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Modern Natural Language Processing – CS-552

09.04.2025 from 11h30 to 13h00

Duration: 90 minutes

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Midterm 2025

SCIPER: 111111

Do not turn the page before the start of the exam. This document is double-sided, has 16 pages, the last ones possibly blank. Do not unstaple.

- This is a closed book exam. Non-programmable calculators are allowed. No other electronic devices of any kind are allowed.
- Place on your desk: your student ID, writing utensils, one double-sided A4 page cheat sheet if you have one; place all other personal items below your desk.
- You each have a different exam.
- This exam has multiple-choice questions of varying difficulty. Each question is worth one point.
- Each question has **exactly one** correct answer. For each question, mark the box corresponding to the correct answer. You are not expected to get every question right even for the best grade.
- Only answers in this booklet count. No extra loose answer sheets. You can use the blank pages at the end as scrap paper.
- Use a black or dark blue ballpen and clearly erase with correction fluid if necessary.
- If a question turns out to be wrong or ambiguous, we may decide to nullify it.

Respectez les consignes suivantes Observe this guidelines Beachten Sie bitte die unten stehenden Richtlinien						
choisir une réponse select an answer Antwort auswählen		ne PAS choisir une réponse NOT select an answer NICHT Antwort auswählen			Corriger une réponse Correct an answer Antwort korrigieren	
\mathbf{X}						
ce qu'il ne faut <u>PAS</u> faire what should <u>NOT</u> be done was man <u>NICHT</u> tun sollte						

Question 1 Rotary Positional Embeddings (RoPE) are a type of positional encoding technique used in Transformer models, where the embedding vectors undergo a rotation operation based on token positions. RoPE encodes positional information by applying a rotation matrix to the query and key vectors in attention heads, effectively injecting relative positional information directly into the self-attention mechanism. Specifically, for position m, the query (q_m) and key (k_n) vectors are transformed as follows:

$$q'_m = f_{\text{rotary}}(q_m, m), \quad k'_n = f_{\text{rotary}}(k_n, n)$$

Which of the following statements correctly identifies a distinguishing property or advantage specific to RoPE positional embeddings?

ttor E positional embeddings:
Unlike absolute positional embeddings, RoPE explicitly encodes relative positional relationships by applying rotations directly within the attention computation, generalizing better to longer sequence lengths.
Unlike sinusoidal positional embeddings, RoPE relies on discrete position indices and thus cannot handle sequences longer than those observed during training.
RoPE embeddings exclusively use additive combinations of positional vectors, unlike absolute embeddings, which apply rotations to capture positional dependencies more accurately.
RoPE embeddings require a fixed maximum sequence length due to their use of absolute rotation matrices, unlike relative positional embeddings, which scale naturally to longer sequences.
Question 2 Which of the following statements regarding Recurrent Neural Networks (RNNs) is TRUE?
Standard RNNs have a computational complexity that scales quadratically with sequence length, making them impractical for long sequences.
Standard RNNs inherently solve the vanishing gradient problem, making them ideal for modeling very long-range dependencies in practice.
Recurrent Neural Networks can, in theory, model dependencies of unbounded (arbitrary) context length because they recursively apply the same parameters at every timestep.
Standard RNNs require positional embeddings to represent sequences effectively.
Standard RNNs explicitly encode input tokens independently of each other without recursive state updates.
Question 3 We have learned that dense word vectors learned through Word2Vec have many advantages over using sparse one-hot word vectors. Which of the following is NOT an advantage dense vectors have over sparse vectors?
☐ Models using dense word vectors generalize better to unseen words than those using sparse vectors.
Dense word vectors are easier to include as features in machine learning systems than sparse vectors.

Models using dense word vectors generalize better to rare words than those using sparse vectors.

Dense word vectors encode similarity between words while sparse vectors do not.

Question 4 The Global Vectors for Word Representation (GloVe) model is an alternative to Word2Vecthat constructs word embeddings by leveraging word co-occurrence statistics rather than predicting context words. The co-occurrence probability matrix P captures how often words appear together in a given corpus. It is constructed as follows:

- Let X_{ij} be the **raw co-occurrence count**, representing how many times word j appears in the **context window** of word i across the entire corpus.
- The co-occurrence probability P_{ij} is defined as:

$$P_{ij} = \frac{X_{ij}}{\sum_{k} X_{ik}}$$

where $\sum_{k} X_{ik}$ is the total number of times word i appears with any word in the corpus.

• This probability represents how likely word j appears in the context of word i.

Instead of using a local window-based approach like Skip-gram or CBOW, GloVe directly factorizes the word co-occurrence matrix.

The GloVe model is trained by optimizing the following function:

$$J(\theta) = \frac{1}{2} \sum_{i=1}^{W} \sum_{j=1}^{W} f(P_{ij}) (u_i^T v_j - \log P_{ij})^2$$

where, W is the vocabulary size,

 P_{ij} (a scalar) is the probability that word j appears in the context of word i,

 $f: \mathbb{R} \to \mathbb{R}$ is a function that gives a weight to each (i, j) pair based on its probability P_{ij} , preventing rare and overly frequent co-occurrences from dominating the optimization process,

 u_i is a column vector of shape $(d \times 1)$ representing the word vector for the word i, capturing the representation of the central word in the co-occurrence pair, and

 v_j is a column vector of shape $(d \times 1)$ representing the word vector for context word j, capturing the representation of the word appearing in the context of word i.

Consider the following statements about GloVe:

A: The gradient $\frac{\partial J(\theta)}{\partial u_i}$ of the objective function is $\frac{\partial J(\theta)}{\partial u_i} = \sum_{i=1}^W f(P_{ij})(u_i^T v_j - \log P_{ij})v_j$ **B:** GloVe constructs word embeddings by factorizing a word co-occurrence matrix, while CBOW and

B: GloVe constructs word embeddings by factorizing a word co-occurrence matrix, while CBOW and Skip-gram learn embeddings by predicting words in contexts of unbounded lengths.

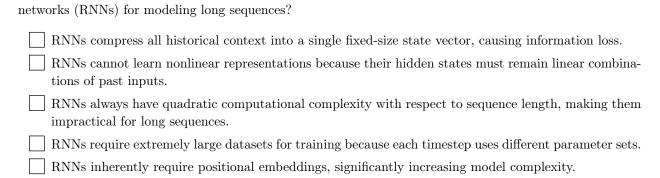
C: Word2Vec iteratively updates embeddings on local contexts, while GloVe can efficiently leverage global statistics once the co-occurrence matrix has been constructed.

D: GloVe and CBOW both predict a central word from surrounding words, while Skip-gram predicts surrounding words given a central word.

Which of the above statements are $\mathbf{TRUE}:$

C only
A only
B and C
None of the other options is correct
All statements are true
A, B and D

Question 5 What is the primary purpose of backpropagation in neural networks?
To calculate the forward pass of the network
To determine the optimal network architecture
To update the model parameters
To randomly initialize weights
To efficiently compute gradients of the loss function with respect to weights
Question 6 Which of the following statements correctly describes how ELMo implements bidirectional LSTMs to generate its contextualized embeddings?
ELMo uses a single forward-direction LSTM layer followed by a separate backward-direction LSTM layer, concatenating their outputs only after the backward pass has processed the entire sequence.
ELMo independently runs two separate LSTM networks—one forward (from left to right) and one backward (right-to-left)—over the same input sequence. The final embeddings for each token are computed by concatenating hidden states from both directions at each position.
ELMo employs a single LSTM layer that alternates direction every timestep, using hidden states from the previous forward step to inform the subsequent backward step, thus producing bidirectional embeddings sequentially rather than in parallel.
ELMo uses transformer-style self-attention layers on top of forward-only LSTM layers, effectively simulating bidirectionality without explicitly implementing backward-direction recurrence.
Question 7 Can decoder-only models (e.g., GPT-family) perform sequence-to-sequence tasks such as machine translation?
Decoder-only models are inherently unable to perform any form of machine translation because it does not provide a direct way to encode the source sequence independently of the target sequence.
Decoder-only models can be used for machine translation by providing the source sequence as a prompt (possibly with special tokens), and then autoregressively generating the translated text.
It is impossible to adapt decoder-only models for translation because they lack the cross-attention mechanism that directly aligns source and target sequences during inference.
Decoder-only models performs machine translation by constructing an additional encoder module at inference time, allowing it to process source sequences separately from decoding.
Question 8 Both top-p (nucleus) sampling and top-k sampling control randomness in language model outputs. Which of the following best describes their difference?
\square Top- k sampling always selects the top k most probable tokens, whereas Top- p sampling dynamically adjusts the number of tokens based on cumulative probability.
\square Top-p sampling selects exactly p percent of tokens, while top-k always selects exactly k tokens.
\square Top- k sampling is more dynamic than top- p because it considers the most relevant tokens at every step.
\square Top- p sampling is deterministic, whereas Top- k is probabilistic.



Which of the following accurately describes a key disadvantage of using recurrent neural

Question 10 Peephole connections in Long Short-Term Memory (LSTM) networks modify the standard gating mechanism by allowing gates to directly utilize information from the cell state c_{t-1} . Specifically, peephole connections introduce additional parameters—called peephole weights—that explicitly connect the gates to the previous cell state.

Given the above description, which of the following equations correctly represents the calculation of the input gate i_t in an LSTM cell with peephole connections?

- x_t : input vector at timestep t
- h_{t-1} : hidden state vector at timestep t-1
- c_{t-1} : cell state vector at timestep t-1
- W_{ix}, W_{ih}, W_{ic} : learned weight matrices/vectors
- b_i : bias vector

Question 9

- σ : sigmoid activation
- ①: element-wise multiplication

$$i_t = \tanh(W_{ix}x_t + W_{ih}h_{t-1} + W_{ic}c_{t-1} + b_i)$$

$$i_t = \sigma(W_{ix}x_t + W_{ih}h_{t-1} + W_{ic}c_{t-1} + b_i)$$

Question 11 Consider the following statements in the context of evaluating the quality of text
generation:
A: A perplexity of k can be interpreted as the model being confused among k tokens in the vocabulary on
average.
B: A perplexity of k can be interpreted as the model being confused among e^k tokens in the vocabulary on
average.
C: BLEU is a better metric than perplexity for evaluating text generation quality because it compares
generated text to references.
\mathbf{D} : BLEU is a good metric for evaluating creative text generation quality because it has a very high positive
correlation with human evaluation.
E: Perplexity is a better indicator of generated text quality than BLEU.
\mathbf{F} : SPIDEr evaluates text quality more holistically compared to BLEU as it focuses on both semantic and
syntactic similarity.

Which of the above statements are TRUE:

B and D

None of the other options is correct

E and F

A, E and F

A, C and F

A only

A, D and F

B, C and F

F only

A and C

B and C

Question 12 In Transformer models, the attention mechanism explicitly defines three distinct vector types:

- Query: Represents the element for which context is being retrieved (usually from the decoder).
- Key: Encodes representations used to calculate relevance to each query.
- Value: Encodes the actual content to be combined and passed forward according to attention weights.

Consider the original attention mechanism used in encoder-decoder LSTM models (e.g., Bahdanau attention). Although not explicitly labeled as Query, Key, and Value, these concepts have analogous interpretations. Which of the following correctly describes the analogy between Transformers' Query-Key-Value framework and the attention mechanism in encoder-decoder LSTM models?

— Query: Decoder hidden state at the current decoding step (s_t) .
- Keys: Encoder hidden states (h_i) .
- Values: Encoder hidden states (h_i) .
— Query: Encoder hidden states (h_i) .
- Keys: Decoder hidden state at the previous decoding step (s_{t-1}) .
- Values: Decoder hidden states at previous steps $(s_{1:t-1})$.
\Box - Query: Input embeddings (x_i) of encoder tokens.
- Keys: Encoder hidden states (h_i) .
- Values: Decoder hidden states (s_{t-1}) .
\Box - Query: Attention weights $(\alpha_{t,i})$.
- Keys: Decoder hidden state at previous decoding steps (s_{t-1}) .
- Values: Current input embedding (x_t) .
Question 13 You have access to:
(a) A very large unlabeled text corpus (hundreds of gigabytes) covering general topics.
(b) A small , labeled dataset (a few thousand examples) focused on a specific domain (e.g., medica records).
You want to build an NLP model for domain-specific classification (e.g., classifying patient notes). Which of the following strategies best reflects effective use of transfer learning?
Train an LSTM or Transformer from scratch on the small labeled dataset alone.
Pretrain a large model on the massive general corpus, then finetune on the smaller domain-specifical labeled dataset to adapt the model to your classification task.
Perform no finetuning, but rely exclusively on hyperparameter search over the small dataset to compensate for domain mismatch.
Pretrain a large model on the massive general corpus, then immediately deploy it to your task withou

any additional training.

Question 14 Word2Vec represents a family of embedding algorithms that are commonly used in a variety of contexts. Suppose in a recommender system for online shopping, we have information about co-purchase records for items x_1, x_2, \ldots, x_n (for example, item x_i is commonly bought together with item x_j). You are tasked to use ideas similar to Word2Vec to recommend similar items to users who have shown interest in any one of the items. Which one of the following would NOT be a part of your strategy?
I will make item recommendations by finding items with high cosine similarity to the average of item embeddings in the purchase basket.
I will build item embeddings by minimizing the negative log probability of the missing item based on co-purchase records.
I will construct item embeddings such that each item is represented as the average of the embeddings of all items it was co-purchased with.
\square I will treat items that are co-purchased with item x_i to be in the 'context' of item x_i .
Question 15 In a Transformer encoder-decoder model, each decoder block utilizes masked self-attention followed by encoder-decoder cross-attention. Which of the following correctly explains the role of masked self-attention in the decoder?
It allows the model to consider future tokens to improve prediction accuracy.
It prevents tokens from attending to themselves to avoid trivial solutions.
It allows the decoder layer to attend exclusively to encoder representations, discarding decoder self-context.
It ensures the decoder does not attend to subsequent tokens during training to maintain autoregressive property.
Question 16 Which of the following sets consists solely of bidirectional Transformer models?
BERT, DistilBERT, RoBERTa
BART, T5, GPT
GPT, BART, BERT
GPT, BERT, T5
Question 17 Why are positional embeddings required in Transformer architectures?
To improve the numerical stability of self-attention computations.
Because Transformers lack explicit sequential order information.
To stabilize gradient updates during training.
To prevent attention mechanisms from attending uniformly to all tokens.



Question 18 Consider the following statements regarding fine-tuning and prompt tuning in large language models:

A: Fine-tuning modifies the model's parameters, while prompt tuning keeps them fixed but optimizes a soft prompt.

B: LoRA is an efficient prompt tuning method where we freeze the model's parameters and only train newly initialized FFN layers.

C: Fine-tuning requires more task-specific labeled data whereas prompt tuning requires fewer examples to modify the input prompt representation.

D: Prompt tuning always performs better than fine-tuning because it does not require any labeled data.

E: Prompt tuning performs on par with fine-tuning at all model scales.

F: Prompt tuning is more parameter-efficient than fine-tuning because it only optimizes a small number of prompt embeddings instead of updating all model parameters.

G: Soft prompts are inherently more interpretable.

Which of the above statements are **TRUE**:

A, F and G
A only
A, C and F
A and F
A and G
All statements are true
All except D, E and G
A, B, C, F and G

Text Generation

The following tree of tokens in Figure 1 is relevant for the next few questions. The boxes represent tokens. Each arrow $a \xrightarrow{q} b$ represents the choice of next token being b given the token prefix ending at a. The probability of b given prefix ending at a is q. Only the highest probability tokens for each prefix are shown.

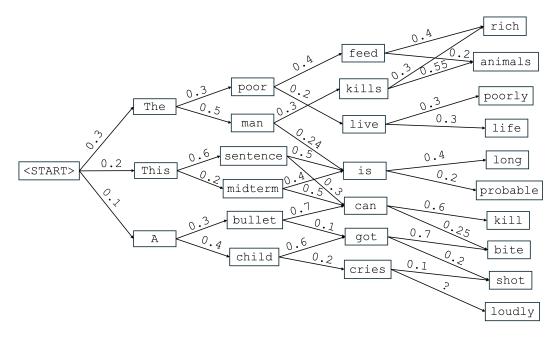


Figure 1. Tree of tokens and probabilities.

Question 19 Consider the following sequences:
A: The man kills rich
B: This midterm can kill
C: This sentence is probable
D: A child cries loudly
E: This midterm is long
F: A bullet got bite
G: A child got bite
H: A bullet got shot
I: This sentence can bite
J: A child got shot
Which of the above sequences will never be generated if top- p (nucleus) sampling is used for decoding with $p=0.52$?
All except A, F, I and J
\square A, B, D, E, H, I and J
All except C, G and I
\square C and G
D only
None of the other options is correct
\square B, D, E and H
\square All except C and G
A, B, D, E, F, G, H, I and J
\square A, F, I and J
Question 20 What are the probabilities assigned to the following three sequences by top- k sampling with $k = 2$:
This midterm can kill
A bullet got bite
The poor feed animals
$ \begin{array}{c} \left[\begin{array}{c} \left(\frac{2}{51}, 0, \frac{1}{20} \right) \\ \left(\frac{2}{51}, 0, 0 \right) \\ \left(0, 0, \frac{1}{20} \right) \\ \left(\frac{5}{153}, 0, \frac{1}{24} \right) \\ \left(0.012, 0, 0.0072 \right) \\ \left(\frac{5}{153}, \frac{1}{144}, \frac{1}{24} \right) \end{array} \right] $

Question 21 If the probability assigned to the sequence "A child cries loudly" by top-p (nucleus) sampling with p = 0.62 is $\frac{1}{56}$, then what is the value of probability represented by "?" in the tree? $\begin{array}{c} e/9 \\ \hline 0.3 \\ \hline 0.033 \\ \hline \hline \pi/10 \\ \hline 0.2232 \\ \hline \hline \pi/10e \\ \hline 0.012 \end{array}$

Code Comprehension: Sampling

likely.

You are given the following top-p (nucleus) sampling function:

```
def top_p_sampling(probs, p=0.9):
    sorted_indices = np.argsort(probs)[::-1]
    sorted_probs = probs[sorted_indices]
    cumulative_probs = np.cumsum(sorted_probs)
    cutoff_idx = np.searchsorted(cumulative_probs, p)
    top_p_indices = sorted_indices[:cutoff_idx]
    top_p_probs = sorted_probs[:cutoff_idx]
    top_p_probs /= np.sum(top_p_probs)
    return np.random.choice(top_p_indices, p=top_p_probs)
```

Here are short descriptions of the NumPy functions involved:

- np.argsort(probs): Returns the indices that would sort the array in ascending order. Example: np.argsort([0.2, 0.8, 0.5]) returns [0, 2, 1].
- np.cumsum(sorted_probs): Computes the cumulative sum of an array. Example: np.cumsum([0.8, 0.15, 0.05]) returns [0.8, 0.95, 1.0].
- np.searchsorted(cumulative_probs, p): Finds the smallest index where cumulative probability reaches or exceeds p. Example: np.searchsorted([0.6, 0.85, 1.0], 0.75) returns 1.
- np.random.choice(top_p_indices, p=top_p_probs): Samples an element from top_p_indices with probabilities given by top_p_probs.

 Example: np.random.choice([2, 0], p=[0.8, 0.2]) randomly returns 2 or 0 with 2 being more

Question 25 To avoid the OOV problem, we apply the add-one Laplace smoothing, where the probability of each bigram can be computed as:

$$P(A|B) = \frac{\text{count}(B, A) + \alpha}{\text{count}(B) + \alpha \cdot |V|}$$

After applying add-one Laplace smoothing ($\alpha = 1$) to the bigram model, what are the probabilities of P(sat|on) and P(on|sat)?

None of the other options is correct.

 $P(\text{sat}|\text{on}) = \frac{1}{20}, P(\text{on}|\text{sat}) = \frac{3}{20}.$

 $P(\text{sat}|\text{on}) = \frac{1}{2}, P(\text{on}|\text{sat}) = \frac{1}{2}.$

 $P(\text{sat}|\text{on}) = \frac{3}{20}, P(\text{on}|\text{sat}) = \frac{1}{20}.$

P(sat|on) = 0, P(on|sat) = 1.

Question 26 What is the probability of the sequence "the dog chased after the new cat" using a bigram (2-gram) language model, without smoothing?

____0

 $\frac{6}{32\times26^6}$

None of the other options is correct.

Classification and Dataset Bias

Consider a training set for sentiment classification containing the following sequences:

"I liked this love movie because it was exciting" [LABEL=+]

"action movies are always terrible" [LABEL=-]

"this comedy made me laugh" [LABEL=+]

"I disliked the drama because it was too slow" [LABEL=-]

We are now conducting sentiment classification by **Naive Bayes** algorithm.

Naive Bayes finds the probability of a label given the probability of the sequences occurred in the training set. Mathematically, it can be defined as:

$$P(c|X) = \frac{P(X|c)P(c)}{P(X)}, \qquad P(X) = \sum_{c \in \{+,-\}} P(X|c)P(c)$$

where c is one of the labels and X is the corresponding sequence.

The training dataset contains 28 tokens in total, including 23 unique tokens. We add one extra token "<UNK>" into vocabulary to handle the unseen out-of-vocabulary words. We always apply add-one Laplace smoothing (smoothing factor $\alpha = 1$) to handle zero probabilities. The conditional probability of a single word w given label c can be computed as follows:

$$P(w|c) = \frac{\text{count}(w, c) + \alpha}{\sum_{w_i \in V} \text{count}(w_i, c) + \alpha \cdot |V|}$$

Question 27 Which of the following can reduce the bias against action movies in our classifier?
(a) Remove all instances of "action" from the training data
(b) Add more negative examples of non-action movies
(c) Add positive examples containing "action movie"
(b) and (c).
\square Only (c).
(a) and (c).
None of the other options is correct.
Only (a).
(a) and (b).
Question 28 Consider all the words occurred in positive and negative classes from our training data which word shows the strongest bias toward negative sentiment?
movie"
"horrible"
<u> </u>
□ "was"
"action"
Question 29 The sequence "this movie was fantastic but it was an action movie" has conflicting sentiment signals. Using Naive Bayes with our training data, what is the most likely classification?
☐ Negative with 63% confidence
Positive with 51% confidence
Negative with 67% confidence
Positive with 86% confidence
Negative with 73% confidence
Question 30 Which of the following sequences would have the lowest probability of being classified as positive?
"this drama was fantastic"
☐ "I enjoyed this action movie"
☐ "I like this documentary"
"the movie was cool but slow"

