

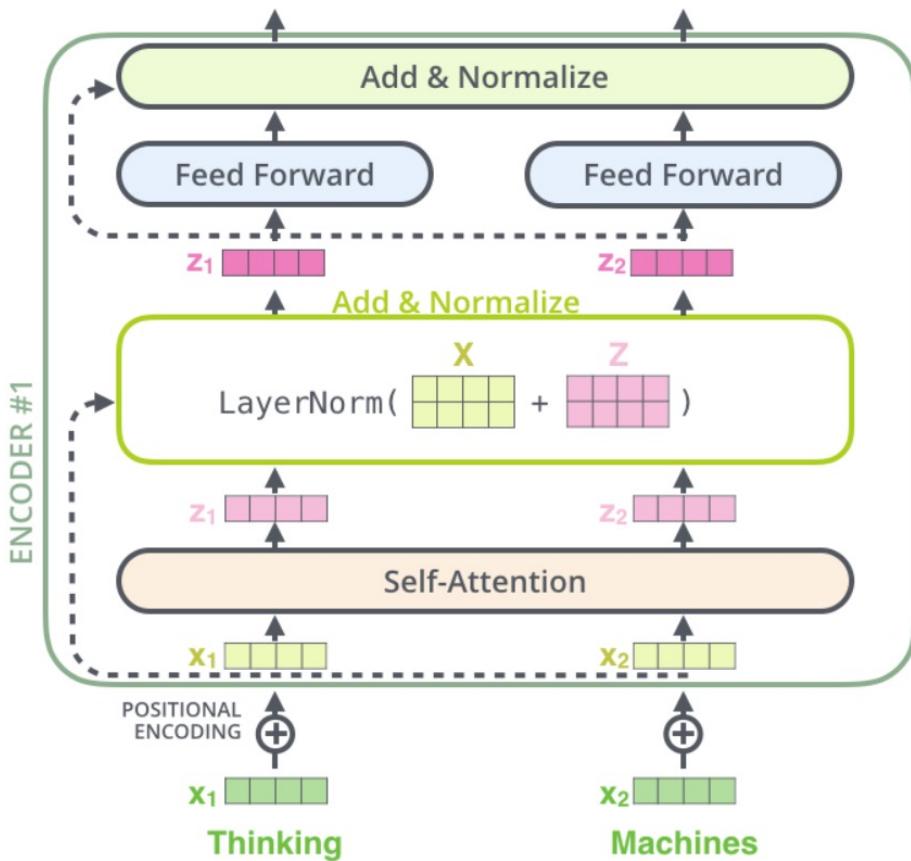
# Parameter Efficient Learning for Transformers

22.5.6

# Outline

- Review: Transformer Basics
- Parameter-Efficient Learning for Transformers
  - Intrinsic Dimensionality of Transformers
  - Parameter-Efficient Tuning Methods
  - Theoretical Perspectives

# Transformer Block



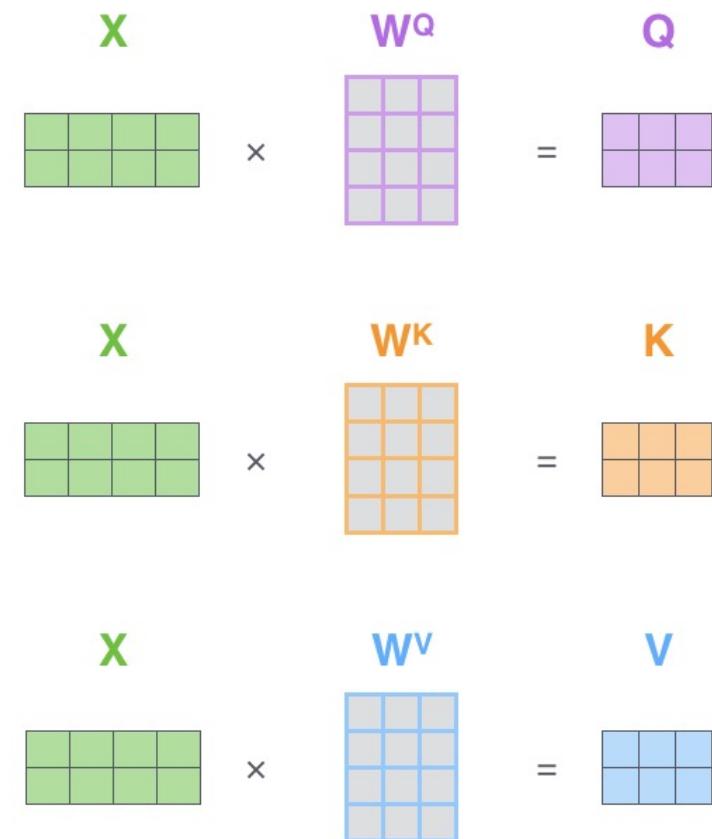
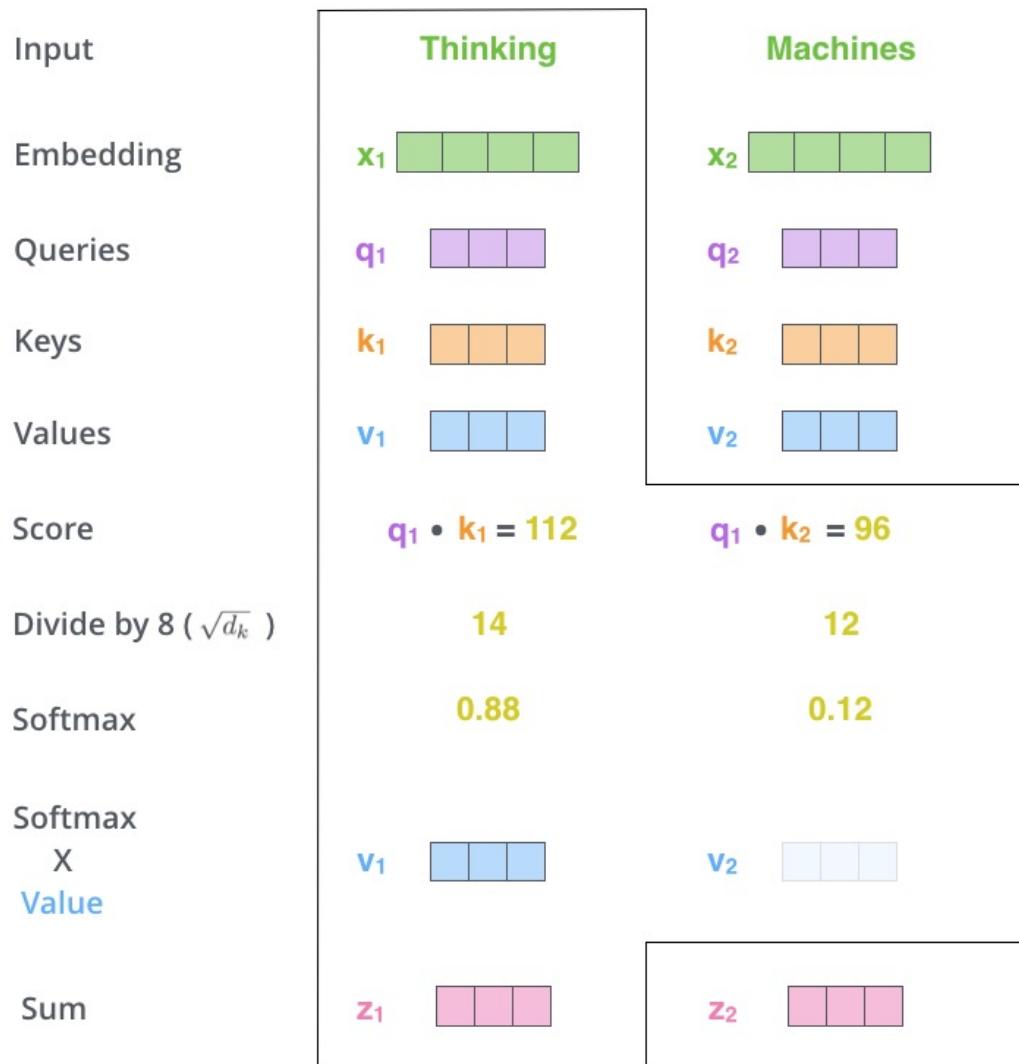
$$\text{FFN}(x) = \text{ReLU}(x\mathbf{W}_1 + \mathbf{b}_1)\mathbf{W}_2 + \mathbf{b}_2$$

$$\text{MHA}(\mathbf{C}, \mathbf{x}) = \text{Concat}(\text{head}_1, \dots, \text{head}_h)\mathbf{W}_o$$

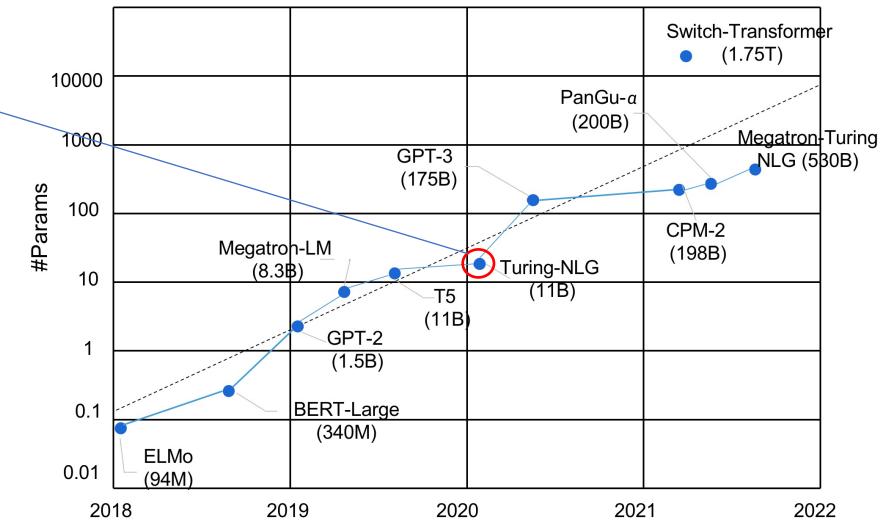
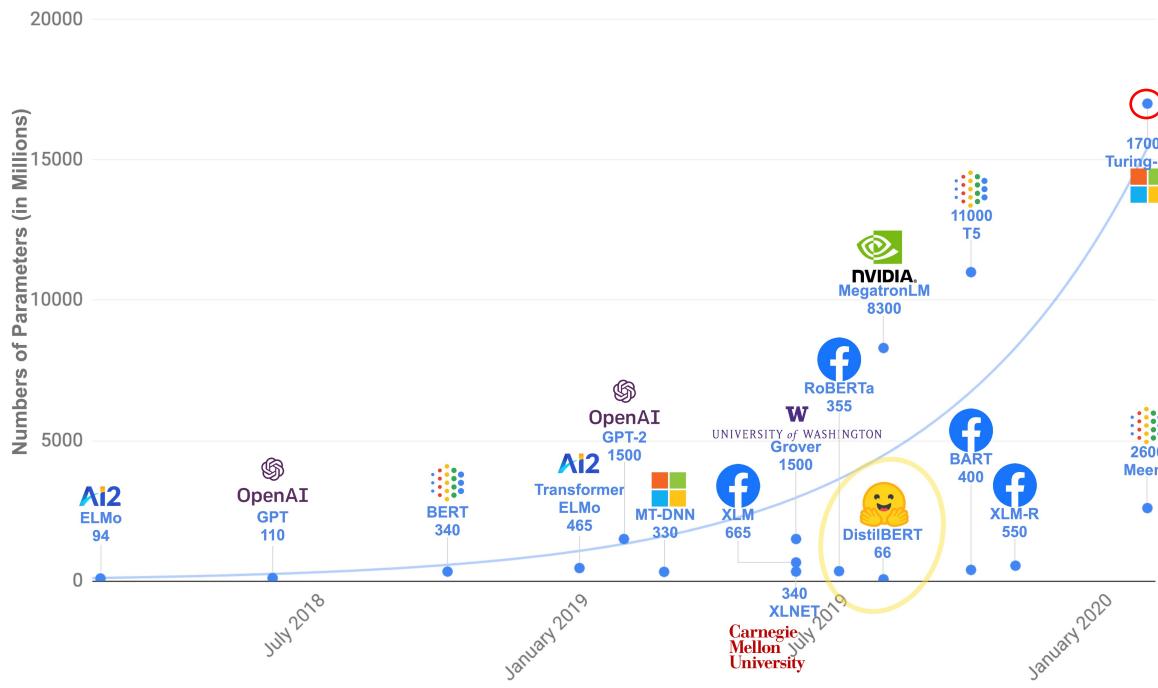
$$\text{head}_i = \text{Attn}(\mathbf{x}\mathbf{W}_q^{(i)}, \mathbf{C}\mathbf{W}_k^{(i)}, \mathbf{C}\mathbf{W}_v^{(i)})$$

# Self Attention

$$\text{Attn}(\mathbf{Q}, \mathbf{K}, \mathbf{V}) = \text{softmax}\left(\frac{\mathbf{Q}\mathbf{K}^T}{\sqrt{d_k}}\right)\mathbf{V}$$



# Transformer are big models



# Fine-Tuning as Predominant Paradigm

	Rank	Name	Model	URL	Score
+	1	Liam Fedus	ST-MoE-32B		91.2
	2	Microsoft Alexander v-team	Turing NLR v5		90.9
	3	ERNIE Team - Baidu	ERNIE 3.0		90.6
	4	Yi Tay	PaLM 540B		90.4
+	5	Zirui Wang	T5 + UDG, Single Model (Google Brain)		90.4
+	6	DeBERTa Team - Microsoft	DeBERTa / TuringNLRv4		90.3
	7	SuperGLUE Human Baselines	SuperGLUE Human Baselines		89.8
+	8	T5 Team - Google	T5		89.3
	9	SPoT Team - Google	Frozen T5 1.1 + SPoT		89.2
+	10	Huawei Noah's Ark Lab	NEZHA-Plus		86.7

SuperGLUE Leaderboard (22.05)

# Drawbacks of Full Fine Tuning

- Parameter Inefficiency:
  - An entire new model is required for every downstream task.
  - Hard to storing different instances for different tasks as the model scales.
- Resource-intensive deployment and computation:

```
heguande@jungpu34 ~/codes/sota_lm  
% python run_lm_large.py --bs 32 → RuntimeError: CUDA out of memory. Tried to allocate 148.00 MiB
```

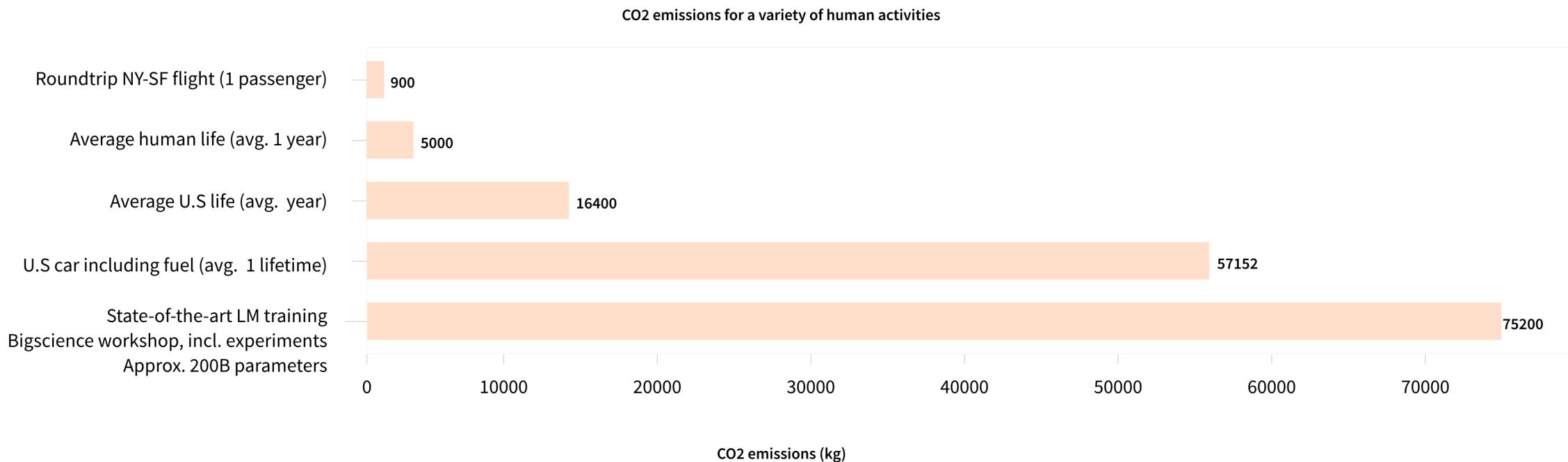
which has resulted in scarce usage of large models in research

**Table 1:** The usage of models of different sizes in research published in NLP conferences, the statistic is based on 1000 randomly selected papers. Large PLMs are defined as PLMs with over 1 billion parameters.

Venue	No PLMs	Small PLMs	Large PLMs	Per. of Large PLMs
ACL 2021	41	151	8	4.0%
EMNLP 2021	46	150	4	2.0%
NAACL 2021	37	158	5	2.5%
ACL 2020	107	92	1	0.5%
EMNLP 2020	62	137	1	0.5%

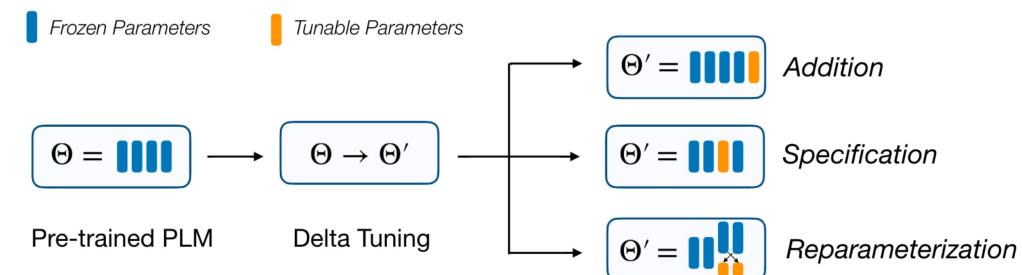
# Drawbacks of Full Fine Tuning

- Not Environmental Friendly



# Parameter Efficient Tuning

- Only updates a small number of parameters.
- Achieves comparable results to full FT.
- Several implementation ways:
  - **Addition-based** methods introduce extra trainable neural modules or parameters that do not exist in the original model;
  - **Specification-based** methods specify certain parameters in the original model or process become trainable, while others frozen;
  - **Reparameterization-based** methods reparameterize existing parameters to a parameter-efficient form by transformation.

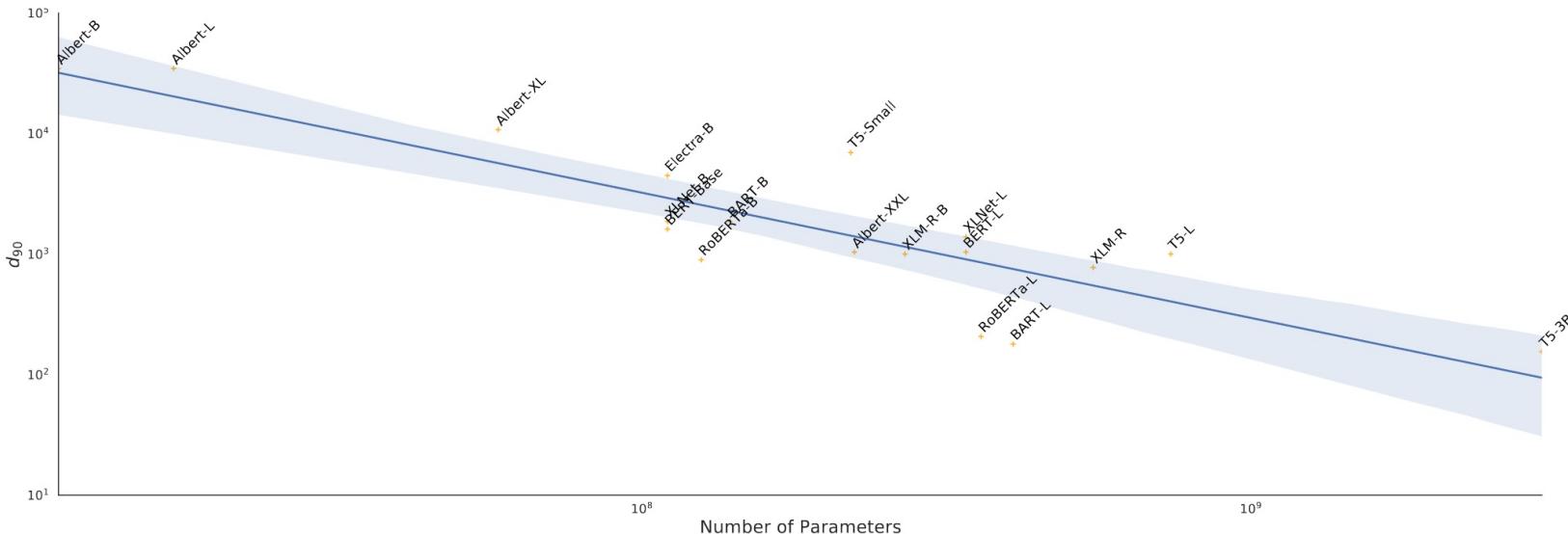


# Intrinsic Dimensionality

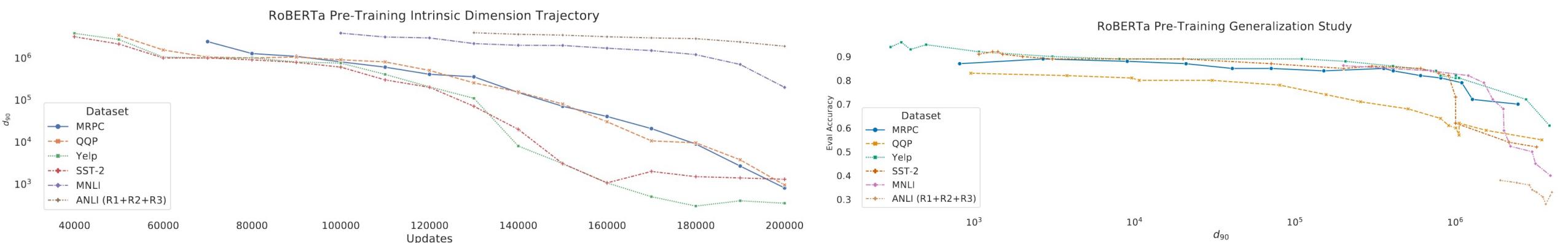
- An objective function's intrinsic dimension:
  - Measures the minimum number of parameters needed to reach satisfactory solutions to the objective.
  - Represents the lowest dimensional subspace in which one can optimize the original objective function to within a certain level of approximation error.
- Structure Aware Intrinsic Dimension:  $\theta_i^D = \theta_{0,i}^D + \lambda_i P(\theta^{d-m})_i$
- A *satisfactory solution* is defined as being 90% of the full training metric ( $d_{90}$ ).

# Intrinsic Dimensionality of Transformers

- Larger models tend to have a smaller intrinsic dimension.
- Pre-training implicitly optimizes the *description length* over the average of NLP tasks.
- Within the same window of number of parameters, pre-training methodology becomes essential. (e.g. RoBERTa beats BERT)



Intrinsic dimension for a large set of pre-trained models



Intrinsic dimension, pre-training, and generalization

# Generalization Bounds through Intrinsic Dimension

**Definition 1.**  $(\gamma, S)$  compressible using helper string  $s$

Suppose  $G_{\mathcal{A},s} = \{g_{\theta,s} | \theta \in \mathcal{A}\}$  is a class of classifiers indexed by trainable parameters  $A$  and fixed strings  $s$ . A classifier  $f$  is  $(\gamma, S)$ -compressible with respect to  $G_{\mathcal{A}}$  using helper string  $s$  if there exists  $\theta \in \mathcal{A}$  such that for any  $x \in S$ , we have for all  $y$

$$|f(x)[y] - g_{\theta,s}(x)[y]| \leq \gamma \quad (6)$$

**Remark 1.** If we parameterize  $f(x; \theta)$  via the intrinsic dimension approach as defined in Equation 1, then  $f$  is compressible losslessly using a helper string consisting of the random seed used to generate the static random projection weights and the initial pre-trained representation  $\theta_0^D$ . Therefore we say  $f$  parameterized by either DID or SAID is  $(0, S)$  compressible.

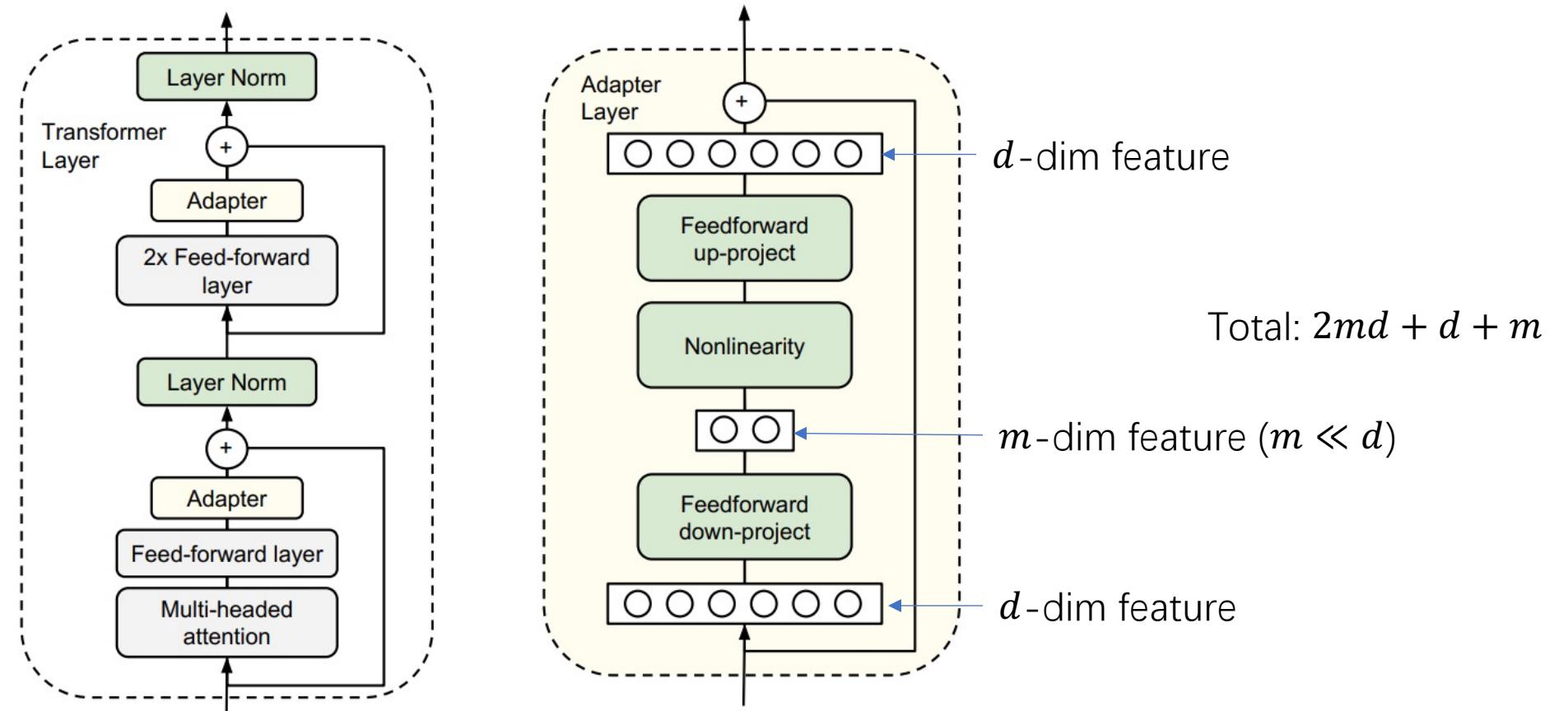
**Theorem 1.** Let  $f$  be a function which is parameterized by  $\theta^D$  as described in Equation 1 with a total of  $d$  trainable intrinsic parameters on a dataset with  $m$  samples. Then with a high probability, we can state the following asymptotic generalization bound

$$\mathcal{L}_0(f) \leq \hat{\mathcal{L}}_0(f) + \mathcal{O}\left(\sqrt{\frac{d}{m}}\right) \quad (5)$$

# Delta Tuning (Parameter Efficient Tuning)

- Addition-based Methods:
  - Adapter and its variants
  - Prefix Tuning
- Specification-based Methods:
  - BitFit
- Reparameterization-based Methods:
  - LoRA

# Adapter Module with Transformer

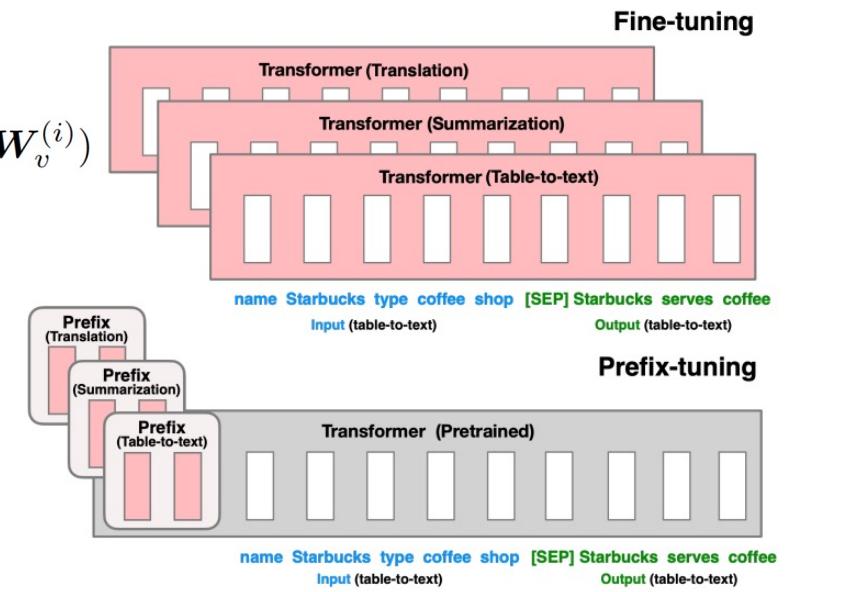


- For each task, the adapter, the layer normalization parameters, and the final task specific layer are trained.

# Prefix Tuning

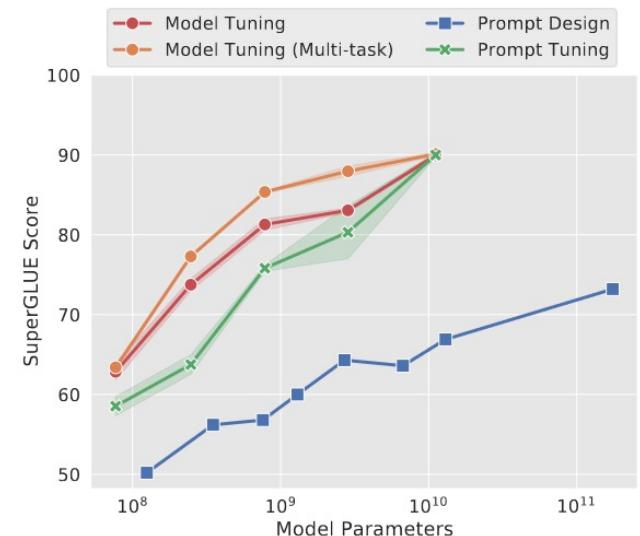
- Intuition: Prompting or in-context learning
  - GPT-3 can be deployed **without task-specific tuning** by prepending a natural language task instruction and a few examples to the task input.
  - However, optimization over the discrete instructions is challenging.
- Prefix tuning prepends several tunable prefix vectors to keys and values of the multi-head attention **at every layer**.
- For optimization stability, the prefix embedding matrix is reparameterized by a MLP with a smaller matrix.

$$\text{head}_i = \text{Attn}(\mathbf{xW}_q^{(i)}, \mathbf{CW}_k^{(i)}, \mathbf{CW}_v^{(i)})$$



# Soft Prompt Tuning

- Simplifying prefix-tuning by only prepending to the input word embeddings **in the first layer**.
- Yields comparable performance on SuperGLUE when the model scales to T5-XXL with 11B parameters.
- Exhibits sensitivity to the length and initialization point.



# BitFit: Bias-terms Fine-tuning

- Freezing all the parameters  $\mathbf{W}^{(\cdot)}$  and  $\mathbf{g}^{(\cdot)}$  and fine-tuning only the additive bias terms  $\mathbf{g}^{(\cdot)}$ .

$$\mathbf{Q}^{m,\ell}(\mathbf{x}) = \mathbf{W}_q^{m,\ell} \mathbf{x} + \mathbf{b}_q^{m,\ell}$$

$$\mathbf{K}^{m,\ell}(\mathbf{x}) = \mathbf{W}_k^{m,\ell} \mathbf{x} + \mathbf{b}_k^{m,\ell}$$

$$\mathbf{V}^{m,\ell}(\mathbf{x}) = \mathbf{W}_v^{m,\ell} \mathbf{x} + \mathbf{b}_v^{m,\ell}$$

$$\mathbf{h}_1^\ell = att(\mathbf{Q}^{1,\ell}, \mathbf{K}^{1,\ell}, \mathbf{V}^{1,\ell}, \dots, \mathbf{Q}^{m,\ell}, \mathbf{K}^{m,\ell}, \mathbf{V}^{m,\ell})$$

- Hypothesis: fine-tuning is mainly about **exposing knowledge** induced by language-modeling training, rather than learning new task-specific linguistic knowledge.

$$\mathbf{h}_2^\ell = \text{Dropout}(\mathbf{W}_{m_1}^\ell \cdot \mathbf{h}_1^\ell + \mathbf{b}_{m_1}^\ell) \quad (1)$$

$$\mathbf{h}_3^\ell = \mathbf{g}_{LN_1}^\ell \odot \frac{(\mathbf{h}_2^\ell + \mathbf{x}) - \mu}{\sigma} + \mathbf{b}_{LN_1}^\ell \quad (2)$$

$$\mathbf{h}_4^\ell = \text{GELU}(\mathbf{W}_{m_2}^\ell \cdot \mathbf{h}_3^\ell + \mathbf{b}_{m_2}^\ell) \quad (3)$$

$$\mathbf{h}_5^\ell = \text{Dropout}(\mathbf{W}_{m_3}^\ell \cdot \mathbf{h}_4^\ell + \mathbf{b}_{m_3}^\ell) \quad (4)$$

$$\text{out}^\ell = \mathbf{g}_{LN_2}^\ell \odot \frac{(\mathbf{h}_5^\ell + \mathbf{h}_3^\ell) - \mu}{\sigma} + \mathbf{b}_{LN_2}^\ell \quad (5)$$

# Low-Rank Adaption of Large Language Models

- Over-parameterized models reside on a low intrinsic dimension
- Existing solutions are not good enough:
  - Adapter introduces inference latency.
  - Prefix/Prompt tuning is hard to optimize.  
and will reduce usable seq length.
- LoRA: Injecting trainable rank decomposition matrices into each layer of the Transformer architecture, while freeze the pre-trained weights.

Batch Size	32	16	1
Sequence Length	512	256	128
$ \Theta $	0.5M	11M	11M
Fine-Tune/LoRA	$1449.4 \pm 0.8$	$338.0 \pm 0.6$	$19.8 \pm 2.7$
Adapter <sup>L</sup>	$1482.0 \pm 1.0$ (+2.2%)	$354.8 \pm 0.5$ (+5.0%)	$23.9 \pm 2.1$ (+20.7%)
Adapter <sup>H</sup>	$1492.2 \pm 1.0$ (+3.0%)	$366.3 \pm 0.5$ (+8.4%)	$25.8 \pm 2.2$ (+30.3%)

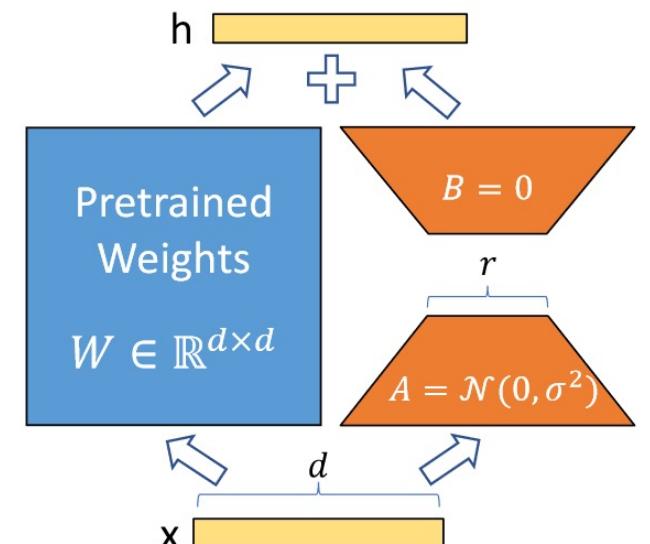
# LoRA

- For pre-trained matrix  $W_0 \in \mathbb{R}^{d \times k}$ , constrain its update by representing the latter with low-rank decomposition:

$$W_0 + \Delta W = W_0 + BA$$

where  $B \in \mathbb{R}^{d \times r}$ ,  $A \in \mathbb{R}^{r \times k}$ ,  $\text{rank } r \ll \min(d, k)$

- During fine-tuning,  $W_0$  is frozen, only apply LoRA on attention weights.



# Unified View of Parameter-Efficient Tuning

- A variety of parameter-efficient tuning method that only fine-tune a small number of extra parameters can attain strong performance compared with full fine tuning.
- The critical ingredients for success and connections among various methods are poorly understood.

# Unified Formula

- Adapters:

$$\mathbf{h} \leftarrow \mathbf{h} + f(\mathbf{h} \mathbf{W}_{\text{down}}) \mathbf{W}_{\text{up}}$$

- Prefix Tuning:

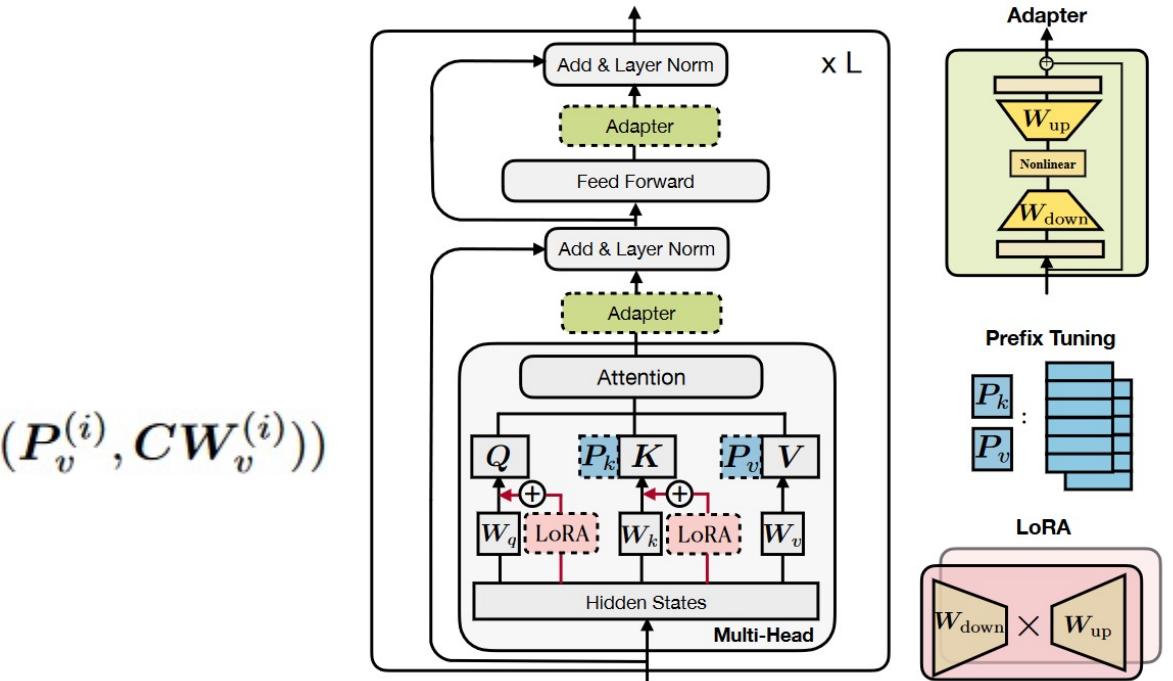
$$\text{head}_i = \text{Attn}(\mathbf{x} \mathbf{W}_q^{(i)}, \text{concat}(\mathbf{P}_k^{(i)}, \mathbf{C} \mathbf{W}_k^{(i)}), \text{concat}(\mathbf{P}_v^{(i)}, \mathbf{C} \mathbf{W}_v^{(i)}))$$

which can be reformed as:

$$\mathbf{h} \leftarrow (1 - \lambda(\mathbf{x})) \mathbf{h} + \lambda(\mathbf{x}) f(\mathbf{x} \mathbf{W}_1) \mathbf{W}_2$$

- LoRA:

$$\mathbf{h} \leftarrow \mathbf{h} + s \cdot \mathbf{x} \mathbf{W}_{\text{down}} \mathbf{W}_{\text{up}}$$

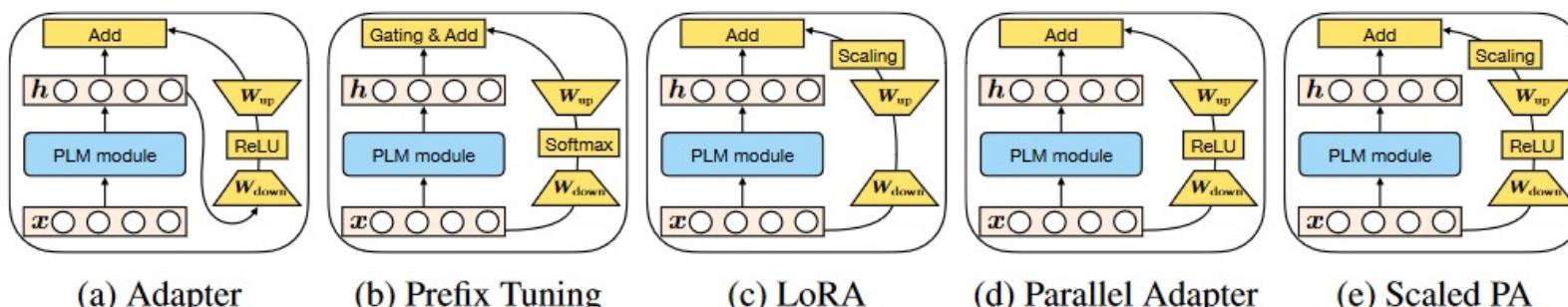


$$\text{Attn}(\mathbf{Q}, \mathbf{K}, \mathbf{V}) = \text{softmax}\left(\frac{\mathbf{Q} \mathbf{K}^T}{\sqrt{d_k}}\right) \mathbf{V},$$

$$\text{MHA}(\mathbf{C}, \mathbf{x}) = \text{Concat}(\text{head}_1, \dots, \text{head}_h) \mathbf{W}_o, \quad \text{head}_i = \text{Attn}(\mathbf{x} \mathbf{W}_q^{(i)}, \mathbf{C} \mathbf{W}_k^{(i)}, \mathbf{C} \mathbf{W}_v^{(i)}),$$

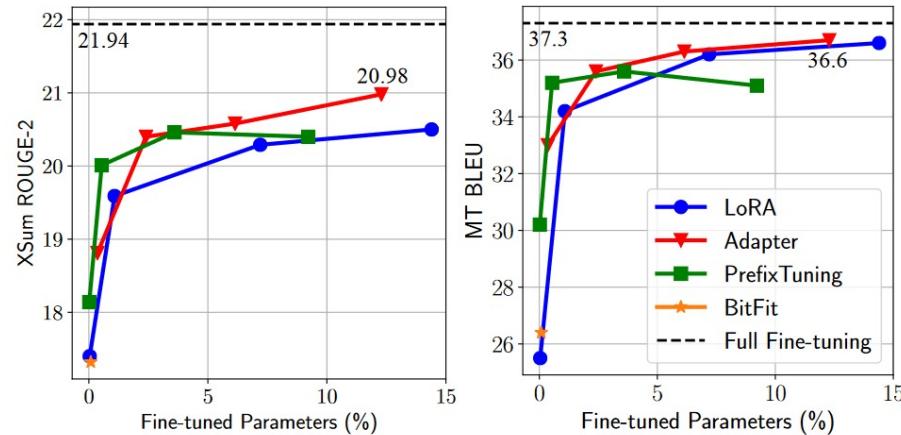
# Design Factors

Method	$\Delta h$ functional form	insertion form	modified representation	composition function
<b>Existing Methods</b>				
Prefix Tuning	$\text{softmax}(xW_qP_k^\top)P_v$	parallel	head attn	$h \leftarrow (1 - \lambda)h + \lambda\Delta h$
Adapter	$\text{ReLU}(hW_{\text{down}})W_{\text{up}}$	sequential	ffn/attn	$h \leftarrow h + \Delta h$
LoRA	$xW_{\text{down}}W_{\text{up}}$	parallel	attn key/val	$h \leftarrow h + s \cdot \Delta h$
<b>Proposed Variants</b>				
Parallel adapter	$\text{ReLU}(hW_{\text{down}})W_{\text{up}}$	parallel	ffn/attn	$h \leftarrow h + \Delta h$
Muti-head parallel adapter	$\text{ReLU}(hW_{\text{down}})W_{\text{up}}$	parallel	head attn	$h \leftarrow h + \Delta h$
Scaled parallel adapter	$\text{ReLU}(hW_{\text{down}})W_{\text{up}}$	parallel	ffn/attn	$h \leftarrow h + s \cdot \Delta h$



# Results of Existing Methods

Method (# params)	MNLI	SST2
Full-FT (100%)	$87.6 \pm .4$	$94.6 \pm .4$
Bitfit (0.1 %)	84.7	93.7
Prefix (0.5%)	$86.3 \pm .4$	$94.0 \pm .1$
LoRA (0.5%)	$87.2 \pm .4$	$94.2 \pm .2$
Adapter (0.5%)	$87.2 \pm .2$	$94.2 \pm .1$



- Existing methods could match Full-FT performance easily on classification tasks.
- Obvious gap presents on generation tasks.

# Factor comparation

Method	# params	XSum (R-1/2/L)	MT (BLEU)
Prefix, $l=200$	3.6%	43.40/20.46/35.51	35.6
SA (attn), $r=200$	3.6%	42.01/19.30/34.40	35.3
SA (ffn), $r=200$	2.4%	43.21/19.98/35.08	35.6
PA (attn), $r=200$	3.6%	43.58/20.31/35.34	35.6
PA (ffn), $r=200$	2.4%	<b>43.93/20.66/35.63</b>	<b>36.4</b>

Parallel v.s. Sequential

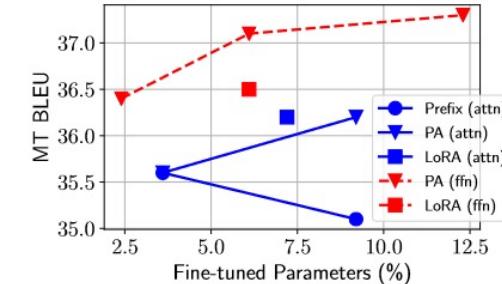
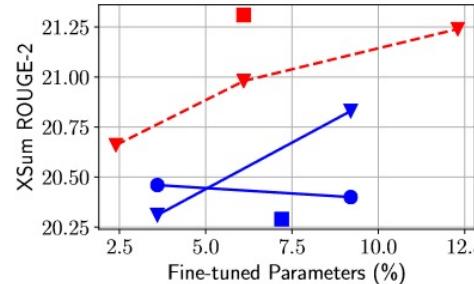


Table 4: Results on en-ro dataset.

Method	# params	MT (BLEU)
PA (attn), $r=200$	3.6%	35.6
Prefix, $l=200$	3.6%	35.6
MH PA (attn), $r=200$	3.6%	35.8
Prefix, $l=30$	0.1%	35.2
-gating, $l=30$	0.1%	34.9
PA (ffn), $r=30$	0.1%	33.0
PA (attn), $r=30$	0.1%	33.7
MH PA (attn), $r=30$	0.1%	<b>35.3</b>

ffn v.s. attention

Low parameter budget

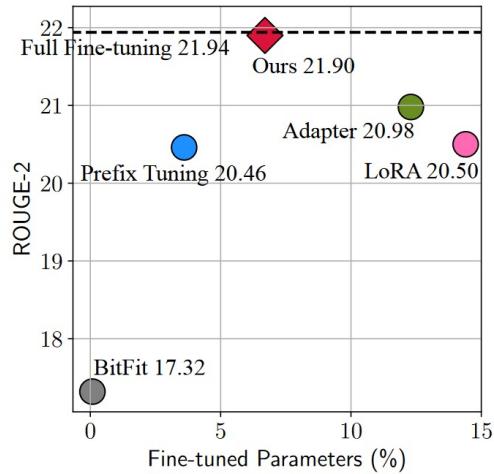
- Parallel design beats sequential ones in all cases.
- FFN modification utilize the added parameters more effectively.
- Modifying head attention achieves best performance on low parameter budget

# Composition Function

Method (# params)	XSum (R-1/2/LSum)
LoRA (6.1%), $s=4$	44.59/21.31/36.25
LoRA (6.1%), $s=1$	44.17/20.83/35.74
PA (6.1%)	44.35/20.98/35.98
Scaled PA (6.1%), $s=4$	<b>44.85/21.54/36.58</b>
Scaled PA (6.1%), trainable $s$	44.56/21.31/36.29

- The value of  $s$  could have a significant effect on the results.
- Scaling composition is better than the vanilla additive one.

# Results



Method	# params	XSum (R-1/2/L)	MT (BLEU)
Full fine-tuning <sup>†</sup>	100%	45.14/22.27/37.25	37.7
Full fine-tuning (our run)	100%	44.81/21.94/36.83	37.3
Bitfit (Ben Zaken et al., 2021)	0.1%	40.64/17.32/32.19	26.4
Prompt tuning (Lester et al., 2021)	0.1%	38.91/15.98/30.83	21.0
Prefix tuning (Li & Liang, 2021), $l=200$	3.6%	43.40/20.46/35.51	35.6
Pfeiffer adapter (Pfeiffer et al., 2021), $r=600$	7.2%	44.03/20.89/35.89 <sub>.13/.10/.08</sub>	36.9 <sub>.1</sub>
LoRA (ffn), $r=102$	7.2%	44.53/21.29/36.28 <sub>.14/.07/.10</sub>	36.8 <sub>.3</sub>
Parallel adapter (PA, ffn), $r=1024$	12.3%	44.71/21.41/36.41 <sub>.16/.17/.16</sub>	37.2 <sub>.1</sub>
PA (attn, $r=30$ ) + PA (ffn, $r=512$ )	6.7%	44.29/21.06/36.12 <sub>.31/.19/.18</sub>	37.2 <sub>.1</sub>
Prefix tuning (attn, $l=30$ ) + LoRA (ffn, $r=102$ )	6.7%	44.84/21.71/36.77 <sub>.07/.05/.03</sub>	37.0 <sub>.1</sub>
MAM Adapter (our variant, $l=30$ , $r=512$ )	6.7%	<b>45.06/21.90/36.87</b> <sub>.08/.01/.04</sub>	<b>37.5</b> <sub>.1</sub>

Generation tasks

- MAM Adapter: Prefix Tuning with small bottleneck dim + scaled parallel adapter

Method (# params)	MNLI	SST2
Full-FT (100%)	$87.6 \pm .4$	$94.6 \pm .4$
Bitfit (0.1 %)	84.7	93.7
Prefix (0.5%)	$86.3 \pm .4$	$94.0 \pm .1$
LoRA (0.5%)	$87.2 \pm .4$	$94.2 \pm .2$
Adapter (0.5%)	$87.2 \pm .2$	$94.2 \pm .1$
<b>MAM Adapter (0.5%)</b>	<b><math>87.4 \pm .3</math></b>	<b><math>94.2 \pm .3</math></b>

Classification tasks

# Optimization Perspective

- Objective function of the original LM:  $\mathcal{F}(\theta)$
- New objective after inducing delta parameters:  $\tilde{\mathcal{F}}(\theta, \delta)$
- The starting point is  $(\theta_0, \delta_0)$  and usually we have  $\tilde{\mathcal{F}}(\theta, \delta_0) = \mathcal{F}(\theta)$
- Let  $\theta^+ = \arg \min_{\theta} \tilde{\mathcal{F}}(\theta, \delta_0)$  and  $\delta^+ = \arg \min_{\delta} \tilde{\mathcal{F}}(\theta_0, \delta)$
- We are only interested in the gap between  $\tilde{\mathcal{F}}(\theta, \delta_0) = \mathcal{F}(\theta)$  (full FT) and  $\tilde{\mathcal{F}}(\theta_0, \delta)$  (Parameter-Efficient Tuning).

# Optimization Perspective

- Low-dimensional representation in solution space:
  - Assume we can embed the original parameters  $\theta$  to a low dimensional space, i.e.  $\theta = \psi(\delta) + \epsilon$ , where  $\epsilon$  is the error term depending on  $\theta_0, \theta^+$ .
  - Then, we have  $\tilde{\mathcal{F}}(\theta, \delta_0) = \mathcal{F}(\theta)$ ,  $\tilde{\mathcal{F}}(\theta_0, \delta) = \mathcal{F}(\psi(\delta))$ .
  - Let  $\delta^+ = \arg \min_{\delta} \mathcal{F}(\psi(\delta))$ , and  $\theta^+ = \psi(\delta') + \epsilon'$ . Suppose that  $\mathcal{F}$  and  $\mathcal{F} \circ \psi$  are Lipschitz continuous, we have following bound of the approximation error of delta tuning to the full-parameter FT:

$$\begin{aligned} |\mathcal{F}(\theta^+) - \mathcal{F}(\psi(\delta^+))| &\leq |\mathcal{F}(\theta^+) - \mathcal{F}(\psi(\delta'))| + |\mathcal{F}(\psi(\delta')) - \mathcal{F}(\psi(\delta^+))| \\ &\leq L_1 \|\epsilon'\|_2 + L_2 \|\delta' - \delta^+\|_2 \leq L_1 \|\epsilon'\|_2 + L_2 (\|\delta'\|_2 + \|\delta^+\|_2). \end{aligned}$$

- Low dimensional representation in functional space:

$$|\mathcal{F}(\theta) - \hat{\mathcal{F}}(\delta)| < \epsilon,$$

# Optimal Control Perspective

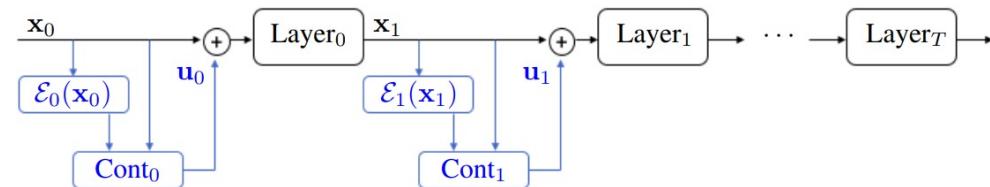
- Deep learning can be interpreted as a optimal control problem ([Li et al. ,2017](#)).
- Delta tuning can be viewed as seeking the optimal control of PLMs for specific downstream tasks:

$$\min_{\{\delta^{(0)}, \dots, \delta^{(L-1)}\}} \mathbb{E}_{(x,y) \sim \mathcal{D}_{tr}} \left[ S \left( h_o^{(L)}, y \right) + \sum_{j=0}^{L-1} R \left( \delta^{(j)} \right) \right]$$
$$h_o^{(j+1)} = h_o^{(j)} + \mathcal{G}_\theta^{(j)} \left( h_o^{(j)}, \delta^{(j)} \right), \quad h_o^{(0)} = z_o = [\text{ANS}], \quad 0 \leq j \leq L - 1$$

# Example: Robust Prefix Tuning

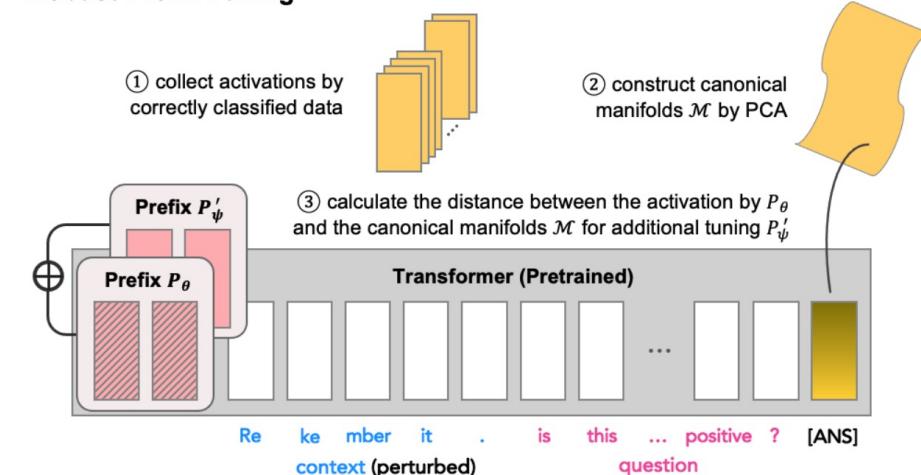
- A instance of seeking the **close-loop control** for robust downstream tasks.

- Pipeline:
  - Collect layer-wise LM activations of correctly classified training examples.
  - Project the activation matrix onto a low-level manifold via PCA.
  - Tuning a additional prefix using the distance between test examples' activation and the manifold.



Close-Loop Control

## Robust Prefix-Tuning



- Improves robustness over several strong baselines against different textual attacks.

# Discussion

- Parameter-efficient methods do provide ways to be able to effectively utilize and adapt big transformer-based models.
- The optimal design factors and scale for specific tasks?
- Relation between the pre-trained model
  - Help to understand how pre-trained models work.
  - Potential for correcting model bias.

THANKS

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