



# Transformers and Beyond

PhD Candidate

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April 4th 2023

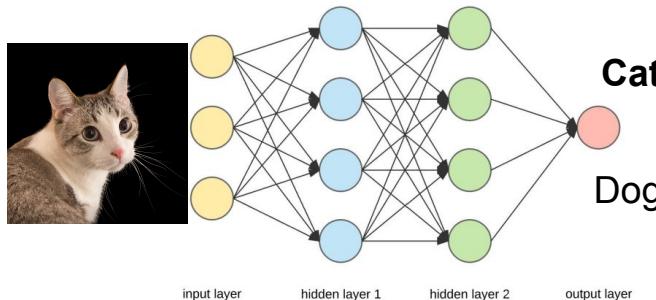
Prepared for CSCI 561



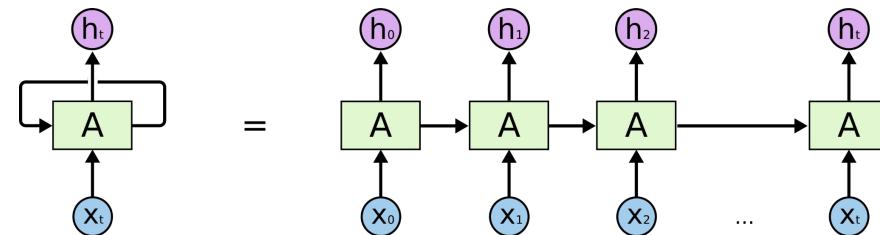
# Transformer Intuition

The first-half of the content in this presentation is based on [1] [2] that you should read.

## Supervised Machine Learning



## Sequence Modeling



Output can be predicting a class, or any data.

Input to the model is the previous output



# Transformer Intuition

Encoder Decoder Architectures

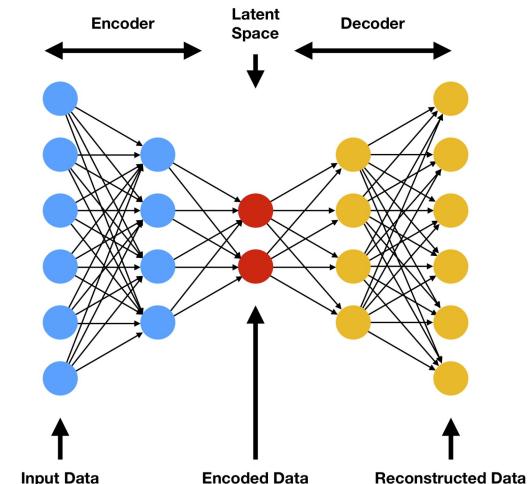
Input some data, output the same data.

**Self-Supervised**

Loss is calculated between input data and reconstructed data

The encoded data is a compressed **representation** of the input data.

Can be **useful** in **other** tasks,  
i.e. the image representations combined with text representations are used for DiffusionModel





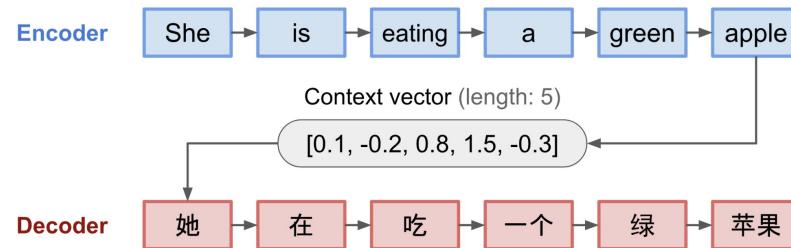
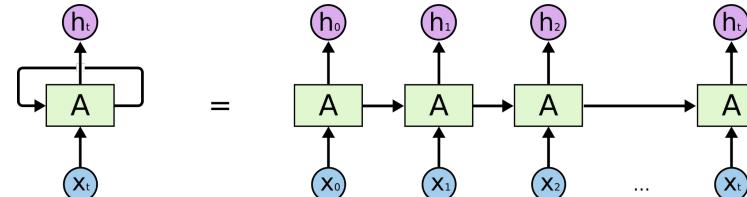
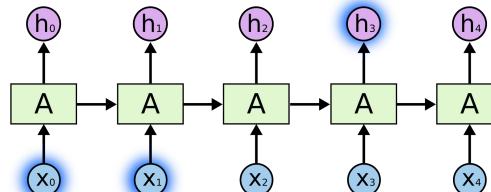
# Sequence to Sequence (Tangent)

Warning! Relevant **ONLY** in understanding advantage of Transformers

*Previously, Recurrent Neural Networks*

Have loops, and we can unroll them (i.e.)

**Problem** processing one token  $x$  at a time





# Transformer

Combines an Auto-Encoder with a Seq2Seq objective

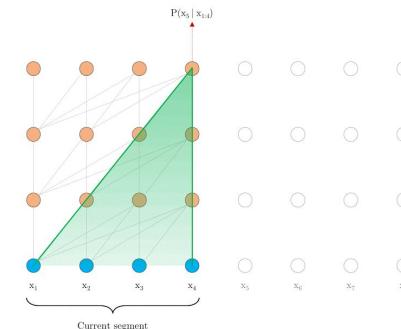
We want to learn to decode the encoded data in a self-supervised manner, but we want to model it as a sequence.

What is the probability of a token given all previous tokens

$$P(x_i | x_{i-1:n})$$

**Advantage** it learns on a segment of a sequence compared to one token at a time (LSTM)

Recurrency (Looping) through segments compared to tokens.





# Transformer Encoder-Decoder

Introduced for Machine Translation (MT) i.e. English-to-French

**Inputs:** English Sentence

**Outputs:** French Sentence

## Problems?

Length of English Sentence  $\neq$  French Sentence

Different Grammar. Order of the translated words is different

## Solutions

Encoder-Decoder Architecture (decoder uses a hidden state)

Attention Mechanism (each word can “attend” to a sequence of words)

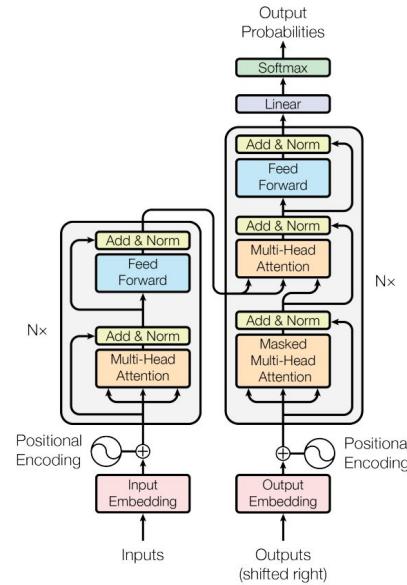


Figure 1: The Transformer - model architecture.



# Encoder Block

## Objective

Compress a sequence to a **hidden state**.

### 1. Input Embedding

Convert words into Vector Representations

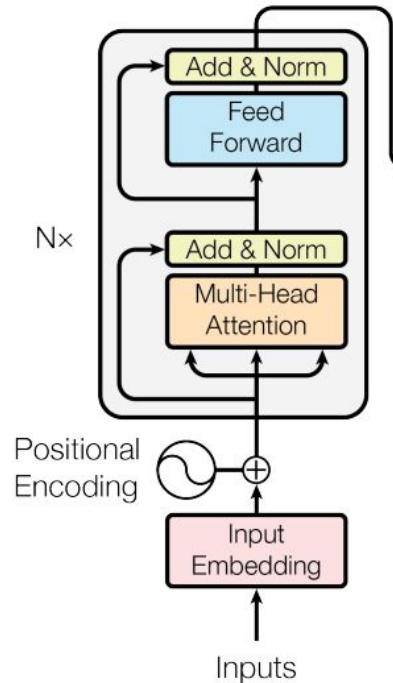
### 2. Positional Encoding

*Attention is Permutation Invariant* we need a way to encode position of a word in the sentence

$$f((x_1, x_2, x_3)) = f((x_2, x_1, x_3)) = f((x_3, x_1, x_2))$$

### 3. Attention!

Learn the context of each word. i.e. what words are before and after the current word???





# Decoder Block

## Objective

Convert compressed **hidden state** to the expected output.  
i.e. English Sentence (**hidden state**) to French Sentence

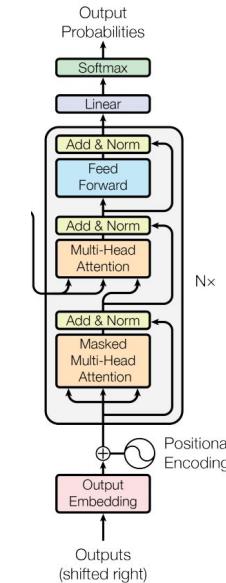
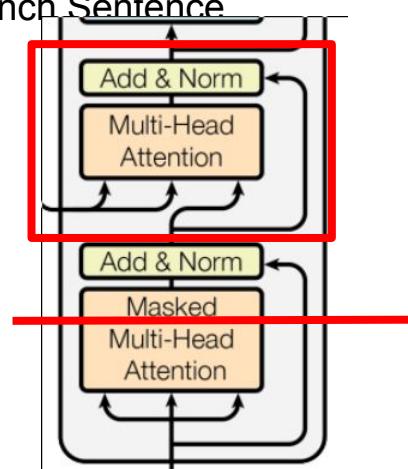
Identical structure to decoder except....

## Cross-Attention Block

Compute Attention between hidden state  
and Output sequence

## Masked Self-Attention

Hide attention of subsequent tokens to  
prevent “cheating”





# Attention!

**Query (Q)** is a token we use to “search” through the most similar keys

**Key (K)** a token we use that corresponds to a value

**Value (V)** the output that corresponds to the key

Most **similar** to a Java HashMap or Python dictionary but... returns the most similar value (**Hard Attention**)

i.e. **Oversimplification**

1 is closer to 0 than to four

```
attention = {0:"zero", 4:"four"}  
  
query = 1  
  
attention[query]  
  
>> "zero"
```

## Soft Attention



```
soft_attention = {0:"zero", 4:"four"}  
  
query = 1  
  
soft_attention[query]  
  
>> ["zero" * 0.8808, "four" * 0.1192]
```

[1] [Show, Attend and Tell: Neural Image Caption Generation with Visual Attention](#)



## Illustration... Not real code

```
soft_attention = {0:"zero", 4:"four"}  
  
query = 1  
  
soft_attention[query]  
  
>> ["zero"**0.8808, "four"**0.1192]
```

# Attention!

**Softmax** Normalizes a vector to sum to 1.

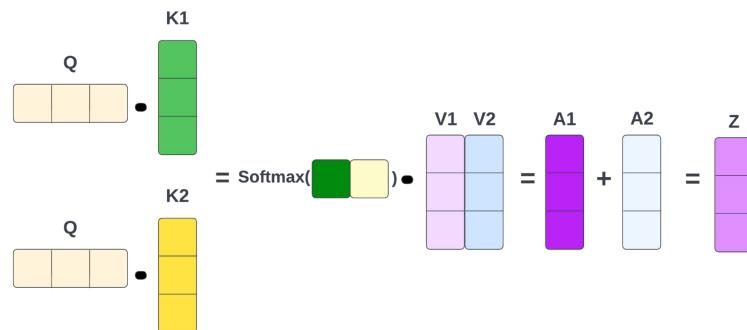
Meets requirement for probabilities. Each element in the vector is an “event”, “category”, “class”

i.e. Probability of  $q = 1$  being “zero” is

$$\text{softmax}([-1, -3]) = 0.8808$$

**Transpose (T)** is the transpose of the Key (For performing a Dot Product)

$$\text{Attention}(\mathbf{Q}, \mathbf{K}, \mathbf{V}) = \text{softmax}\left(\frac{\mathbf{Q}\mathbf{K}^\top}{\sqrt{n}}\right)\mathbf{V}$$

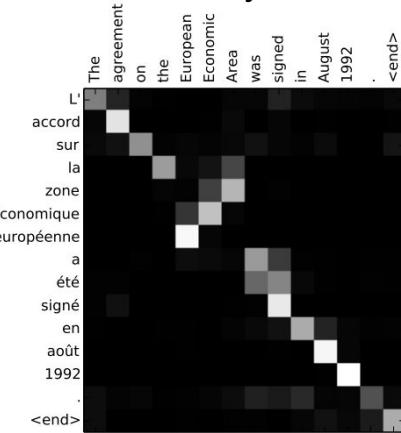




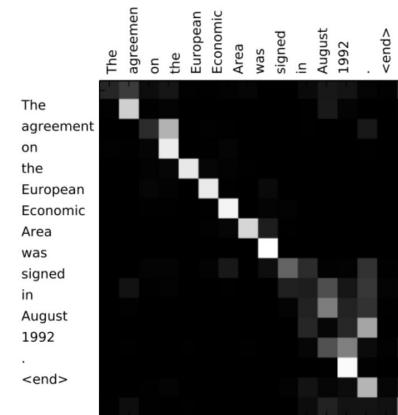
# Attention!

Attention is applied on sequences. **Matrix of attention** from row element to column element.

## Cross-Attention Different Key and Query



## Self-Attention Same Key and Query





# Masked Attention!

**Attention Matrix** is the computational bottleneck of Transformers. Quadratic memory growth with sequence length.

$O(n^2) \times$  Value Dimension (Embedding Dimension)  $\times$  Attention Head  $\times$  Layers = **Large!**

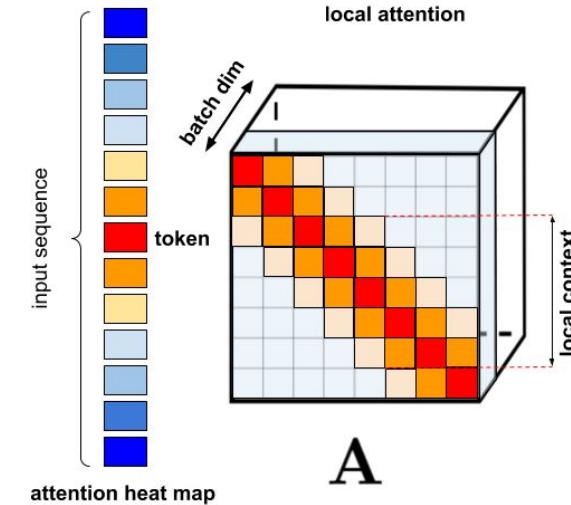
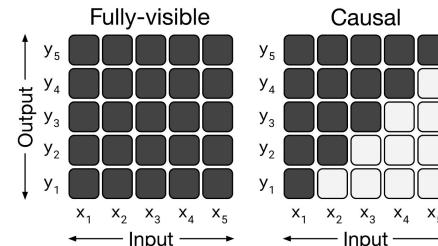
**Solution** Sparse Matrices attend to **local** context (around a word)

**Problem** Self-Attention is *somewhat* cheating.

Easy to decode each word, if we can see before and after.

We do not learn much about the **structure** of language

**Solution** Causal Attention  
Mask future tokens





# Multi Headed

In practice, the biggest improvement of Attention is applying it many times in parallel.

**Same input, different attention heads.**

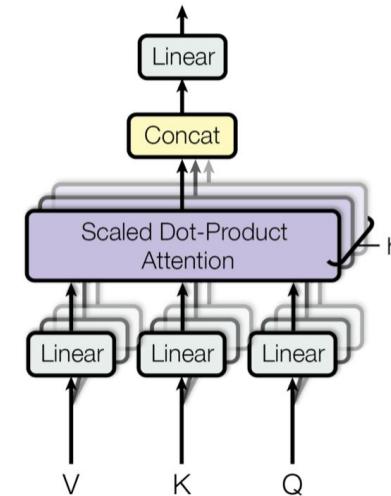
**Concatenate** Output of all heads.

**Combine** With a linear layer.

So.... What exactly are we learning?

**Linear** is a learnable parameter (weight matrix)

Dimensionality **Embedding Dimension**





# Input Embedding

## Problem

Can't do math on words. i.e. "zero"\*0.88 **ValueError**

Making words into numbers. A lookup table.

1. **Input** sentence is “Cat on MAT!”
2. **Tokenize** = [“cat”, “on”, “mat”] = [2,5,10]
3. **Embed**([2,5,10]) = [[1.2,-0.1,4.3, 3.2],  
[2.1,0.3, 0.1, 0.4]  
[2.1,0.3,0.1,0.4] ]

## A 4-dimensional embedding

<b>cat</b> =>	1.2	-0.1	4.3	3.2
<b>mat</b> =>	0.4	2.5	-0.9	0.5
<b>on</b> =>	2.1	0.3	0.1	0.4

...

...



# Permutation Invariance

Attention is Permutation Invariant

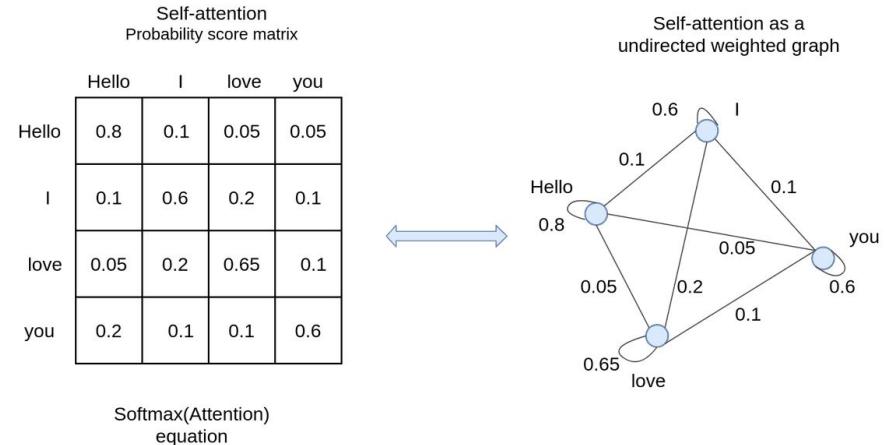
Order of words does not matter.

i.e. swapping rows and columns result in equivalent values.

## Solution

Encode positional information

## Positional Encoding

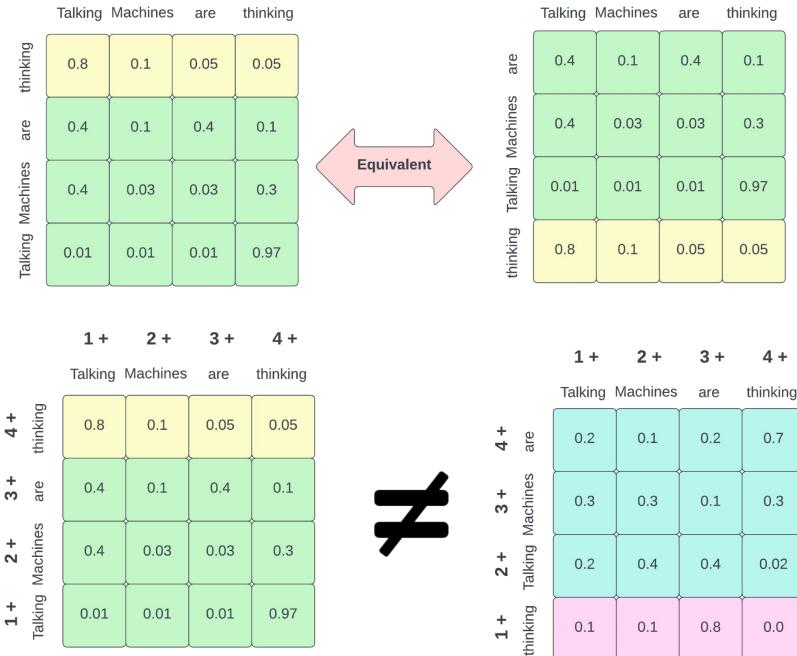




# Positional Encoding

Add an embedding that encodes the position of the word in the sentence.

Switching the columns results in different attention computation





# Train Objective

Output of Transformer Layer is a sequence

**AutoEncoder Objective. Reconstruct Input**

$n$  = Sequence Length

$h$  = Embedding Dimension

Input Shape  $[n, h]$  and Output Shape  $[n, h]$

Use linear layer to project each token (i)  $[1, h] \rightarrow [1, h, \text{vocabulary size}] = \text{logits}$

$\text{Softmax}(\text{logits}) = \text{preds} \rightarrow$  Probability of token (i) to be a word at index j in the preds

**Goal** Maximize Probability of predicting the correct word



# BERT - Denoising Transformer Encoder

## Transformer Encoder ONLY!

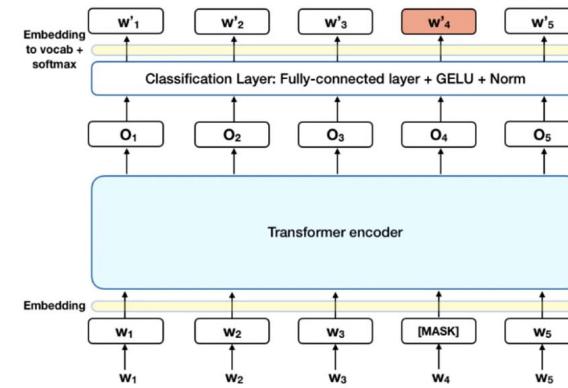
1. *Hide* input tokens by replacing them with the same special [MASK] token
2. Maximize probability of correctly predicting the **real value** of the masked token

**Special Tokens** can be added to the vocabulary that are not part of the language for special purpose i.e. [SEP] Start of New Context  
[EOS] End of Sequence  
[CLS] Used for classification tasks **and more**

- Pre-training BERT

- ✓ Task I: Masked Language Model (MLM)

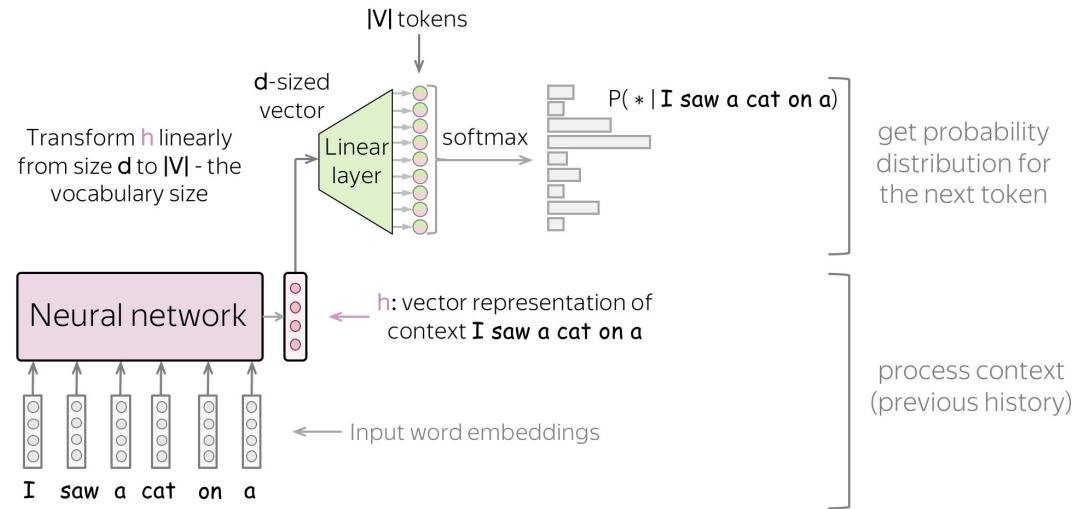
- 15% of each sequence are replaced with a [MASK] token
  - Predict the masked words rather than reconstructing the entire input in denoising encoder





# Next Token Prediction

Used to model Causal relationships





# GPT - Decoder Only

Transformer Decoder Only! (**without** cross-attention)

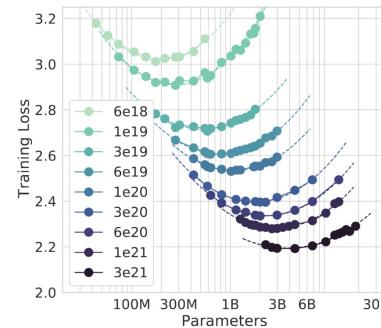
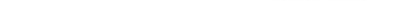
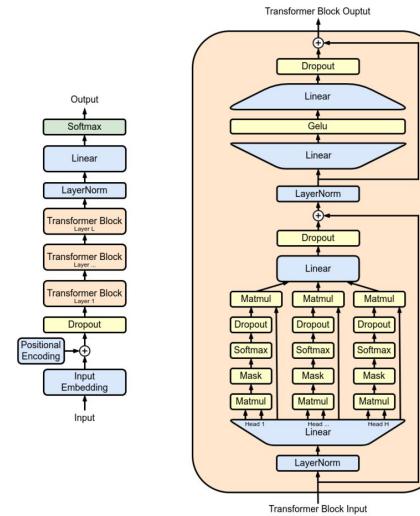
**Different** Causal Language Modeling

Try to predict next word given the current context **so far**

In **Summary**: GPT vs GPT2 vs GPT3 vs GPT4

**Scaling Laws**

More Layers, Larger Hidden Dimension, More Data

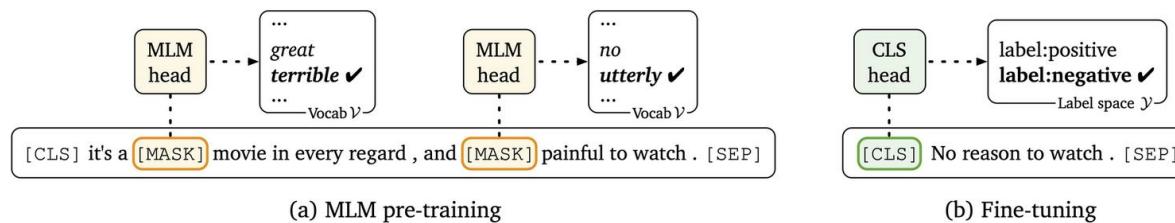




# How to use a Large Language Model

**Fine tune** to a specific task i.e. Sentiment Classification

**Prompt** to generate new context. Start a sentence, ask the model to complete it.



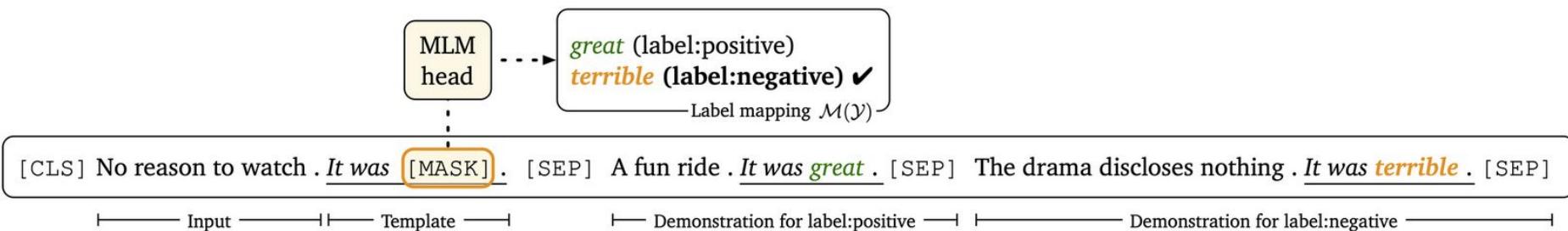


# Prompting

We use [SEP] to separate contexts.

## Single Input:

[CLS] Some prompt (Question) [SEP] Some Answer [SEP] Second Question  
[SEP] Second Answer [SEP]





# ChatGPT (Step 1)

1. **Train** a Large GPT (Causal Language Modeling)
  
2. **Fine-Tune** GPT with prompts collected from human annotators  
i.e. Ask a human  
“Explain reinforcement learning to a 6 year old.”

Step 1

Collect demonstration data  
and train a supervised policy.

A prompt is  
sampled from our  
prompt dataset.

Explain reinforcement  
learning to a 6 year old.

A labeler  
demonstrates the  
desired output  
behavior.

We give treats and  
punishments to teach...

This data is used to  
fine-tune GPT-3.5  
with supervised  
learning.

SFT  
Diagram of a neural network structure.



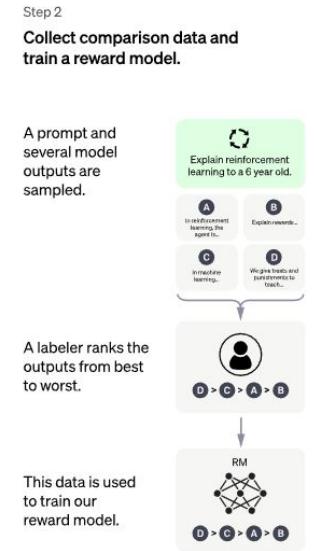
# ChatGPT (Step 2)

1. Provide a prompt to the model
2. Sample Outputs
3. Ask humans to rank outputs (**easier than writing them**)

## Reward Model

1. Given Prompt
2. Predict **reward** of each prompt

Reward Model is used next... in **Reinforcement Learning**





# ChatGPT (Step 3)

## Reinforcement Learning

### Summary

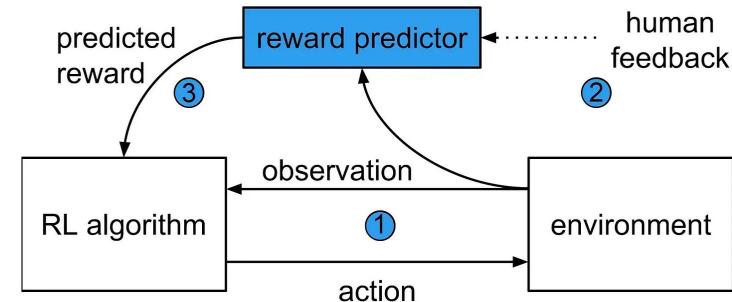
Given observation in Environment what is the best action to take

### Interactive

i.e. Observation 1 → Action 1 → Observation i  
Observation 1 → Action 2 → Observation j

**Goal** Pick action that maximizes reward

🤔🤔 Similar to tree search?





# ChatGPT (Step 3 cont.)

## Reward Model (from Step 2)

Used to predict expected reward of prompts and actions.

**PPO** fancy way of saying **train a Reinforcement Learning agent**

Proximal Policy Optimization

Use **RL** agent to pick prompts

ChatGPT is not new (research from 2017)

## Advantage

High Quality Annotators (Reinforcement Learning from Human Feedback)

**Engineering** Achievement

### Step 3

Optimize a policy against the reward model using the PPO reinforcement learning algorithm.

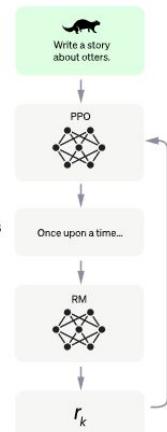
A new prompt is sampled from the dataset.

The PPO model is initialized from the supervised policy.

The policy generates an output.

The reward model calculates a reward for the output.

The reward is used to update the policy using PPO.





# Alignment

Why does Reinforcement Learning from Human Feedback (**RLHF**) work so well?

## Alignment

How do we align AI systems to our goals? By giving them feedback

## Warning! Opinion Based Perspective

Are they conscious? Are they dangerous? Are they....

**We can't answer... but ...**

(Opinion) *They are impressive but are just statistical machines*



# Technophobia

First man to use an umbrella for rain Jonas Hanway (1712-1786)  
Mocked for his portable roof

In 1865, the British Parliament passed a law to regulate  
a new, scary invention: the horseless carriage.

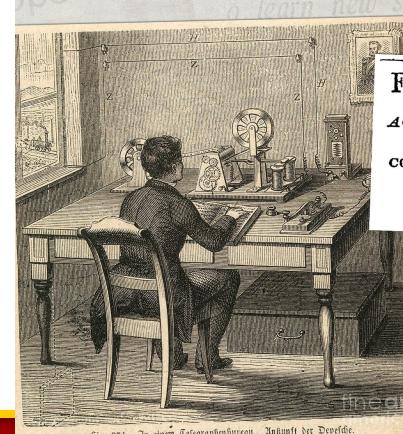


Fig. 374. In einem Telegraphenbüro. Ankunft der Depesche.  
[lenwilson.us/new-tech-fear/](http://lenwilson.us/new-tech-fear/)

Spectator Magazine, 1889

University of Southern California



# Beyond ChatGPT - AlphaFold

Transformers can solve important problems.

“AlphaFold can accurately predict 3D models of protein structures and is accelerating research in nearly every field of biology.”

## Drug Discovery

Can design drugs by simulating their behavior.  
Reduce search space of drugs

