagate field values, but developers must write Java code to implement these features for their forms.

#### CURRENT WORK

*Variable Input Focus* In a completely static form, users can change input focus by using the Tab key or clicking in another field, so that they can enter data for a subsequent field first, and so that they can go back and edit a previous field without losing any of the values they entered after it. In a

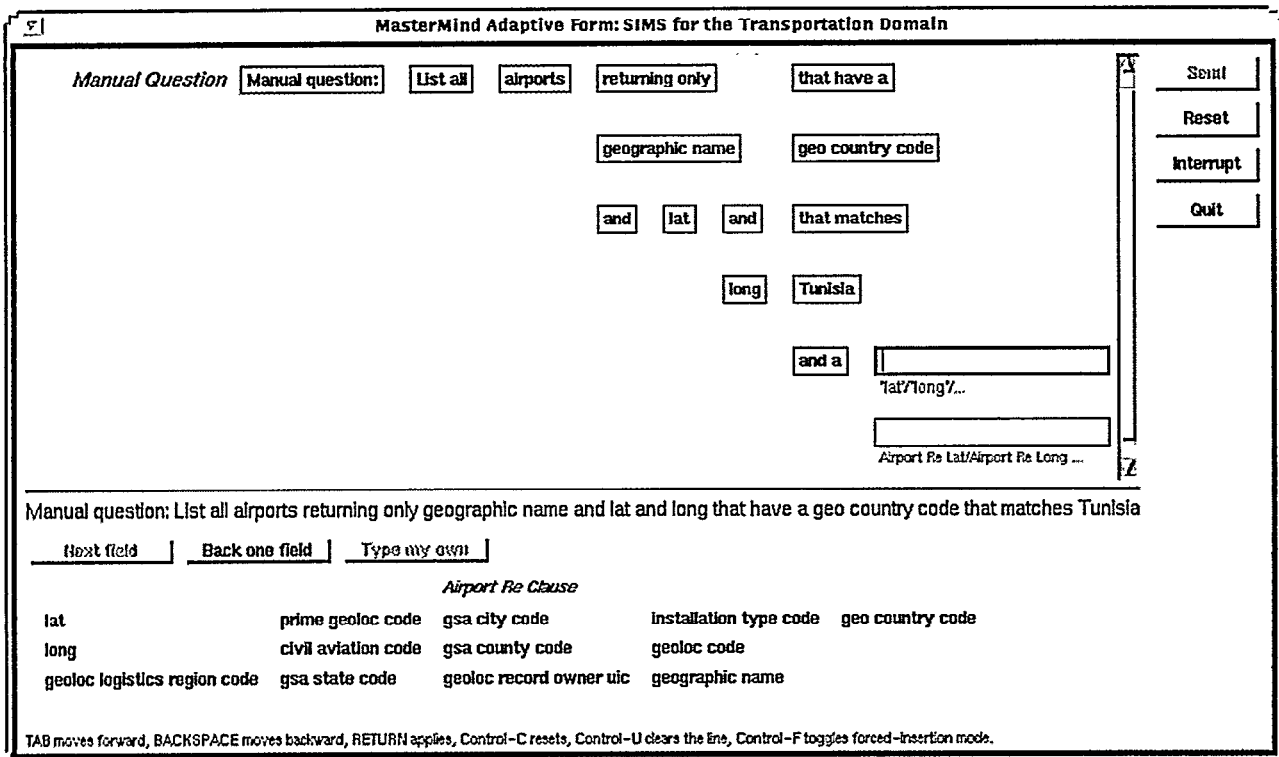


Figure 7. A Database Query Application of Adaptive Forms for Humanitarian Aid Mission Planning

fully dynamic form, this cannot always be allowed: a subsequent field may or may not be applicable based on a previous field, so that the users have to enter the previous field first; the users can also not go back and change a previous field without possibly losing some of the data they entered (e.g. they already entered the desired sail area of a sailboat, then they go back and decide they would rather own a power boat). Our current solution is to not allow any editing of previous fields without resetting to this field and thereby losing all the data they entered after it; this is too draconian because the Adaptive Form interpreter could determine what the dependencies between the fields are and allow users to edit previous field and preserve the subsequent data if the value of that previous field has no impact on the overall structure of the current sentence.

**Recursion** The grammar currently prohibits any form of recursion, so that it is not possible to specify that a non-terminal can appear a variable number of times. This limitation has already become apparent in a database query application of Adaptive Forms in which a possible sentence is "select \* where a=1 and b=1 and c=1". The number of "and" clauses is variable in this application. Our current stop-gap measure is to have a fixed number of non-terminals called *and1* through *and5*, each of which can expand into epsilon (into the null clause). The envisioned solution is to allow recursion in the grammar, and to enhance the run-time interpreter for detecting cycles. It could then present an upcoming variable number of fields using an ellipsis and optional fields: 'where' and-clause 'and' ... 'and' and-clause.

**Application Programming Interface (API)** In the same domain, we have also encountered the need for an application programming interface that lets the controlling application adapt the grammar as the user moves along. In our specific situation, imagine that there is one hundred tables in the database with ten attributes each and that the query language allows arbitrary joins between them. It is practically impossible to compute a static grammar encompassing all possibilities up-front because of the combinatorial explosion involved. Instead, only a skeleton grammar should be read in at first, and the further choices be computed from the database as the user goes along. Figure 7 shows a snapshot of Adaptive Forms as a query interface for international emergency relief operations (driven by a static grammar), developed in conjunction with the SIMS project [2].

**Web-based Version** Our current implementation is based on the X-Windows version of the Amulet toolkit [5]; we currently plan to also offer two Web-based implementations, one intended for machines with high network bandwidth and high processing power (such as desktop workstations), and one intended for lower-bandwidth yet low-latency network connections and little processing power (such as a hand-held Personal Digital Assistant with a cellular modem). The former implementation is a straight Java re-implementation of the current interface: the client machine downloads the entire grammar and interpreter and then locally interprets it with no further communication with the server. In the latter implementation, the interpreter resides on the server side as a Common Gateway Interface (CGI) program and sends plain HyperText Markup Language

(HTML) pages to the client one at a time. In order to minimize the server round-trips for the latter implementation we plan on making all leaf non-terminals of the current parse tree active non-terminals (thus, a user could simultaneously make the initial choice for the *objective*, *who*, *when*, and *where* clauses in our running example at once and only then submit the page to the server, cutting the overall round-trips for our running example from about ten to about three). We currently do have a preliminary CGI-based interpreter for Adaptive Form grammars but its usability lags far behind the X-Windows version (Figure 8).

Figure 8. Preliminary CGI-based Web Version (at the same stage as in Figure 2)

## CONCLUSIONS

Our experience with Adaptive Forms is limited but encouraging. We used the system for constructing an editor that allows air campaign planners to specify objectives (67 rules), and for constructing a database query interface (837 rules). The objectives editor allows users to enter thirty-two different kinds of objectives and was developed in consultation with domain experts. It has been used in several simulated exercises, but has not yet been deployed for routine use.

We have not performed any formal usability studies to determine whether users can in fact enter objectives faster using the editor than typing the paraphrase in English (one of the original design goals), but it appears so empirically. The grammar for the objectives editor was built by ourselves, and handed over to other developers who integrated it with other software. These developers were able, without any documentation or help from us, to enhance the grammar, and to also construct a new grammar for a different domain.

In conclusion, Adaptive Forms are attractive to developers because they can produce apparently custom-built, high-quality, domain-specific form-based user interfaces without ever having to deal with a user interface toolkit.

With the enhanced capability of accepting dynamically computed grammars, Adaptive Forms are double as easy-to-use, context sensitive query interfaces to databases.

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