# CS772: Deep Learning for Natural Language Processing (DL-NLP)

**Attention and Alignment** 

Pushpak Bhattacharyya

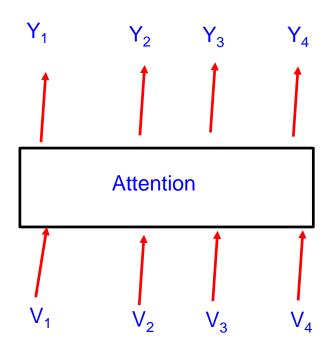
Computer Science and Engineering

Department

**IIT Bombay** 

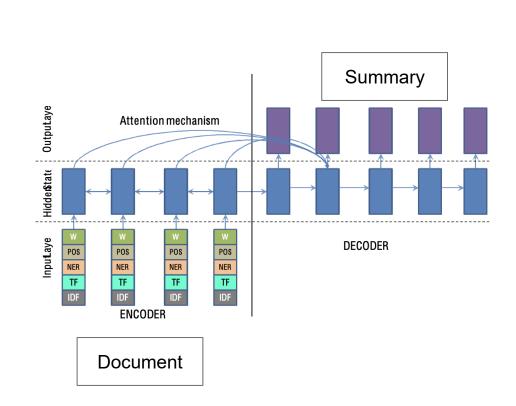
Week 12 of 25mar24

### 1-slide recap



Bank of the river

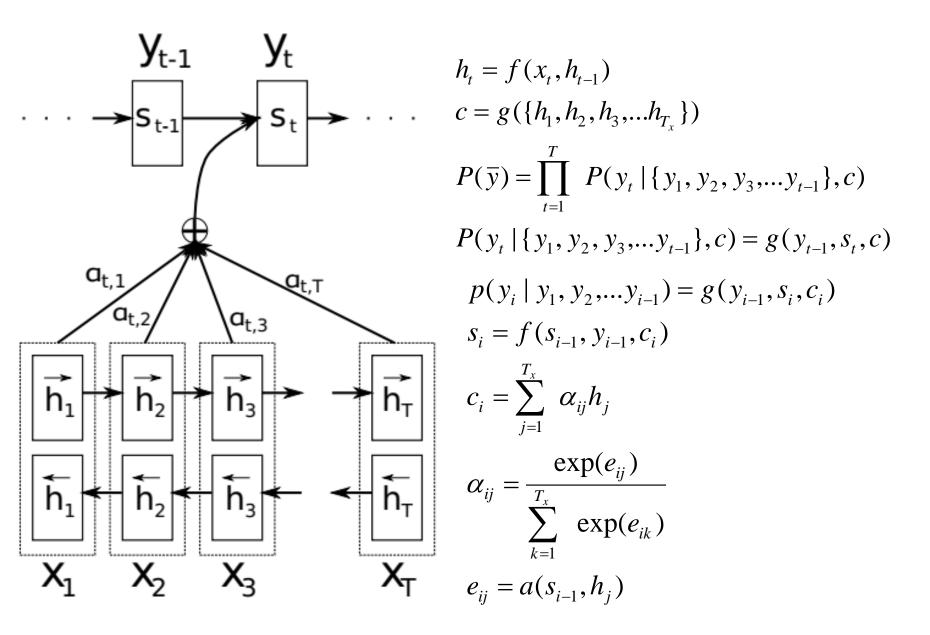
$$Y_i - vector$$
  
=  $w_{11}.V_1 + w_{12}.V_2 + w_{13}.V_3 + w_{14}.V_4$ 



# Neural Cross Attention vs. Statistical Alignment Learning

Non-neural

### Recap of cross attention (Bahadanu et al, 2015)



#### **Foundation**

- Data driven approach
- Goal is to find out the English sentence e given foreign language sentence f whose p(e|f) is maximum.

$$\tilde{e} = \underset{e \in e^*}{\operatorname{argmax}} p(e|f) = \underset{e \in e^*}{\operatorname{argmax}} p(f|e)p(e)$$

- Translations are generated on the basis of statistical model
- Parameters are estimated using bilingual parallel corpora

### Different kinds of alignment

Correspondence between tokens across translations can be one to one, many to one or one to many e.g.

Ram went to school to play.

```
राम खेलने के लिए पाठशाला गया
```

(raam khelne ke liye paathshaala gayaa)

Ram <=> राम (one to one)

to play <=> खेलने के लिए (many to many)

to school <=> पाठशाला (many to one)

### SMT: Language Model

- To detect good English sentences
- Probability of an English sentence  $w_1w_2......w_n$  can be written as  $Pr(w_1w_2.....w_n) = Pr(w_1) * Pr(w_2|w_1) * ... * Pr(w_n|w_1 w_2...w_{n-1})$
- Here  $Pr(w_n|w_1|w_2...w_{n-1})$  is the probability that word  $w_n$  follows word string  $w_1|w_2...w_{n-1}$ .
  - N-gram model probability
- Trigram probability calculation

$$p(w_3|w_1w_2) = \frac{count(w_1w_2w_3)}{count(w_1w_2)}$$

### **SMT: Translation Model**

- P(f|e): Probability of some f given hypothesis English translation e
- How to assign the values to p(e|f)? Sentences are infinite, not possible to find pair (e,f) for all sentences

$$p(f|e) = \frac{count(f,e)}{count(e)}$$
 Sentence level

 Introduce a hidden variable a, that represents alignments between the individual words in the sentence pair

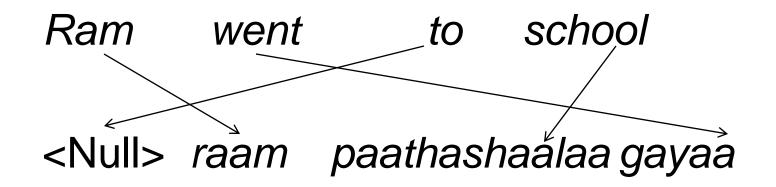
### Alignment

- If the string,  $e=e_1'=e_1 e_2 ... e_l$ , has l words, and the string,  $f=f_1^m=f_1f_2...f_m$ , has m words,
- then the alignment, a, can be represented by a series,  $a_1^m = a_1 a_2 ... a_m$ , of m values, each between 0 and l such that if the word in position j of the f-string is connected to the word in position i of the e-string, then
  - $a_j = i$ , and
  - if it is not connected to any English word, then
     a<sub>i</sub>= O

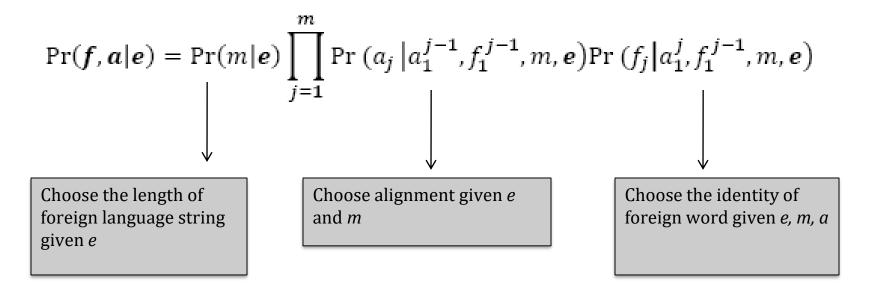
### Example of alignment

English: Ram went to school

Hindi: raam paathashaalaa gayaa



### Translation Model: Exact expression



- Five models for estimating parameters in the expression [2]
- Model-1, Model-2, Model-3, Model-4, Model-5

# Proof of Translation Model: Exact expression

$$\begin{split} \Pr(f \mid e) &= \sum_{a} \Pr(f, a \mid e) \qquad \text{; marginalization} \\ \Pr(f, a \mid e) &= \sum_{m} \Pr(f, a, m \mid e) \qquad \text{; marginalization} \\ \sum_{m} \Pr(f, a, m \mid e) &= \sum_{m} \Pr(m \mid e) \Pr(f, a \mid m, e) \\ &= \sum_{m} \Pr(m \mid e) \Pr(f, a \mid m, e) \\ &= \sum_{m} \Pr(m \mid e) \prod_{j=1}^{m} \Pr(f_{j}, a_{j} \mid a_{1}^{j-1}, f_{1}^{j-1}, m, e) \\ &= \sum_{m} \Pr(m \mid e) \prod_{j=1}^{m} \Pr(a_{j} \mid a_{1}^{j-1}, f_{1}^{j-1}, m, e) \Pr(f_{j} \mid a_{1}^{j}, f_{1}^{j-1}, m, e) \end{split}$$

m is fixed for a particular f, hence

$$\sum_{m} \Pr(f, a, m \mid e) = \Pr(m \mid e) \prod_{j=1}^{m} \Pr(a_{j} \mid a_{1}^{j-1}, f_{1}^{j-1}, m, e) \Pr(f_{j} \mid a_{1}^{j}, f_{1}^{j-1}, m, e)$$

$$\Pr(f \mid e) = \Pr(m \mid e) \cdot \sum_{a} \left[ \prod_{j=1}^{m} \Pr(a_{j} \mid a_{1}^{j-1}, f_{1}^{j-1}, m, e) \Pr(f_{j} \mid a_{1}^{j}, f_{1}^{j-1}, m, e) \right]$$

# EM for word alignment from sentence alignment: example

#### **English**

(1) three rabbits a b

(2) rabbits of Grenoble b c d

#### French

(1) trois lapins

W

(2) lapins de Grenoble

X

y

7

# Initial Probabilities: each cell denotes $t(a \leftarrow \rightarrow w)$ , $t(a \leftarrow \rightarrow x)$ etc.

	а	b	С	d
W	1/4	1/4	1/4	1/4
X	1/4	1/4	1/4	1/4
У	1/4	1/4	1/4	1/4
Z	1/4	1/4	1/4	1/4

### Example of expected count

### "counts"

a b	а	b	С	d	b c d	а	b	С	d
←→					←→				
w x					x y z				
W	1/2	1/2	0	0	W	0	0	0	0
Х	1/2	1/2	0	0	Х	0	1/3	1/3	1/3
У	0	0	0	0	У	0	1/3	1/3	1/3
Z	0	0	0	0	Z	0	1/3	1/3	1/3

### Revised probability: example

$$t_{revised}(a \leftarrow \rightarrow w)$$

1/2

$$(1/2+1/2 +0+0)_{(a \ b) \leftarrow \rightarrow (\ w \ x)} + (0+0+0+0)_{(b \ c \ d) \leftarrow \rightarrow (x \ y \ z)}$$

### Revised probabilities table

	а	b	С	d
W	1/2	1/2	0	0
X	1/4	5/12	1/6	1/6
У	0	1/3	1/3	1/3
Z	0	1/3	1/3	1/3

### "revised counts"

a b	а	b	С	d	bcd	а	b	С	d
<i>←→</i>					←→				
w x					xyz				
W	1/2	3/8	0	0	W	0	0	0	0
Х	1/2	5/8	0	0	Х	0	5/9	1/3	1/3
У	0	0	0	0	У	0	2/9	1/3	1/3
Z	0	0	0	0	Z	0	2/9	1/3	1/3

### Re-Revised probabilities table

	а	b	С	d
W	1/2	1/2	0	0
X	3/16	85/144	1/9	1/9
У	0	1/3	1/3	1/3
Z	0	1/3	1/3	1/3

Continue until convergence; notice that (b,x) binding gets progressively stronger; b=rabbits, x=lapins

### **RLHF**

Presented by Swaroop

# Reinforcement Learning in Natural Language Generation

**Swaroop Nath** 

## Why Reinforcement Learning? | Key

$$\mathcal{L}_{\mathcal{MLE}} = -\sum_{t=1}^n \left\{ \boxed{\mathbb{1}[y_t = y_t^*]} \log \mathcal{P}(y_t^*|y_1^*, y_2^*, \cdots, y_{t-1}^*, \mathbf{q}, \mathbf{d}) 
ight\}$$

$$\mathcal{L}_{\mathcal{PG}} = -\sum_{t=1}^n \left\{ \underbrace{(R( au) - b)} \log \mathcal{P}(y_t^*|y_1^*, y_2^*, \cdots, y_{t-1}^*, \mathbf{q}, \mathbf{d}) 
ight\}$$

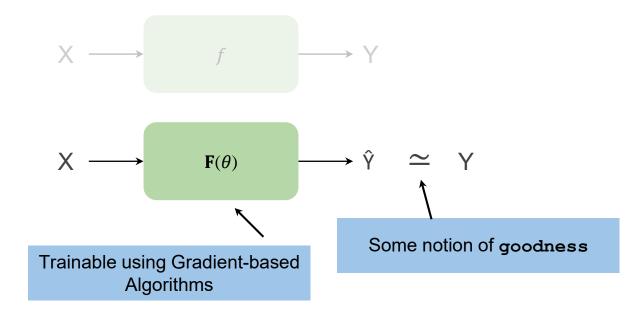
### Learning Algorithms

Given inputs (X) and outputs (Y), how do you learn the mapping?



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Given inputs (X) and outputs (Y), how do you learn the mapping?



#### **Text Generation**

The Department of Computer Science and Engineering at IIT Bombay is thrilled to announce the upcoming RISC 2024 . . .

Fluency

The Computer Science of and Department

Engineering upcoming at is thrilled to

the announce RISC 2024 IIT Bombay . . .

Indian Institute of Technology Bombay is in India.

Indian Institute of Technology Bombay is in the Australian continent, located in New Zealand.

**Text Generation** 

Fluency

Hallucination

Indian Institute of Technology Bombay is in India.

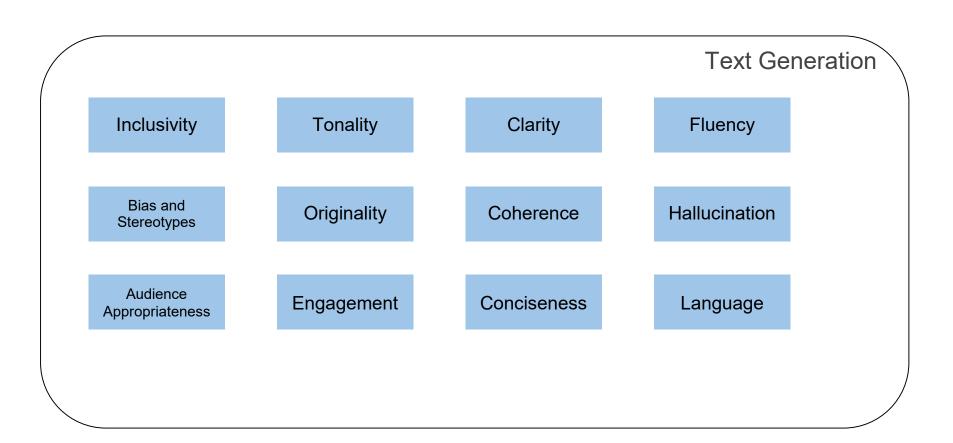
L'Indian Institute of Technology Bombay se trouve en Inde.

**Text Generation** 

Fluency

Hallucination

Language



#### Inclusivity

Bias and Stereotypes

Audience Appropriateness



#### **Text Generation**

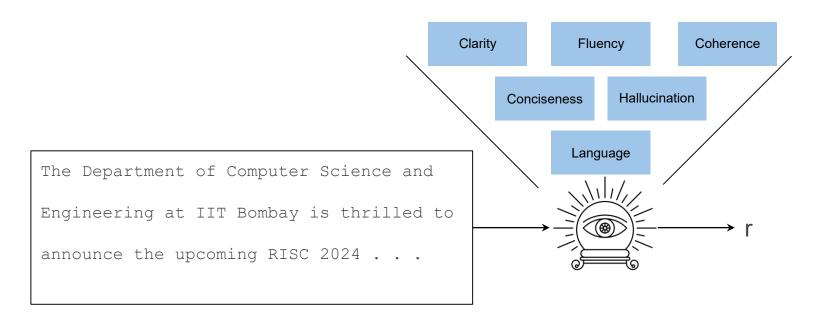
Fluency

Hallucination

Language

### An Oracle

#### Oracle takes all factors into account and scores the text



## An Oracle

#### Typically humans play the role of Oracle!

The Department of Computer Science and

Engineering at IIT Bombay is thrilled to

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# Preference Modeling

Difficult for human to provide a scalar score!

However the score reflects in preference!



Another Large Model

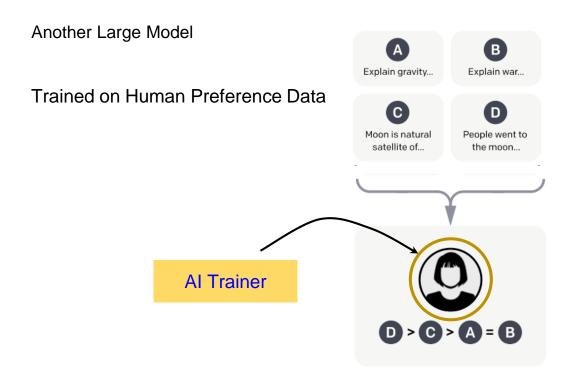
Trained on Human Preference Data

Another Large Model

Trained on Human Preference Data



Various Possible Outputs



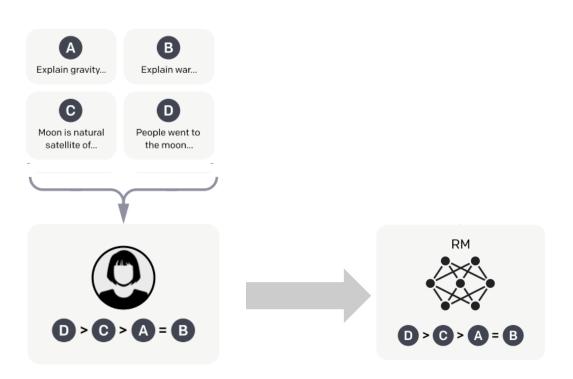
**Another Large Model** 

Trained on Human Preference Data



**Another Large Model** 

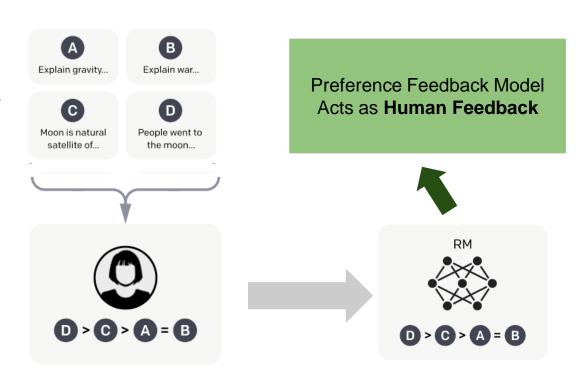
Trained on Human Preference Data

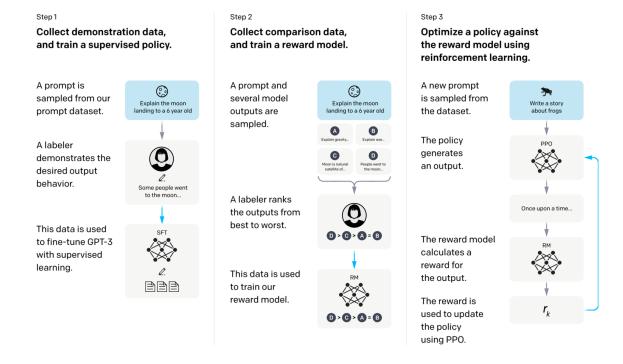


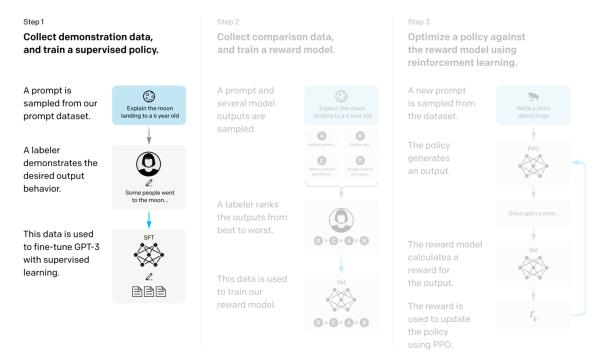
Train Preference Reward Model on this data

**Another Large Model** 

Trained on Human Preference Data

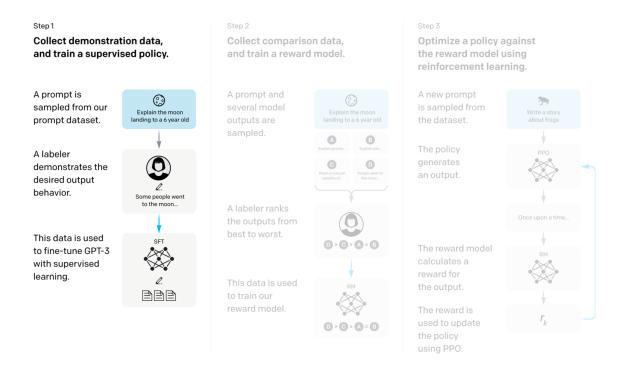






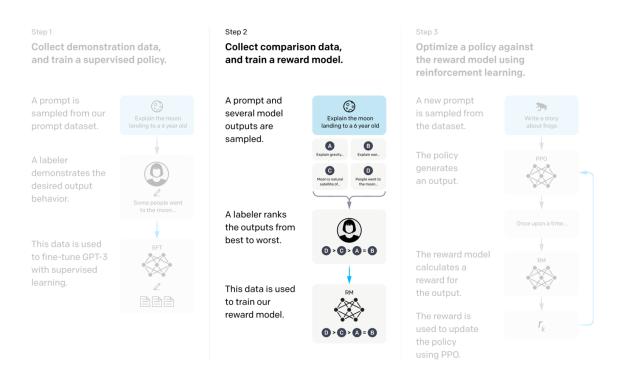
Supervised Fine

**Tuning** 

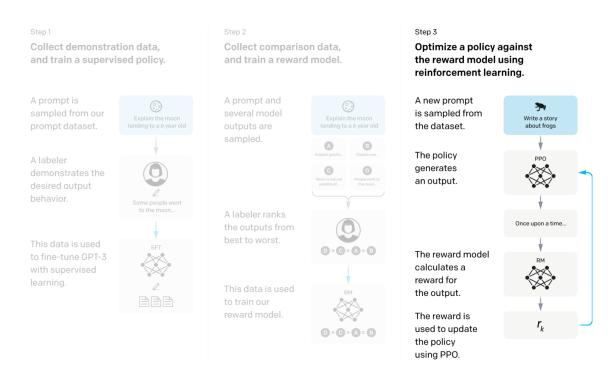


Supervised Fin truction Tuning

Subtle Difference



Collecting data from model for Al Trainer labelling and Preference Model Training



RLHF Training using Preference Model to reward generations

# Preference Modeling | Underlying Math

Difficult for human to provide a scalar score!

However the score reflects in preference!

Bradley-Terry model<sup>1</sup> provides a way to extract latent-reward-model from preference data

$$p^*(y_1 \succ y_2 \mid x) = \frac{\exp(r^*(x, y_1))}{\exp(r^*(x, y_1)) + \exp(r^*(x, y_2))}$$

# Preference Modeling | Underlying Math

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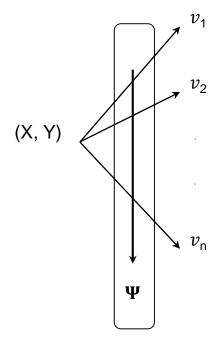
<sup>1</sup>R. A. Bradley and M. E. Terry, Rank analysis of incomplete block designs; I. the method of paired comparisons, *Biometrika*, 39(3/4):324–345, 1952, doi: https://doi.org/10.2307/2334029

 $X \rightarrow input text$ 

 $Y \rightarrow output from LLM$ 

$$\varphi = f(X, Y)$$

$$\varphi = f(X, Y)$$

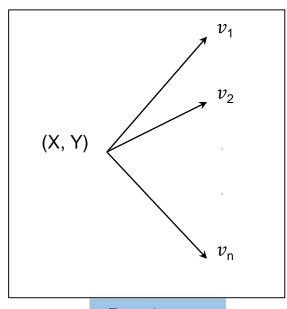


Hallucination

For the task of creative writing

 $v_{\rm i}$ 's are specified by domain experts Signifies what features are important in the reward

$$\varphi = f(X, Y)$$

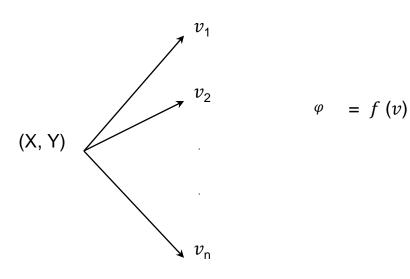


$$\varphi = f(v)$$

Requires training data

Requires no training data

$$\varphi = f(X, Y)$$

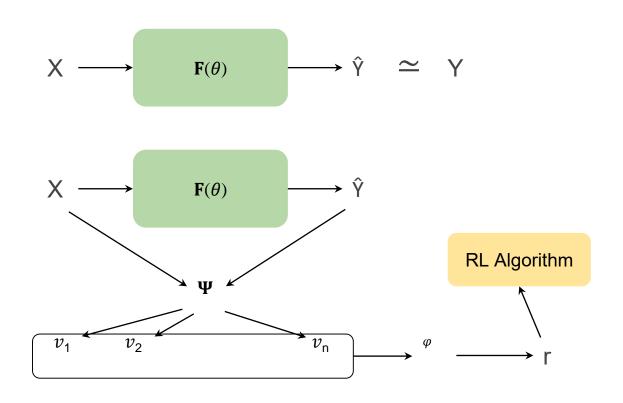


Domain Knowledge gives me features

These features compress variability in data

Thus effectively reducing the data requirement

## Putting it all together -- RLHF



# Ok, but how does it perform on a domain?

#### E-Commerce Opinion Summarization

Input: Reviews

**Output: Opinion Summary** 



**★★★★★** Clearness and beautiful performance

Reviewed in India on 5 January 2024

Size: 75 Hz | Style Name: 21.5-Inch Full HD | Verified Purchase

It's HDMI facility and its clarity which helps dechiper the print the screen.

Helpful Repo



★★★★★ Immersive Excellence: Unveiling the HP M24f 23.8-Inch Full HD Monitor

Reviewed in India on 24 December 2023

Size: 75 Hz | Style Name: 23.8-Inch Full HD | Verified Purchase

The HP M24f 23.8-Inch Full HD Monitor delivers a visually stunning experience with vibrant colors and sharp resolution. Its sleek design and thin bezels add a touch of sophistication, making it a versatile choice for work or play. With user-friendly features and AMD FreeSync technology for gaming, this monitor combines performance and style seamlessly.

Helpful

Repor

#### **Customers say**

Customers like the quality, color, value, speed and appearance of the monitor. They mention that its a very good product, works great for Coding, Gaming and Casual Movie watching and that its pretty good for the price value. They are also satisfied with the thickness, and picture quality. That said, opinions are mixed on brightness.

Al-generated from the text of customer reviews

## **Domain Specification**

#### E-Commerce Opinion Summarization

Input: Reviews

**Output: Opinion Summary** 

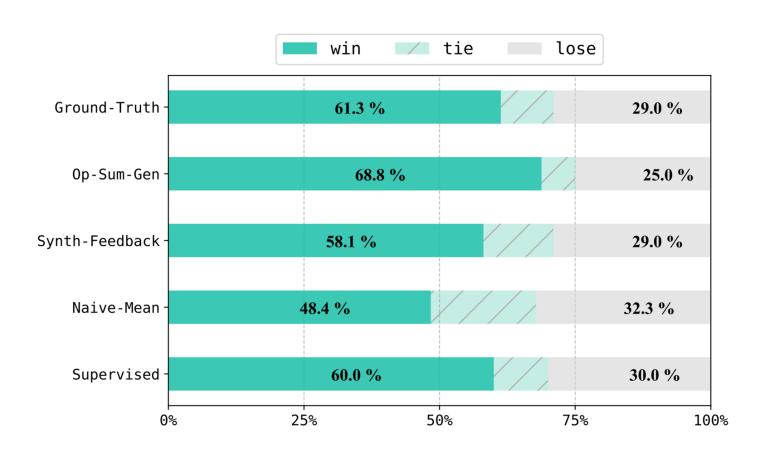
#### Set of features:

- Aspect Coverage
- Opinion Faithfulness
- Opinion Coverage
- Conciseness
- Relevance
- Hallucination
- Language Correctness

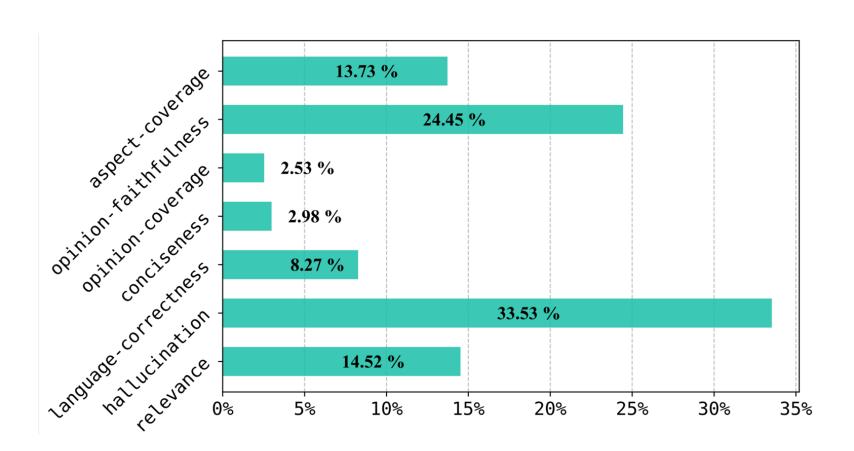
Preference Annotations for only **940** pairs!

> 20x reduction in dataset size!

## Results



## Analysis



### Conclusion

We show a new way to do RLHF, by leveraging domain knowledge

We show one way to reduce human preference requirement (>20x)

We see that our approach leads to better performance

We see that our approach actually provides alignment too

## THANK YOU!!



Pushpak Bhattacharyya



Harshad Khadilkar



Swaroop Nath

# Back to Alignment

# Derivation of EM based Alignment Expressions

```
V_E = vocabulary of language L_1 (Say English)

V_F = vocabulary of language L_2 (Say Hindi)
```

```
E<sup>1</sup> what is in a name?

ਗਸ ਸੇਂ क्या है?

naam meM kya hai?

F<sup>1</sup> name in what is?
```

E<sup>2</sup> That which we call rose, by any other name will smell as sweet.

जिसे हम गुलाब कहते हैं, और भी किसी नाम से उसकी कुशबू समान मीठा होगी

F<sup>2</sup> Jise hum gulab kahte hai, aur bhi kisi naam se uski khushbu samaan mitha hogii
That which we rose say , any other name by its smell as sweet

That which we call rose, by any other name will smell as sweet.

## Vocabulary mapping

#### Vocabulary

V <sub>E</sub>	V <sub>F</sub>
what , is , in, a , name , that, which, we , call ,rose, by, any, other, will, smell, as, sweet	naam, meM, kya, hai, jise, ham, gulab, kahte, aur, bhi, kisi, bhi, uski, khushbu, saman, mitha, hogii

## **Key Notations**

English vocabulary :  $V_E$ French vocabulary :  $V_F$ 

No. of observations / sentence pairs : *S* 

$$e^{1}_{1}, e^{1}_{2}, \dots, e^{1}_{l^{1}} \Leftrightarrow f^{1}_{1}, f^{1}_{2}, \dots, f^{1}_{m^{1}}$$

$$e^{2}_{1}, e^{2}_{2}, \dots, e^{2}_{l^{2}} \Leftrightarrow f^{2}_{1}, f^{2}_{2}, \dots, f^{2}_{m^{2}}$$

. . . . .

$$e^{s}_{1}, e^{s}_{2}, \dots, e^{s}_{l^{s}} \Leftrightarrow f^{s}_{1}, f^{s}_{2}, \dots, f^{s}_{m^{s}}$$

. . . . .

$$e^{S}_{1}, e^{S}_{2}, \dots, e^{S}_{l}s \Leftrightarrow f^{S}_{1}, f^{S}_{2}, \dots, f^{S}_{m}s$$

No. words on English side in  $s^{th}$  sentence :  $l^s$ 

No. words on French side in  $s^{th}$  sentence :  $m^s$ 

 $index_E(e^s_p)$  =Index of English word  $e^s_p$  in English vocabulary/dictionary  $index_F(f^s_q)$  =Index of French word  $f^s_q$  in French vocabulary/dictionary

## Hidden variables and parameters

### Hidden Variables (Z):

Total no. of hidden variables =  $\sum_{s=1}^{S} l^s m^s$  where each hidden variable is as follows:

 $z_{pq}^s = 1$ , if in  $s^{th}$  sentence,  $p^{th}$  English word is mapped to  $q^{th}$  French word.

 $z_{pq}^{s} = 0$  , otherwise

### Parameters (Θ):

Total no. of parameters =  $|V_E| \times |V_F|$ , where each parameter is as follows:

 $P_{i,j}$  = Probability that  $i^{th}$  word in English vocabulary is mapped to  $j^{th}$  word in French vocabulary

### Likelihoods

#### Data Likelihood L(D; Θ):

$$L(D; \Theta) = \prod_{s=1}^{S} \prod_{p=1}^{l^{S}} \prod_{q=1}^{m^{S}} \left( P_{index_{E}(e_{p}^{S}), index_{F}(f_{q}^{S})} \right)^{z_{pq}^{S}}$$

#### Data Log-Likelihood LL(D; Θ):

$$LL(D; \Theta) = \sum_{s=1}^{S} \sum_{n=1}^{l^{s}} \sum_{q=1}^{m^{s}} z_{pq}^{s} log \left( P_{index_{E}(e_{p}^{s}), index_{F}(f_{q}^{s})} \right)$$

#### Expected value of Data Log-Likelihood E(LL(D; Θ)):

$$E(LL(D; \Theta)) = \sum_{s=1}^{S} \sum_{p=1}^{l^{S}} \sum_{q=1}^{m^{S}} E(z_{pq}^{s}) \log \left( P_{index_{E}(e_{p}^{S}), index_{F}(f_{q}^{S})} \right)$$

# Constraint and Lagrangian

$$\sum_{j=1}^{|V_F|} P_{i,j} = 1 , \forall i$$

$$\sum_{s=1}^{S} \sum_{p=1}^{l^{S}} \sum_{q=1}^{m^{S}} E(z_{pq}^{s}) \log \left( P_{index_{E}(e_{p}^{S}), index_{F}(f_{q}^{S})} \right) - \sum_{i=1}^{|V_{E}|} \lambda_{i} \left( \sum_{j=1}^{|V_{F}|} P_{i,j} - 1 \right)$$

# Differentiating wrt $P_{ij}$

$$\sum_{s=1}^{S} \sum_{p=1}^{l^{S}} \sum_{q=1}^{m^{S}} \delta_{index_{E}(e_{p}^{S}),i} \delta_{index_{F}(f_{q}^{S}),j} \left( \frac{E(z_{pq}^{S})}{P_{i,j}} \right) - \lambda_{i} = 0$$

$$P_{i,j} = \frac{1}{\lambda_i} \sum_{s=1}^{S} \sum_{p=1}^{l^s} \sum_{q=1}^{m^s} \delta_{index_E(e_p^s),i} \delta_{index_F(f_q^s),j} E(z_{pq}^s)$$

$$\sum_{i=1}^{|V_F|} P_{i,j} = 1 = \sum_{i=1}^{|V_F|} \frac{1}{\lambda_i} \sum_{s=1}^{S} \sum_{p=1}^{l^S} \sum_{q=1}^{m^S} \delta_{index_E(e_p^S),i} \delta_{index_F(f_q^S),j} E(z_{pq}^s)$$

## Final E and M steps

M-step

$$P_{i,j} = \frac{\sum_{s=1}^{S} \sum_{p=1}^{l^s} \sum_{q=1}^{m^s} \delta_{index_E(e_p^s),i} \delta_{index_F(f_q^s),j} E(z_{pq}^s)}{\sum_{j=1}^{|v_F|} \sum_{s=1}^{S} \sum_{p=1}^{l^s} \sum_{q=1}^{m^s} \delta_{index_E(e_p^s),i} \delta_{index_F(f_q^s),j} E(z_{pq}^s)}, \forall i,j$$

E-step

$$E(z_{pq}^s) = \frac{P_{index_E(e_p^s),index_F(f_q^s)}}{\sum_{q'=1}^{m^s} P_{index_E(e_p^s),index_F(f_{q'}^s)}}, \forall s, p, q$$

## **Self Attention**

Linguistics of

# Sound-Structure-Meaning continuum

#### Sound:

Phonetics, Phonology

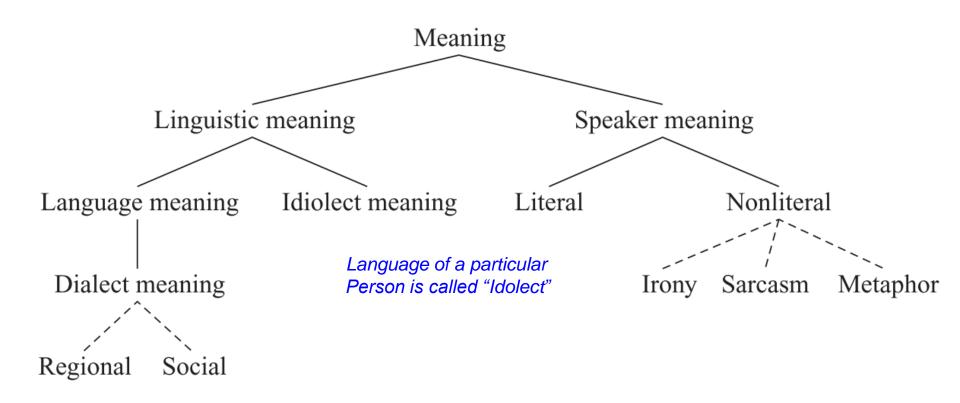
#### **Structure:**

Morphology, Syntax

### Meaning:

Semantic, Pragmatics

## The "meaning" ontology



From: Akmajian et al. 2010

# Meaning of words

# Syntagmatic and Paradigmatic Relations

- Syntagmatic and paradigmatic relations
  - Lexico-semantic relations: synonymy, antonymy, hypernymy, mernymy, troponymy etc. CAT is-a ANIMAL
  - Coccurence: CATS MEW
- Resources to capture semantics:
  - Wordnet: primarily paradigmatic relations
  - ConceptNet: primarily Syntagmatic Relations

# Selectional Preferences (Indian Tradition) (1/2)

- "Desire" of some words in the sentence ("aakaangksha").
  - I saw the boy with long hair.
  - The verb "saw" desires an object here.

- "Appropriateness" of some other words in the sentence to fulfil that desire ("yogyataa").
  - I saw the boy with long hair.
  - The PP "with long hair" can be appropriately connected only to "boy" and not "saw".

# Selectional Preferences (Indian Tradition) (2/2)

- In case, the ambiguity is still present, "proximity" ("sannidhi") can determine the meaning.
  - E.g. I saw the boy with a telescope.
  - The PP "with a telescope" can be attached to both "boy" and "saw", so ambiguity still present. It is then attached to "boy" using the proximity check.

# Selectional Preference (Recent Linguistic Theory) (1/2)

 There are words which demand arguments, like, verbs, prepositions, adjectives and sometimes nouns. These arguments are typically nouns.

 Arguments must have the property to fulfil the demand. They must satisfy Selectional preferences.

# Selectional Preference (Recent Linguistic Theory) (2/2)

- Example
  - Give (verb)
    - » agent animate
    - » obj direct
    - » obj indirect
  - I gave him the book
  - I gave him the book (yesterday in the school)
    - → adjunct

# Argument frame and Selectional Preference

 Structure expressing the desire of a word is called the Argument Frame

- Selectional Preference
  - Properties of the "Words that meet the demand"

## Verb Argument frame (example)

- Verb: give
- Give
  - Agent: <the giver>: animate
  - direct object: <the given>
  - indirect object: <the givee>: personifiable

I\_agent gave a book\_dobj to John\_iobj