705.641.81: Natural Language Processing Self-Supervised Models

Homework 1: Background Review + Building a classifier

For homework deadline and collaboration policy, please see our Canvas page.  
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Sources used for your homework, if any: Lecture Readings Content, Google Search AI, ChatGPT for latex and syntax support.

# Refreshing the Rows and Columns: Linear Algebra Review

For these questions, you may find it helpful to review [these notes on linear algebra](http://www.cs.ubc.ca/~schmidtm/Documents/2009_Notes_LinearAlgebra.pdf).

## Basic Operations

Use the definitions below,

and use to denote element of vector . Evaluate the following expressions:

1. (inner product).
2. (inner product between orthogonal vectors).
3. (vector addition and scalar multiplication).
4. (Euclidean norm of ).
5. (vector transpose).
6. (matrix-vector multiplication).
7. (quadratic form).

Note, you do not need to show your work.

## Matrix Algebra Rules

Assume that are column vectors and are real-valued matrices, and is the identity matrix of appropriate size. State whether each of the below is true in general (you do not need to show your work).

1. .
   * **TRUE**
2. .
   * **TRUE**
3. .
   * **FALSE**
4. .
   * **FALSE**
5. .
   * **FALSE**
6. .
   * **TRUE**
7. .
   * **FALSE**
8. .
   * **TRUE**
9. is the columns of are orthonormal.
   * **TRUE**

## Matrix operations

Let .

* Is invertible? If so, find .
* Is diagonalizable? If so, find its diagonalization.

# Taking Chances: Probability Review

## Basic probability

Answer the following questions. You do not need to show your work.

1. You are offered the opportunity to play the following game: your opponent rolls 2 regular 6-sided dice. If the difference between the two rolls is at least 3, you win $15. Otherwise, you get nothing. What is a fair price for a ticket to play this game once? In other words, what is the expected value of playing the game?
   * Fair price for a ticket to play the game i.e. expected value of paying the game
2. Consider two events and such that (they are mutually exclusive). If and , what is ? Note: means “probability of and ” while means “probability of or ”. It may be helpful to draw a Venn diagram.
3. Instead of assuming that and are mutually exclusive (, what is the answer to the previous question if we assume that and are independent?

## Expectations and Variance

Suppose we have two coins. Coin comes up heads with probability and coin comes up heads with probability . We repeat this process 3 times:

* Choose a coin with equal probability.
* Flip that coin once.

Suppose is the number of heads after 3 flips.

1. What is ?
2. What is ?
3. Based on the number of heads we get, we earn dollars. What is ?

## A Variance Paradox?

For independent identically distributed (i.i.d.) random variables , each with distribution and variance . We know that . On the other hand, if , then . Is there a contradiction here? Explain.

**Answer:**

Given are independent identically distributed random variables each with distribution .

with variance i.e. for

Variance of sum:

Here, since and are independent for and

# We are also given

This is because

as ‘’ denotes same variable (not two different variables i.e. not i.i.d random variables instead a single random variable)

Hence,

# Thus and because here refers to same variable.

i.e. applies if the variables being summed are i.i.different random variables. In (2), they are same variable, hence the difference due to adding covariance.

# **Hence there is no contradiction in the given statements.**

# Calculus Review

## One-variable derivatives

Answer the following questions. You do not need to show your work.

1. Find the derivative of the function .
2. Find the derivative of the function .
3. Let for . Compute the derivative of the function and simplify it by using the function .

Note that in this course we will use to mean the “natural” logarithm of , so that . Also, observe that for the final part.

**Answer:**

Thus,

## Multi-variable derivative

Compute the gradient of each of the following functions. You do not need to show your work.

1. where .
2. where .
3. where and .
4. where and .
5. where .

Hint: it is helpful to write out the linear algebra expressions in terms of summations.

# Algorithms and Data Structures Review

For these questions you may find it helpful to review [these notes](http://www.cs.ubc.ca/~schmidtm/Courses/Notes/bigO.pdf) or [this Wiki page](https://en.wikipedia.org/wiki/Big_O_notation) on big-O notation. Now, answer the following questions using big- notation You do not need to show your work.

1. What is the cost of running the merge-sort algorithm to sort a list of numbers?
2. What is the cost of finding the third-largest element of an unsorted list of numbers?
3. What is the cost of finding the smallest element greater than 0 in a *sorted* list with numbers?
4. What is the cost of finding the value associated with a key in a hash table with numbers?  
   (Assume the values and keys are both scalars.)
5. What is the cost of computing the matrix-vector product when is and is ?
6. What is the cost of computing the quadratic form when is and is ?
7. What is the cost of computing matrix multiplication when is and is ?

# Programming

In this programming homework, we will

* get familiar with PyTorch and its basics.
* build simple text classifiers with Pytorch for sentiment classification.
* explore different word representational choices (i.e. pre-trained word embeddings) and their effects on the performance of the classifiers.

#### Skeleton Code and Structure:

The code base for this homework can be found through our Canvas page. Your task is to fill in the missing parts in the skeleton code, following the requirements, guidance, and tips provided in this pdf and the comments in the corresponding .py files. The code base has the following structure:

* basics.py introduces and demonstrates the usage of PyTorch basics, e.g. tensors, tensor operations, etc.
* model.py implements a sentiment classifier on movie reviews from scratch with PyTorch.
* main.py provides the entry point to run your implementations in both basics.py and model.py.
* hw1.md provides instructions on how to setup the environment and run each part of the homework in main.py

**TODOs** — Many parts of this homework involve simply understanding and running the code already provided in the skeleton, while there is a subset of tasks where you need to 1) generate plots and write short answers based on the results of running the code; 2) fill in the blanks in the skeleton to complete the pipeline. We will explicitly mark these plotting, written answer, and filling-in-the-blank tasks as **TODOs** in the following descriptions, as well as a **# TODO** at the corresponding blank in the code.

#### Submission:

Your submission should contain two parts: 1) plots and short answers under the corresponding questions below; and 2) your completion of the skeleton code base, in a .zip file

## PyTorch Basics

Throughout this course, we will explore several interesting programming problems where you will gain hands-on experience by implementing the concepts/methods/models learned in the lectures. Many of the implementations will be based on the PyTorch framework.

[PyTorch](https://pytorch.org/) is an open-source machine learning library for Python. It is widely used for applications such as natural language processing, computer vision, etc. It was initially developed by the Facebook artificial intelligence research group (FAIR). PyTorch redesigns and implements Torch in Python while sharing the same core C libraries for the backend code. PyTorch developers tuned this back-end code to run Python efficiently.

### Why PyTorch?

* Easy interface: PyTorch offers easy-to-use API. It is easy to understand and debug the code.
* Python usage: This library is considered to be Pythonic which smoothly integrates with the Python data science stack.
* Computational graphs and automatic differentiation: will be covered in later lectures/homework.

In the first part of this programming homework, we will learn about some fundamental components of PyTorch, its core representation (tensor), and its operations.

### Tensors

A PyTorch tensor (torch.Tensor) is a multi-dimensional matrix containing elements of a single data type. They are just like numpy arrays, but they can run on GPU and allow automatic differentiation. We first create a few PyTorch tensors to work with. There are multiple ways to create and initialize PyTorch tensors – from a list or NumPy array, or with some PyTorch functions.

Read and run the tensor\_creation function in basic.py, which introduces multiple ways of tensor creation, data type and shape.

### Tensor Operations

Similar to how you deal with arrays in Numpy, most of the operations that exisit in numpy, also exist in PyTorch. They also share a very similar interface ([[a NumPy tutorial]](https://numpy.org/devdocs/user/quickstart.html))

Read and run the tensor\_operations function in basic.py, which detailed several key tensor operations.

### Mathematical Operations

Other commonly used operations include matrix multiplications, which are essential for neural networks. Quite often, we have an input vector , which is transformed using a learned weight matrix . There are multiple ways and functions to perform matrix multiplication, some of which we list below:

* Element-wise sum: [torch.add()](https://pytorch.org/docs/stable/generated/torch.add.html)
* Element-wise multiplication: [torch.mul()](https://pytorch.org/docs/stable/generated/torch.mul.html)

Instead of explicitly invoking PyTorch functions, we may use [built-in operators](https://docs.python.org/3/library/operator.html#mapping-operators-to-functions) in Python. For example, given two PyTorch tensors a and b, torch.add(a, b) is equivalent to a + b.

Read and run the math\_operations function in basic.py, which detailed several key math operations.

### PyTorch and NumPy Bridge

It is also very convenient to convert PyTorch tensors to NumPy arrays, and vice versa.

* By using .numpy() on a tensor, we can easily convert tensor to ndarray.
* To convert NumPy ndarray to PyTorch tensor, we can use .from\_numpy() to convert ndarray to tensor

Read and run the torch\_numpy function in basic.py, which detailed the torch-numpy conversions.

## Sentiment Classification with PyTorch and Word Embeddings

In the second part of the programming homework, we will build a simple sentiment classifier using PyTorch, with additional different word embeddings. We will use the [IMDB dataset](https://huggingface.co/datasets/imdb), which has reviews about movies that are manually annotated with binary positive (label = 1) or negative reviews (label = 0).

Spend a few minutes reading a few examples on Huggingface to get a better sense of what this dataset looks like. We will use Huggingface’s datasets library to download this dataset locally.

### Data Loading and Splits

The training set is used to train the model while the test set is used to evaluate the model’s performance. Since we don’t want to overfit the test set, we will not evaluate on it more than just a few times when we are done with model training. This is very important!!

We will also set aside a subset of the training set as the development set. Dev sets are used in machine learning to evaluate the model’s performance during the training process, providing an intermediate check on the model’s accuracy before it is evaluated on the test set.

Dev sets prevent overfitting during training. Overfitting occurs when a model is too complex and fits the training data too well, leading to poor performance generalization on new data. The development set allows for monitoring of the model’s performance on data it has not seen during training, helping to avoid overfitting. We will also cap our train, dev, and test sets at 20k, 1k, and 1k to make our training/evaluation faster, obviously at the cost of a less accuracy.

Read the load\_data function in model.py to get an understanding of how to download, sub-select and split the raw data.

### Word Embeddings: Representing Meaning in a Computer

While we can easily read and understand these movie reviews, they make no sense to a computer as mere sequences of strings. How can we represent the meaning of texts, i.e. *semantics* (roughly speaking), in computers so that it "makes sense" computationally?

A traditional approach is to regard words as *discrete symbols*. We first compile a list of unique words (e.g. = 50,000 top frequent English words) as vocabulary, then each word can be represented as an *one-hot* vector of dimension : one at the entry corresponding to the index of that word in the vocabulary, and s at all other entries. However, the key problem of this approach is that it fails to encode some important aspects of meaning (e.g. similarity) computationally. For example, we know that “hotel” should be more similar to “motel” than to “apple”, but their one-hot representations are mutually orthogonal with distances all equal to - we can not tell the differences!

An alternative approach, which marks one of the most successful and important milestones of modern statistical NLP, is *Distributional Semantics* . The key idea is that *“You shall know a word by the company it keeps”* - A word’s meaning is given by the words that frequently appear close by. Under this notion, each word is represented by a *dense vector*, chosen so that it is similar to vectors of words that appear in similar contexts, where similarity is measured by the vector dot product. Note that word vectors are also called *(word) embeddings*, which we will be mostly referring to in this and the following homework. The most widely adopted frameworks for obtaining word embeddings are learning-based methods that focus on word co-occurrence patterns in local context windows, e.g. Word2vec , or global co-occurrence statistics, e.g. GloVe . And it has been shown that such learned word embeddings have succeeded in capturing fine-grained semantic and syntactic patterns with vector arithmetic, and are beneficial to many downstream NLP tasks. We refer you to the [Stanford CS 224N Slides 1](https://web.stanford.edu/class/cs224n/slides/cs224n-2024-lecture01-wordvecs1-public.pdf), [Stanford CS 224N Slides 2](https://web.stanford.edu/class/cs224n/slides/cs224n-2024-lecture02-wordvecs2.pdf) and the cited papers for more details about meaning representations and word embeddings.

### String to Feature: Featurizing Input Text with Word Embeddings

Given the powerful representation encoded in word vectors, we will use some pre-trained word embeddings to represent movie reviews as input features to our classifier. Specifically, We will convert each input review into a continuous feature vector. To do so, we will first *tokenize* each input sentence into a sequence of tokens, and map each token to the corresponding word vector. Finally, we take the average over all the word embeddings of that review to represent its “semantic” feature.

In this homework, we leverage several pre-trained embeddings provided in [Gensim](https://github.com/piskvorky/gensim#documentation): a Python library for topic modeling, document indexing and similarity retrieval with large corpora. As you will see in the code base, each Gensim embeddings is a KeyedVectors that stores embeddings of the vocabulary as a numpy ndarray with shape [vocab\_size, embed\_size], and it supports direct string-based access, e.g. embeddings[“hotel”] will return the word vector of “hotel”.  
  
**TODOs**: read and complete the missing lines in the featurize function in model.py, which converts an input string into a tensor following the description above and the comments in the code.  
**Hint**: You can refer to the Pytorch NumPy Bridge and torch\_numpy discussed above for converting numpy arrays to tensors.

### Dataset and Dataloader

PyTorch has two primitives to work with data: torch.utils.data.Dataset and torch.utils.data.DataLoader ([tutorial](https://pytorch.org/tutorials/beginner/basics/data_tutorial.html)). Dataset stores each data sample and corresponding labels/auxiliary information and allows us to use pre-loaded/customized data. DataLoader wraps an iterable around the Dataset to enable easy controllable/randomized access to the subset (mini-batch) of samples.  
We will first apply the featurization function we just completed to all the samples in the raw data, stack the feature tensors and labels into two single tensors to create a [TensorDataset](https://pytorch.org/docs/stable/_modules/torch/utils/data/dataset.html#TensorDataset).  
  
**TODOs**: read and complete the missing lines in the create\_tensor\_dataset function in model.py, which converts an input string into a tensor following the description above and the comments in the code.  
Then we will use the create\_dataloader function in model.py to wrap each dataset with a dataloader.

### Defining our First PyTorch Model: nn.Module

Now that we have finished data processing and loading, it is time to build the model! In PyTorch, a neural network is built up out of modules. Specifically, a model is represented by a regular Python class that inherits from the [torch.nn.Module](https://pytorch.org/docs/stable/generated/torch.nn.Module.html). Modules can contain other modules, and a neural network is considered to be a module itself as well.

The are two most important components in torch.nn.Module are

* \_\_init\_\_(self) where we define the model parts
* forward(self, x) where the forward inference happens

The basic template of a module is as follows:

import torch.nn as nn  
  
class MyModule(nn.Module):  
 def \_\_init\_\_(self):  
 super().\_\_init\_\_()  
 # Some init for my module  
   
 def forward(self, x):  
 # Function for performing the calculation of the module.  
 pass

The forward function is where the computation of the module takes place, and is executed when you call the module (nn = MyModule(); nn(x)).

There are a few important properties of torch.nn.Module:

* state\_dict() which returns a dictionary of the trainable parameters with their current values
* parameters() which returns a list of all trainable parameters that are used in the forward function.
* train() or eval() that makes the model trainable (or fixed) for training (or evaluation) purposes

Note, the backward calculation is done automatically but could be overwritten as well if wanted.  
  
For this homework, we will build a sentiment classifier that consists of

* nn.Linear layer that projects the average embedding vector of each sequence to a c-dimension vector, represents the real-valued score for each label class (c ) in our case.
* nn.CrossEntropyLoss that normalizes the real-valued scores into probability distribution and calculates the cross-entropy loss with the ground truth (binary -) distribution

**TODOs**: read and complete the missing lines in the \_\_init\_\_ and forward function of the SentimentClassifier class in model.py, to create an linear layer and perform forward pass. **Hint**: check out [nn.Linear](https://pytorch.org/docs/stable/generated/torch.nn.Linear.html) for the definition and forward usage of the linear layer.

### Chain Everything Together: Training and Evaluation

As we have all the components ready, we can chain them together to build the training and evaluation pipeline. A common training pipeline usually involves:

* Data loading
* Model initialization and/or weights loading
* Training loop of forward pass, backward pass, loss calculation, and gradient updates
* Evaluation

**TODOs**: read and complete the missing lines in the accuracy function in model.py, to compute the accuracy of model predictions.  
**Hint**: your return should be a tensor of s and s, indicating the correctness of each prediction. Remember that the prediction (logits) tensor has the shape of , check out [torch.argmax](https://pytorch.org/docs/stable/generated/torch.argmax.html) for selecting the indices of the maximum value along certain dimension.  
  
Then, read train and evaluate function in model.py that provides a simple demonstration of the training/evaluation pipeline.

### Run the pipeline: Train Loss vs. Dev Loss

Once you have completed all the **TODOs** above, you can run the pipeline to train and evaluate our model. We have provided a visualization function visualize\_epochs in model.py to track and plot the model performance (loss on train and dev set) along the training progress.  
  
**TODOs**: run the single\_run function in main.py, paste the plot here, and describe in 2-3 sentences your findings.  
**Hint**: Do you observe any discrepancy between the trend of train loss and dev loss? What it might indicate?

**Single Run Loss Plot**  
A graph with blue and orange lines

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### **Observations on Train vs. Dev Loss:**

### Training loss steadily drops across epochs, whereas the dev loss initially falls and then levels off/slightly rises. This gap suggests that the model keeps improving on the training set but stops improving (or degrades) on unseen (dev) dataset. This means there is mild overfitting.

### Here are some possible ways I could think of (or learned) to improve the model:

### Overfitting might be because we keep training the model. The suggested approach in general is “Early Stopping” a technique used to prevent overfitting by monitoring the model's performance on a separate validation dataset during training and halting the process when a predefined condition is met. [Ref: Google search]

* + I noticed that the code already does that though:
  + A screen shot of a computer code

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* There are other suggestions like regularization and doing fewer epochs on the web, but for now I’m going to stick with the observations and proceed to next steps to learn basics further.

### Run the pipeline: Explore Different Word Embeddings

As discussed earlier, we initialize the embedding layer of the classifier with pre-trained word embeddings. We have provided in main.py 4 different types of pre-trained word embeddings as different representational options for you to explore their effects on model performance. Again, we provide a visualization function visualize\_configs to depict the performance (dev loss and dev accurracy) across model configurations with different embedding choices.  
  
**TODOs**: run the explore\_embeddings function in main.py, paste the two plots here, and describe in 2-3 sentences your findings.  
**Hint**: Do you observe any performance differences across different embeddings? What might be the reason of such differences?

**Embedding sweep Plots**

**Dev Accuracy**  
A graph of different colored lines

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# 

# **Observation:** word2vec-google-news-300 is best (~0.86–0.87), glove-twitter-200 is next, then glove-twitter-100, with glove-twitter-50 being the lowest. This suggests higher-dimensional embeddings generally help and GoogleNews coverage/quality seems to transfer well to IMDB reviews.

Bumping from 50 →100 dimensions give a clear boost, but 100→200 helps less, and it looks like 200→300 helps but not as much as what we had seen on 50 → 100 change.

# **Dev Loss**

A graph of different colored lines

AI-generated content may be incorrect.

**Observation:** Loss curves mirror the accuracy plot as well. word2vec-google-news-300 achieves the lowest dev loss, glove-twitter-200 goes next, and glove-twitter-50 goes highest. The results are consistent with accuracy results suggesting that richer embeddings provide better separability and calibration on the dev set.