

# CS 224n Spring 2024: Assignment #3

**Due Date: April 30th, Tuesday, 4:30 PM PST.**

This assignment is split into two sections: *Neural Machine Translation with RNNs* and *Analyzing NMT Systems*. The first is primarily coding and implementation focused, whereas the second entirely consists of written, analysis questions. If you get stuck on the first section, you can always work on the second as the two sections are independent of each other. Note that the NMT system is more complicated than the neural networks we have previously constructed within this class and takes about **2 hours to train on a GPU**. Thus, we strongly recommend you get started early with this assignment. Finally, the notation and implementation of the NMT system is a bit tricky, so if you ever get stuck along the way, please come to Office Hours so that the TAs can support you.

## 1. Neural Machine Translation with RNNs (45 points)

In Machine Translation, our goal is to convert a sentence from the *source* language (e.g. Mandarin Chinese) to the *target* language (e.g. English). In this assignment, we will implement a sequence-to-sequence (Seq2Seq) network with attention, to build a Neural Machine Translation (NMT) system. In this section, we describe the **training procedure** for the proposed NMT system, which uses a Bidirectional LSTM Encoder and a Unidirectional LSTM Decoder.



Figure 1: Seq2Seq Model with Multiplicative Attention, shown on the third step of the decoder. Hidden states  $h_i^{\text{enc}}$  and cell states  $c_i^{\text{enc}}$  are defined on the next page.

### Model description (training procedure)

Given a sentence in the source language, we look up the character or word embeddings from an **embeddings matrix**, yielding  $\mathbf{x}_1, \dots, \mathbf{x}_m$  ( $\mathbf{x}_i \in \mathbb{R}^{e \times 1}$ ), where  $m$  is the length of the source sentence and  $e$  is

the embedding size. We then feed the embeddings to a **convolutional layer**<sup>1</sup> while maintaining their shapes. We feed the convolutional layer outputs to the **bidirectional encoder**, yielding hidden states and cell states for both the forwards ( $\rightarrow$ ) and backwards ( $\leftarrow$ ) LSTMs. The forwards and backwards versions are concatenated to give hidden states  $\mathbf{h}_i^{\text{enc}}$  and cell states  $\mathbf{c}_i^{\text{enc}}$ :

$$\mathbf{h}_i^{\text{enc}} = [\overleftarrow{\mathbf{h}_i^{\text{enc}}}; \overrightarrow{\mathbf{h}_i^{\text{enc}}}] \text{ where } \mathbf{h}_i^{\text{enc}} \in \mathbb{R}^{2h \times 1}, \overleftarrow{\mathbf{h}_i^{\text{enc}}}, \overrightarrow{\mathbf{h}_i^{\text{enc}}} \in \mathbb{R}^{h \times 1} \quad 1 \leq i \leq m \quad (1)$$

$$\mathbf{c}_i^{\text{enc}} = [\overleftarrow{\mathbf{c}_i^{\text{enc}}}; \overrightarrow{\mathbf{c}_i^{\text{enc}}}] \text{ where } \mathbf{c}_i^{\text{enc}} \in \mathbb{R}^{2h \times 1}, \overleftarrow{\mathbf{c}_i^{\text{enc}}}, \overrightarrow{\mathbf{c}_i^{\text{enc}}} \in \mathbb{R}^{h \times 1} \quad 1 \leq i \leq m \quad (2)$$

We then initialize the **decoder's** first hidden state  $\mathbf{h}_0^{\text{dec}}$  and cell state  $\mathbf{c}_0^{\text{dec}}$  with a linear projection of the encoder's final hidden state and final cell state.<sup>2</sup>

$$\mathbf{h}_0^{\text{dec}} = \mathbf{W}_h [\overleftarrow{\mathbf{h}_1^{\text{enc}}}; \overrightarrow{\mathbf{h}_m^{\text{enc}}}] \text{ where } \mathbf{h}_0^{\text{dec}} \in \mathbb{R}^{h \times 1}, \mathbf{W}_h \in \mathbb{R}^{h \times 2h} \quad (3)$$

$$\mathbf{c}_0^{\text{dec}} = \mathbf{W}_c [\overleftarrow{\mathbf{c}_1^{\text{enc}}}; \overrightarrow{\mathbf{c}_m^{\text{enc}}}] \text{ where } \mathbf{c}_0^{\text{dec}} \in \mathbb{R}^{h \times 1}, \mathbf{W}_c \in \mathbb{R}^{h \times 2h} \quad (4)$$

With the decoder initialized, we must now feed it a target sentence. On the  $t^{\text{th}}$  step, we look up the embedding for the  $t^{\text{th}}$  subword,  $\mathbf{y}_t \in \mathbb{R}^{e \times 1}$ . We then concatenate  $\mathbf{y}_t$  with the *combined-output vector*  $\mathbf{o}_{t-1} \in \mathbb{R}^{h \times 1}$  from the previous timestep (we will explain what this is later down this page!) to produce  $\overline{\mathbf{y}}_t \in \mathbb{R}^{(e+h) \times 1}$ . Note that for the first target subword (i.e. the start token)  $\mathbf{o}_0$  is a zero-vector. We then feed  $\overline{\mathbf{y}}_t$  as input to the decoder.

$$\mathbf{h}_t^{\text{dec}}, \mathbf{c}_t^{\text{dec}} = \text{Decoder}(\overline{\mathbf{y}}_t, \mathbf{h}_{t-1}^{\text{dec}}, \mathbf{c}_{t-1}^{\text{dec}}) \text{ where } \mathbf{h}_t^{\text{dec}} \in \mathbb{R}^{h \times 1}, \mathbf{c}_t^{\text{dec}} \in \mathbb{R}^{h \times 1} \quad (5)$$

$$(6)$$

We then use  $\mathbf{h}_t^{\text{dec}}$  to compute multiplicative attention over  $\mathbf{h}_1^{\text{enc}}, \dots, \mathbf{h}_m^{\text{enc}}$ :

$$\mathbf{e}_{t,i} = (\mathbf{h}_t^{\text{dec}})^T \mathbf{W}_{\text{attProj}} \mathbf{h}_i^{\text{enc}} \text{ where } \mathbf{e}_t \in \mathbb{R}^{m \times 1}, \mathbf{W}_{\text{attProj}} \in \mathbb{R}^{h \times 2h} \quad 1 \leq i \leq m \quad (7)$$

$$\alpha_t = \text{softmax}(\mathbf{e}_t) \text{ where } \alpha_t \in \mathbb{R}^{m \times 1} \quad (8)$$

$$\mathbf{a}_t = \sum_{i=1}^m \alpha_{t,i} \mathbf{h}_i^{\text{enc}} \text{ where } \mathbf{a}_t \in \mathbb{R}^{2h \times 1} \quad (9)$$

$\mathbf{e}_{t,i}$  is a scalar, the  $i$ th element of  $\mathbf{e}_t \in \mathbb{R}^{m \times 1}$ , computed using the hidden state of the decoder at the  $t$ th step,  $\mathbf{h}_t^{\text{dec}} \in \mathbb{R}^{h \times 1}$ , the attention projection  $\mathbf{W}_{\text{attProj}} \in \mathbb{R}^{h \times 2h}$ , and the hidden state of the encoder at the  $i$ th step,  $\mathbf{h}_i^{\text{enc}} \in \mathbb{R}^{2h \times 1}$ .

We now concatenate the attention output  $\mathbf{a}_t$  with the decoder hidden state  $\mathbf{h}_t^{\text{dec}}$  and pass this through a linear layer, tanh, and dropout to attain the *combined-output vector*  $\mathbf{o}_t$ .

$$\mathbf{u}_t = [\mathbf{a}_t; \mathbf{h}_t^{\text{dec}}] \text{ where } \mathbf{u}_t \in \mathbb{R}^{3h \times 1} \quad (10)$$

$$\mathbf{v}_t = \mathbf{W}_u \mathbf{u}_t \text{ where } \mathbf{v}_t \in \mathbb{R}^{h \times 1}, \mathbf{W}_u \in \mathbb{R}^{h \times 3h} \quad (11)$$

$$\mathbf{o}_t = \text{dropout}(\tanh(\mathbf{v}_t)) \text{ where } \mathbf{o}_t \in \mathbb{R}^{h \times 1} \quad (12)$$

<sup>1</sup>Checkout <https://cs231n.github.io/convolutional-networks> for an in-depth description for convolutional layers if you are not familiar

<sup>2</sup>If it's not obvious, think about why we regard  $[\overleftarrow{\mathbf{h}_1^{\text{enc}}}; \overrightarrow{\mathbf{h}_m^{\text{enc}}}]$  as the 'final hidden state' of the Encoder.

Then, we produce a probability distribution  $\mathbf{P}_t$  over target subwords at the  $t^{th}$  timestep:

$$\mathbf{P}_t = \text{softmax}(\mathbf{W}_{\text{vocab}} \mathbf{o}_t) \text{ where } \mathbf{P}_t \in \mathbb{R}^{V_t \times 1}, \mathbf{W}_{\text{vocab}} \in \mathbb{R}^{V_t \times h} \quad (13)$$

Here,  $V_t$  is the size of the target vocabulary. Finally, to train the network we then compute the cross entropy loss between  $\mathbf{P}_t$  and  $\mathbf{g}_t$ , where  $\mathbf{g}_t$  is the one-hot vector of the target subword at timestep  $t$ :

$$J_t(\theta) = \text{CrossEntropy}(\mathbf{P}_t, \mathbf{g}_t) \quad (14)$$

Here,  $\theta$  represents all the parameters of the model and  $J_t(\theta)$  is the loss on step  $t$  of the decoder. Now that we have described the model, let's try implementing it for Mandarin Chinese to English translation!

## Setting up Your Local Development Environment

Ensure that you have [conda](#) installed. Unzip the starter code, and open the resulting directory in your favorite python integrated development development environment ([Visual Studio Code](#) is a popular choice). Open a terminal and navigate (cd) to the directory that contains the env-cpu.yml and env-gpu.yml files. Create and activate the cs224n-cpu conda environment as follows:

```
conda env create --file env-cpu.yml
conda activate cs224n-cpu
```

## Setting up Your Cloud GPU-powered Virtual Machine

Follow the instructions in the [GCP Guide for CS224n](#) (link also provided on website and Ed) to create your VM instance. This should take you approximately 45 minutes. Though you will need the GPU to train your model, we strongly advise that you first develop the code locally and ensure that it runs, before attempting to train it on your VM. GPU time is expensive and limited. It takes approximately **1.5 to 2 hours** to train the NMT system. We don't want you to accidentally use all your GPU time for debugging your model rather than training and evaluating it. Finally, **make sure that your VM is turned off whenever you are not using it.**

If your GCP subscription runs out of money, your VM will be temporarily locked and inaccessible. If that happens, please make a private Ed post describing the situation.

After setting up the cloud VM, you should turn it off while you work on the programming assignment locally.

## Implementation and written questions

- (a) (2 points) (coding) In order to apply tensor operations, we must ensure that the sentences in a given batch are of the same length. Thus, we must identify the longest sentence in a batch and pad others to be the same length. Implement the pad\_sents function in utils.py, which shall produce these padded sentences.
- (b) (3 points) (coding) Implement the \_\_init\_\_ function in model\_embeddings.py to initialize the necessary source and target embeddings.

```
def pad_sents(sents, pad_token):
    """ Pad list of sentences according to the longest sentence in the batch.
    The paddings should be at the end of each sentence.
    @param sents (list[list[str]]): list of sentences, where each sentence
        is represented as a list of words
    @param pad_token (str): padding token
    @returns sents_padded (list[list[str]]): list of sentences where sentences shorter
        than the max length sentence are padded out with the pad_token, such that
        each sentences in the batch now has equal length.
    """
    sents_padded = []

    ## YOUR CODE HERE (~6 Lines)
    max_len = max([len(sent) for sent in sents])
    for sent in sents:
        sents_padded.append(sent + [pad_token] * (max_len - len(sent)))
    ## END YOUR CODE

    return sents_padded
```

Figure 2: Implementation a of coding part

```
self.source = nn.Embedding(len(vocab.src), embed_size, padding_idx=src_pad_token_idx)
self.target = nn.Embedding(len(vocab.tgt), embed_size, padding_idx=tgt_pad_token_idx)
```

- (c) (4 points) (coding) Implement the `__init__` function in `nmt_model.py` to initialize the necessary model layers (LSTM, CNN, projection, and dropout) for the NMT system.

```
self.post_embed_cnn = nn.Conv1d(embed_size, embed_size, kernel_size=2, padding=1)
self.encoder = nn.LSTM(embed_size, hidden_size, bidirectional=True, bias=True)
self.decoder = nn.LSTMCell(embed_size + hidden_size, hidden_size, bias=True)
self.h_projection = nn.Linear(2 * hidden_size, hidden_size, bias=False)
self.c_projection = nn.Linear(2 * hidden_size, hidden_size, bias=False)
self.att_projection = nn.Linear(2 * hidden_size, hidden_size, bias=False)
self.combined_output_projection = nn.Linear(3 * hidden_size, hidden_size, bias=False)
self.target_vocab_projection = nn.Linear(hidden_size, len(vocab.tgt), bias=False)
self.dropout = nn.Dropout(dropout_rate)
```

Figure 3: Implementation c of coding part

- (d) (8 points) (coding) Implement the `encode` function in `nmt_model.py`. This function converts the padded source sentences into the tensor  $\mathbf{X}$ , generates  $\mathbf{h}_1^{\text{enc}}, \dots, \mathbf{h}_m^{\text{enc}}$ , and computes the initial state  $\mathbf{h}_0^{\text{dec}}$  and initial cell  $\mathbf{c}_0^{\text{dec}}$  for the Decoder. You can run a non-comprehensive sanity check by executing:

```
python sanity_check.py 1d
```

```
X = self.model_embeddings.source(source_padded)
X = X.permute(1, 2, 0)
X = self.post_embed_cnn(X)
X = X.permute(2, 0, 1)
enc_hiddens, (last_hidden, last_cell) = self.encoder(pack_padded_sequence(X, source_lengths))
enc_hiddens, _ = pad_packed_sequence(enc_hiddens)
last_hidden = torch.cat((last_hidden[0], last_hidden[1]), dim=1)
last_cell = torch.cat((last_cell[0], last_cell[1]), dim=1)
dec_init_state = (self.h_projection(last_hidden), self.c_projection(last_cell))
```

Figure 4: Implementation d of coding part

But it still has some bugs that I can not pass the test.

- (e) (8 points) (coding) Implement the `decode` function in `nmt_model.py`. This function constructs  $\bar{\mathbf{y}}$  and runs the step function over every timestep for the input. You can run a non-comprehensive sanity check by executing:

```
python sanity_check.py 1e
```

- (f) (10 points) (coding) Implement the `step` function in `nmt_model.py`. This function applies the Decoder's LSTM cell for a single timestep, computing the encoding of the target subword  $\mathbf{h}_t^{\text{dec}}$ , the attention scores  $\mathbf{e}_t$ , attention distribution  $\alpha_t$ , the attention output  $\mathbf{a}_t$ , and finally the combined output  $\mathbf{o}_t$ . You can run a non-comprehensive sanity check by executing:

```
[nlTK_data] Downloading package punkt to /home/zhangmx/nltk_data...
[nltk_data] Package punkt is already up-to-date!
-----
Running Sanity Check for Question 1e: Decode
-----
torch.Size([23, 5, 2])
combined_outputs Sanity Checks Passed!
-----
All Sanity Checks Passed for Question 1e: Decode!
```

Figure 5: Implementation e of coding part

```
python sanity_check.py 1f
```

```
(ch224n-gpu) (cs224n) zhangmx@old-server: /data/nlp/gpu/700-Basic-Knowledge/CS224N/Chapter 5 Language Models and Recurrent Neural Networks
$ python 1f
[nltk_data] Downloading package punkt to /home/zhangmx/nltk_data...
[nltk_data] Package punkt is already up-to-date!
-----
Running Sanity Check for Question 1f: Step
-----
dec_state[0] Sanity Checks Passed!
dec_state[1] Sanity Checks Passed!
combined_output Sanity Checks Passed!
e_t Sanity Checks Passed!
-----
All Sanity Checks Passed for Question 1f: Step!
```

Figure 6: Pass f test

(g) (3 points) (written) The `generate_sent_masks()` function in `nmt_model.py` produces a tensor called `enc_masks`. It has shape (batch size, max source sentence length) and contains 1s in positions corresponding to ‘pad’ tokens in the input, and 0s for non-pad tokens. Look at how the masks are used during the attention computation in the `step()` function (lines 295-296).

First explain (in around three sentences) what effect the masks have on the entire attention computation. Then explain (in one or two sentences) why it is necessary to use the masks in this way.

The sentence in the batch has same length in order to convenient to compute. But the padding words has no meaning, so we want to ignore it. So we set the  $e_t$  to the minimum number and after softmax function, the corresponding  $\alpha_t$  will be zero. Using masks in this way is neccessary, because we need to ensure the sentences in same batch have same length, so we must process the whole batch again.

Now it’s time to get things running! As noted earlier, we recommend that you develop the code on your personal computer. Confirm that you are running in the proper conda environment and then execute the following command to train the model on your local machine:

```
sh run.sh train_local
(Windows) run.bat train_local
```

To help with monitoring and debugging, the starter code uses tensorboard to log loss and perplexity during training using TensorBoard<sup>3</sup>. TensorBoard provides tools for logging and visualizing training information from experiments. To open TensorBoard and monitor the training process, run the following in a separate terminal in which you have also activated the cs224n-cpu conda environment, then access tensorboard at <http://localhost:6006/>.

```
tensorboard --logdir=runs --port 6006
```

You should see a significant decrease in loss during the initial iterations (Fig 7). Once your code runs for a few hundreds of iterations without crashing, power on your VM from the GCP Console.

**Train the NMT system on the VM:** Refer to the GCP How-to Appendix to:

- Setup your GCP VM and Obtain SSH Connection Info

<sup>3</sup><https://pytorch.org/docs/stable/tensorboard.html>

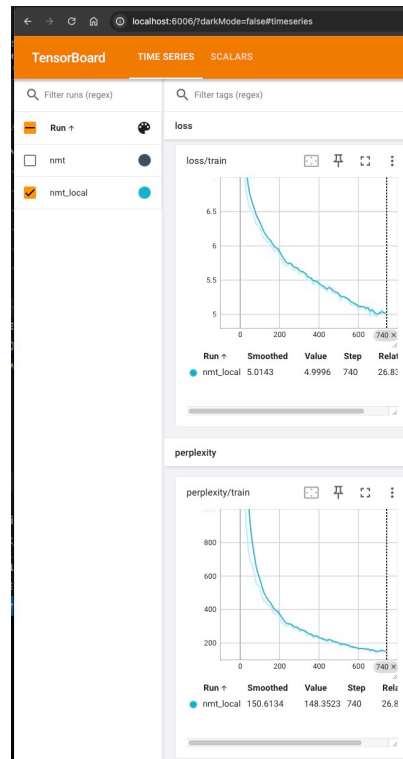


Figure 7: Tensorboard showing loss and perplexity values on your local machine

- Connect to the VM (with SSH Tunneling setup so that you can view remote tensorboard logs)
  - Copy your code from your computer to the cloud VM
  - Train the NMT System on the Cloud VM
  - Download the Gradescope Submission Package from Your Cloud VM
- (h) (3 points) (written) Once your model is done training (**this should take under 2 hours on the VM**), execute the following command to test the model:

```
sh run.sh test
```

Please report the model's corpus BLEU Score. It should be larger than 18.

```
cs224n-gpu1 (cs224n) ~$sshpass -p 'cs224n' sshpass -p 'cs224n' ssh -o StrictHostKeyChecking=no root@cs224n-gpu1:~$ sh run.sh test
[10.000] Downloading package point to /home/runner/.ssh_data...
[10.000] Package point is already up-to-date!
Load test source sentences from [/home/runner/.ssh_data/test-en]
Load test target sentences from [/home/runner/.ssh_data/test-es]
Load model from model.slt
Decoding: 100%
Corpus BLEU: 20.452100001000
```

Figure 8: BLEU Score

We use a single A6000GPU to train the model for 1880s, 3 epochs and then the model is early stopped. And we get the final BLEU score is 20.45.

- (i) (4 points) (written) In class, we learned about dot product attention, multiplicative attention, and additive attention. As a reminder, dot product attention is  $\mathbf{e}_{t,i} = \mathbf{s}_t^T \mathbf{h}_i$ , multiplicative attention is  $\mathbf{e}_{t,i} = \mathbf{s}_t^T \mathbf{W} \mathbf{h}_i$ , and additive attention is  $\mathbf{e}_{t,i} = \mathbf{v}^T \tanh(\mathbf{W}_1 \mathbf{h}_i + \mathbf{W}_2 \mathbf{s}_t)$ .
- (2 points) Explain one advantage and one disadvantage of *dot product attention* compared to multiplicative attention.

Compared with multiplicative attention, the dot product attention is more cheap to compute. It has no weight matrix multiply  $\mathbf{W}$ . So the disadvantage is that the attention score is not exact.

- ii. (2 points) Explain one advantage and one disadvantage of *additive attention* compared to multiplicative attention.

It adds a non-linear component part to the attention so it has more representation ability. And the disadvantage is that it will more likely to cause the Gradient vanishing and it is more expensive to compute.

## 2. Analyzing NMT Systems (25 points)

- (a) (3 points) Look at the `src.vocab` file for some examples of phrases and words in the source language vocabulary. When encoding an input Mandarin Chinese sequence into “pieces” in the vocabulary, the tokenizer maps the sequence to a series of vocabulary items, each consisting of one or more characters (thanks to the `sentencepiece` tokenizer, we can perform this segmentation even when the original text has no white space). Given this information, how could adding a 1D Convolutional layer after the embedding layer and before passing the embeddings into the bidirectional encoder help our NMT system? **Hint:** each Mandarin Chinese character is either an entire word or a morpheme in a word. Look up the meanings of 电, 脑, and 电脑 separately for an example. The characters 电 (electricity) and 脑 (brain) when combined into the phrase 电脑 mean computer.

The CNN layers can extract the local features among the global. So if we add a Convolutional Layer after the embedding, it is more likely to capture the new meaning ” 电脑” which is combined with the words “电” and “脑” .

- (b) (8 points) Here we present a series of errors we found in the outputs of our NMT model (which is the same as the one you just trained). For each example of a reference (i.e., ‘gold’) English translation, and NMT (i.e., ‘model’) English translation, please:

1. Identify the error in the NMT translation.
2. Provide possible reason(s) why the model may have made the error (either due to a specific linguistic construct or a specific model limitation).
3. Describe one possible way we might alter the NMT system to fix the observed error. There are more than one possible fixes for an error. For example, it could be tweaking the size of the hidden layers or changing the attention mechanism.

Below are the translations that you should analyze as described above. Only analyze the underlined error in each sentence. Rest assured that you don’t need to know Mandarin to answer these questions. You just need to know English! If, however, you would like some additional color on the source sentences, feel free to use a resource like [https://www.archchinese.com/chinese\\_english\\_dictionary.html](https://www.archchinese.com/chinese_english_dictionary.html) to look up words. Feel free to search the training data file to have a better sense of how often certain characters occur.

- i. (2 points) **Source Sentence:** 贼人其后被警方拘捕及被判处盗窃罪名成立。

**Reference Translation:** the culprits were subsequently arrested and convicted.

**NMT Translation:** the culprit was subsequently arrested and sentenced to theft.

The difference is “culprits” and “culprit”, model thinks ” 贼人” is a single man. The model may not have properly understood that ” 贼人” refers to multiple culprits.

This could be due to insufficient training examples where ” 贼人” is correctly translated into a plural form. The model might have a bias towards translating nouns in their singular form due to frequency in training data.

- ii. (2 points) **Source Sentence:** 几乎已经没有地方容纳这些人, 资源已经用尽。

**Reference Translation:** *there is almost no space to accommodate these people, and resources*



have run out.

**NMT Translation:** *the resources have been exhausted and resources have been exhausted.*

The model repeated "resources have been exhausted" instead of translating "几乎已经没有地方容纳这些人" as "there is almost no space to accommodate these people."

There might be a limitation in the model's ability to handle long and complex sentences, causing it to omit parts of the input and incorrectly repeat phrases.

- iii. (2 points) **Source Sentence:** 当局已经宣布今天是国殇日。

**Reference Translation:** *authorities have announced a national mourning today.*

**NMT Translation:** *the administration has announced today's day.*

The model translated "国殇日" as "today's day" instead of "a national mourning today."

The model may not have a proper understanding of the term "国殇日," leading to an incorrect and overly literal translation.

- iv. (2 points) **Source Sentence**<sup>4</sup>: 俗语有云:“唔做唔错”。

**Reference Translation:** *“act not, err not”, so a saying goes.*

**NMT Translation:** *as the saying goes, “it's not wrong.”*

The model translated "唔做唔错" as "it's not wrong" instead of the idiomatic "act not, err not."

There could be a lack of idiomatic expressions in the training data, especially those in Cantonese.

- (c) (14 points) BLEU score is the most commonly used automatic evaluation metric for NMT systems. It is usually calculated across the entire test set, but here we will consider BLEU defined for a single example.<sup>5</sup> Suppose we have a source sentence  $\mathbf{s}$ , a set of  $k$  reference translations  $\mathbf{r}_1, \dots, \mathbf{r}_k$ , and a candidate translation  $\mathbf{c}$ . To compute the BLEU score of  $\mathbf{c}$ , we first compute the *modified  $n$ -gram precision*  $p_n$  of  $\mathbf{c}$ , for each of  $n = 1, 2, 3, 4$ , where  $n$  is the  $n$  in **n-gram**:

$$p_n = \frac{\sum_{\text{ngram} \in \mathbf{c}} \min \left( \max_{i=1, \dots, k} \text{Count}_{\mathbf{r}_i}(\text{ngram}), \text{Count}_{\mathbf{c}}(\text{ngram}) \right)}{\sum_{\text{ngram} \in \mathbf{c}} \text{Count}_{\mathbf{c}}(\text{ngram})} \quad (15)$$

Here, for each of the  $n$ -grams that appear in the candidate translation  $\mathbf{c}$ , we count the maximum number of times it appears in any one reference translation, capped by the number of times it appears in  $\mathbf{c}$  (this is the numerator). We divide this by the number of  $n$ -grams in  $\mathbf{c}$  (denominator).

Next, we compute the *brevity penalty* BP. Let  $\text{len}(\mathbf{c})$  be the length of  $\mathbf{c}$  and let  $\text{len}(\mathbf{r})$  be the length of the reference translation that is closest to  $\text{len}(\mathbf{c})$  (in the case of two equally-close reference translation lengths, choose  $\text{len}(\mathbf{r})$  as the shorter one).

$$BP = \begin{cases} 1 & \text{if } \text{len}(\mathbf{c}) \geq \text{len}(\mathbf{r}) \\ \exp \left( 1 - \frac{\text{len}(\mathbf{r})}{\text{len}(\mathbf{c})} \right) & \text{otherwise} \end{cases} \quad (16)$$

Lastly, the BLEU score for candidate  $\mathbf{c}$  with respect to  $\mathbf{r}_1, \dots, \mathbf{r}_k$  is:

$$BLEU = BP \times \exp \left( \sum_{n=1}^4 \lambda_n \log p_n \right) \quad (17)$$

<sup>4</sup>This is a Cantonese sentence! The data used in this assignment comes from GALE Phase 3, which is a compilation of news written in simplified Chinese from various sources scraped from the internet along with their translations. For more details, see <https://catalog.ldc.upenn.edu/LDC2017T02>.

<sup>5</sup>This definition of sentence-level BLEU score matches the `sentence_bleu()` function in the `nltk` Python package. Note that the `NLTK` function is sensitive to capitalization. In this question, all text is lowercased, so capitalization is irrelevant. [http://www.nltk.org/api/nltk.translate.html#nltk.translate.bleu\\_score.sentence\\_bleu](http://www.nltk.org/api/nltk.translate.html#nltk.translate.bleu_score.sentence_bleu)



where  $\lambda_1, \lambda_2, \lambda_3, \lambda_4$  are weights that sum to 1. The log here is natural log.

- i. (5 points) Please consider this example:

Source Sentence **s**: 需要有充足和可预测的资源。

Reference Translation **r**<sub>1</sub>: *resources have to be sufficient and they have to be predictable*

Reference Translation **r**<sub>2</sub>: *adequate and predictable resources are required*

NMT Translation **c**<sub>1</sub>: *there is a need for adequate and predictable resources*

NMT Translation **c**<sub>2</sub>: *resources be sufficient and predictable to*

Please compute the BLEU scores for **c**<sub>1</sub> and **c**<sub>2</sub>. Let  $\lambda_i = 0.5$  for  $i \in \{1, 2\}$  and  $\lambda_i = 0$  for  $i \in \{3, 4\}$  (**this means we ignore 3-grams and 4-grams**, i.e., don't compute  $p_3$  or  $p_4$ ). When computing BLEU scores, show your work (i.e., show your computed values for  $p_1$ ,  $p_2$ ,  $\text{len}(c)$ ,  $\text{len}(r)$  and  $BP$ ). Note that the BLEU scores can be expressed between 0 and 1 or between 0 and 100. The code is using the 0 to 100 scale while in this question we are using the **0 to 1** scale. Please round your responses to 3 decimal places.

Which of the two NMT translations is considered the better translation according to the BLEU Score? Do you agree that it is the better translation?

To recompute the BLEU scores for the NMT translations **c**<sub>1</sub> and **c**<sub>2</sub> using only the reference translation **r**<sub>2</sub>:

**Reference Translation r**<sub>2</sub>: *adequate and predictable resources are required*

**NMT Translation c**<sub>1</sub>: *there is a need for adequate and predictable resources*

**NMT Translation c**<sub>2</sub>: *resources be sufficient and predictable to*

For **c**<sub>1</sub>:

1. **Compute  $p_1$  (Unigram Precision):** - **Unigrams in c**<sub>1</sub>: there, is, a, need, for, adequate, and, predictable, resources - **Matched Unigrams**: adequate, and, predictable, resources - **Precision Calculation**:

$$p_1 = \frac{4}{9} = 0.444$$

2. **Compute  $p_2$  (Bigram Precision):** - **Bigrams in c**<sub>1</sub>: there is, is a, a need, need for, for adequate, adequate and, and predictable, predictable resources - **Matched Bigrams**: adequate and, and predictable, predictable resources - **Precision Calculation**:

$$p_2 = \frac{3}{8} = 0.375$$

3. **Compute Brevity Penalty (BP):** - **Lengths**:  $\text{len}(c) = 9$ ,  $\text{len}(r) = 6$  - **Brevity Penalty**:

$$BP = 1 \quad (\text{since } \text{len}(c) > \text{len}(r))$$

4. **Compute BLEU Score:**

$$BLEU = BP \times \exp(\lambda_1 \log p_1 + \lambda_2 \log p_2)$$

$$\lambda_1 = 0.5, \lambda_2 = 0.5$$

$$BLEU = 1 \times \exp(0.5 \log 0.444 + 0.5 \log 0.375)$$

$$\log 0.444 \approx -0.812, \log 0.375 \approx -0.982$$

$$BLEU = \exp(0.5 \times (-0.812) + 0.5 \times (-0.982))$$

$$BLEU = \exp(-0.897) \approx 0.408$$

For **c**<sub>2</sub>:

1. **Compute  $p_1$  (Unigram Precision):** - **Unigrams in  $c_2$ :** resources, be, sufficient, and, predictable, to - **Matched Unigrams:** resources, be, and, predictable, to - **Precision Calculation:**

$$p_1 = \frac{5}{6} = 0.833$$

2. **Compute  $p_2$  (Bigram Precision):** - **Bigrams in  $c_2$ :** resources be, be sufficient, sufficient and, and predictable, predictable to - **Matched Bigrams:** and predictable - **Precision Calculation:**

$$p_2 = \frac{1}{5} = 0.2$$

3. **Compute Brevity Penalty (BP):** - **Lengths:**  $\text{len}(c) = 6$ ,  $\text{len}(r) = 6$  - **Brevity Penalty:**

$$BP = 1 \quad (\text{since } \text{len}(c) = \text{len}(r))$$

4. **Compute BLEU Score:**

$$BLEU = BP \times \exp(\lambda_1 \log p_1 + \lambda_2 \log p_2)$$

$$\lambda_1 = 0.5, \lambda_2 = 0.5$$

$$BLEU = 1 \times \exp(0.5 \log 0.833 + 0.5 \log 0.2)$$

$$\log 0.833 \approx -0.183, \log 0.2 \approx -1.609$$

$$BLEU = \exp(0.5 \times (-0.183) + 0.5 \times (-1.609))$$

$$BLEU = \exp(-0.896) \approx 0.408$$

**Comparison and Conclusion:**

- BLEU Score for  $c_1$ : 0.408 - BLEU Score for  $c_2$ : 0.408

Both translations have the same BLEU score of 0.408, but  $c_1$  is more fluent and natural in English compared to  $c_2$ , which has grammatical issues.

- ii. (5 points) Our hard drive was corrupted and we lost Reference Translation  $r_1$ . Please recompute BLEU scores for  $c_1$  and  $c_2$ , this time with respect to  $r_2$  only. Which of the two NMT translations now receives the higher BLEU score? Do you agree that it is the better translation?
- BLEU Score Calculation for  $c_1$**

$$p_1 = \frac{4}{9} = 0.444$$

$$p_2 = \frac{3}{8} = 0.375$$

$$BP = 1$$

$$BLEU = BP \times \exp(\lambda_1 \log p_1 + \lambda_2 \log p_2)$$

$$= 1 \times \exp(0.5 \log 0.444 + 0.5 \log 0.375)$$

$$= \exp(0.5 \times (-0.812) + 0.5 \times (-0.982))$$

$$= \exp(-0.897)$$

$$= 0.408$$

**BLEU Score Calculation for  $c_2$**

$$\begin{aligned}
 p_1 &= \frac{3}{6} = 0.5 \\
 p_2 &= \frac{1}{5} = 0.2 \\
 BP &= 1 \\
 BLEU &= BP \times \exp(\lambda_1 \log p_1 + \lambda_2 \log p_2) \\
 &= 1 \times \exp(0.5 \log 0.5 + 0.5 \log 0.2) \\
 &= \exp(0.5 \times (-0.693) + 0.5 \times (-1.609)) \\
 &= \exp(-1.151) \\
 &= 0.316
 \end{aligned}$$

### Conclusion

According to the BLEU score,  $\mathbf{c}_1$  is now considered the better translation. I agree with this assessment, as  $\mathbf{c}_1$  is more fluent and natural compared to  $\mathbf{c}_2$ , which has grammatical issues.

- iii. (2 points) Due to data availability, NMT systems are often evaluated with respect to only a single reference translation. Please explain (in a few sentences) why this may be problematic. In your explanation, discuss how the BLEU score metric assesses the quality of NMT translations when there are multiple reference translations versus a single reference translation.

Evaluating NMT systems with only a single reference translation can be problematic because it does not account for the variability and richness of natural language. A single reference may not cover all valid and accurate ways to translate a sentence, leading to potentially lower BLEU scores for translations that are actually correct but phrased differently. With multiple reference translations, the BLEU score metric can better capture the diversity of possible correct translations, providing a more comprehensive assessment of the translation quality. This is because the modified n-gram precision in BLEU can match n-grams across several references, increasing the likelihood of recognizing valid translations.

- iv. (2 points) List two advantages and two disadvantages of BLEU, compared to human evaluation, as an evaluation metric for Machine Translation.

Advantages:

- We use the metric can be objective, avoiding the bias.
- It can automatically compute the score without the human.

Disadvantages:

- It really depends on the data, if the reference data is not diverse, it may cause the incorrect score.
- And it can not generalized to the unknown situation.

- (d) (4 points) *Beam search* is often employed to improve the quality of machine translation systems. While you were training the model, beam search results for the same example sentence at different iterations were also recorded in TensorBoard, and accessible in the *TEXT* tab (Fig 9).

The recorded diagnostic information includes json documents with the following fields: `example_source` (the source sentence tokens), `example_target` (the ground truth target sentence tokens), and `hypotheses` (10 hypotheses corresponding to the search result with beam size 10). Note that a predicted translation is often called *hypothesis* in the neural machine translation jargon.

- i. (2 points) Did the translation quality improve over the training iterations for the model? Give three examples of translations of the example sentence at iterations 200, 3000, and the last iteration to illustrate your answer. For each iteration, pick the first beam search hypothesis as an example:

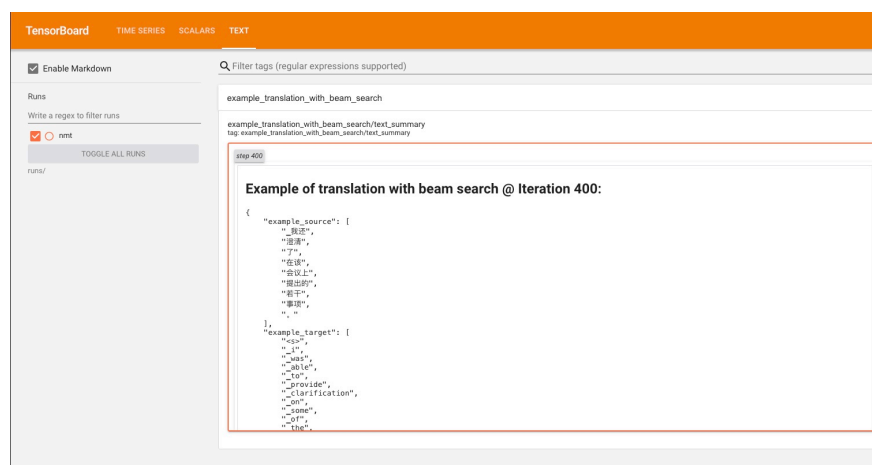


Figure 9: Translation with beam search results for an example sentence are recorded in tensorboard for various iterations. The same data is available in the `outputs/beam_search_diagnostics/` folder in your working directory.

- The first example is ”我还澄清了在该会议上提出的若干事项”. The target is ”I was able to provide clarification on some of the matters which were raised at that meeting.”
    - For the 200 iterations, the translation is ”it is not that the government of the united nations.”
    - For the 3000 iterations, the translation is ”I also clarify the number of views on the meeting of the conference.”
    - For the finally iterations, the translation is ”I have also clarified a number of matters raised at the meeting.”
  - We can see that the quantity of the translation has improved as training.
- ii. (2 points) How do various hypotheses resulting from beam search qualitatively compare? Give three other examples of hypotheses proposed by beam search at the last iteration to illustrate your answer.
- The example is ”我还澄清了在该会议上提出的若干事项”. The target is ”I was able to provide clarification on some of the matters which were raised at that meeting.”
    - The best is ”I have also clarified a number of matters raised at the meeting.”, which has -7.4207 scores.
    - The second is ”i have also clarified a number of matters raised by the conference” which has -7.4616 scores.
    - The lower is ”i have also clarified a number of matters raised during the meeting.” which has -7.8290 scores.
  - So higher-scoring hypotheses like the first one are typically more fluent and natural in their phrasing. The first hypothesis provides a clear and concise translation. Beam search generates diverse hypotheses, showing different ways to express the same idea. This helps in selecting the most appropriate translation for the given context.

## Submission Instructions

You shall submit this assignment on GradeScope as two submissions – one for “Assignment 3 [coding]” and another for ‘Assignment 3 [written]”:

1. Run the `collect_submission.sh` script on the cloud VM to produce your `assignment3.zip` file. See *How to Download the Gradescope Submission Package from Your Cloud VM* in the GCP How-to Appendix.

2. Upload your assignment3.zip file to GradeScope to “Assignment 3 [coding]”.
3. Upload your written solutions to GradeScope to “Assignment 3 [written]”. When you submit your assignment, make sure to tag all the pages for each problem according to Gradescope’s submission directions. Points will be deducted if the submission is not correctly tagged.

## Appendix: GCP How-to

**How to Obtain SSH connection info** After following the instructions in the [GCP Guide for CS224n](#), your Google Cloud Compute Engine dashboard should look like Fig 10. Click on the arrow button near SSH and select *View gcloud command* as shown in the figure. What you will get looks like the following. Make a note of the zone, the machine name, and the project name which in the example are respectively us-west4-b, nvidia-gpu-optimized-vmi-1-vm and grand-hangar-420500. **Yours will be different!**

```
gcloud compute ssh --zone "us-west4-b" "nvidia-gpu-optimized-vmi-1-vm" --
  ↪ project "grand-hangar-420500"
```

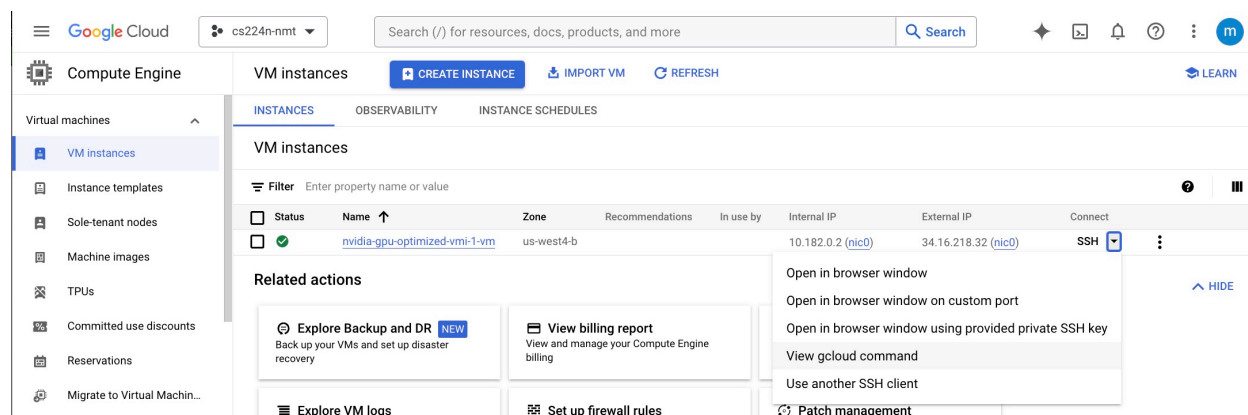


Figure 10: The cloud VM you create should be based on the [nvidia-gpu-optimized-vmi](#) virtual machine image (VMI). After deploying the instance, click on the menu near SSH and select *View gcloud command* to obtain the SSH connection information.

**How to Connect to the Cloud VM with SSH Tunelling** The following ssh connection command, which includes the `--ssh-flag "-L 6007:localhost:6007"` option, will also forward port 6007 of the cloud machine to the same port number on your local machine (ssh tunneling). Therefore, if the tensorboard server is running on the cloud VM and listening to port 6007, after establishing an ssh connection as follows, you will be able to access at <http://localhost:6007/> in a web browser on your local machine. Run the following ssh command to connect to the cloud machine. **be sure to use your own zone, project name and machine name**

```
gcloud compute ssh --zone "us-west4-b" "nvidia-gpu-optimized-vmi-1-vm" --
  ↪ project "grand-hangar-420500" --ssh-flag "-L 6007:localhost:6007"
```

### How to Copy Your Code From Your Computer to the Cloud VM

- zip current directory, which should contain the env-cpu.yml and env-gpu.yml files.

```
zip -r student.zip *
```

- copy the obtained zip file to the cloud machine

```
gcloud compute scp student.zip nvidia-gpu-optimized-vmi-1-vm:~/ --zone "
  ↪ us-west4-b" --project "grand-hangar-420500"
```

## How to Train the NMT System on the Cloud VM

- If zip is not installed on your cloud machine. Install it as follows and try again.

```
sudo apt-get install zip
```

- Unzip student folder on the cloud machine

```
unzip student.zip -d student
cd student
```

- Create conda GPU environment

```
conda env create --file env-gpu.yml
```

- Activate conda GPU environment

```
conda activate cs224n-nmt-gpu
```

- create a tmux session in which you start training the machine translation model

```
tmux new -s s-nmt
```

```
# start the training (in the tmux session)
sh run.sh train
```

```
# detach from the tmux session
CTRL+B D
```

- create a tmux session in which you start TensorBoard

```
tmux new -s s-tboard
```

```
# start the tensorboard (in the tmux session)
tensorboard --logdir runs/ --port 6007
```

```
# detach from the tmux session
CTRL+B D
```

- You can attach/detach from the two tmux sessions as needed. See the appendix on Tmux for basic use cases.

- If you established the SSH connection with the appropriate port forwarding options, you can view tensorboard in a web browser on your local machine at this address <http://localhost:6007/> (Fig. 11)

- when the training is complete, run the test phase

```
tmux attach -t s-nmt
sh run.sh test
```

- The next section shows how to make a grade scope submission with the artifacts generated on the cloud VM.



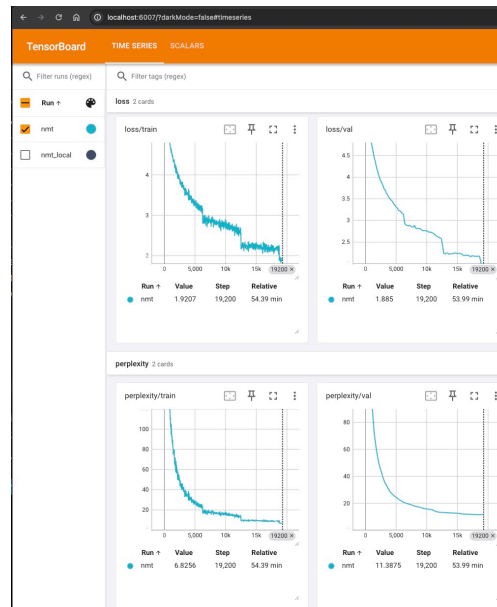


Figure 11: Tensorboard running on your local machine and showing loss and perplexity values on your cloud virtual machine.

### How to Download the Gradescope Submission Package from Your Cloud VM

- Connect to the cloud VM as specified above
- On the Cloud VM, run the following command to create the gradescope submission package (assignment3.zip)

```
sh collect_submission.sh
```

- Disconnect from the cloud VM (by running **exit**), or open a terminal on your local machine.
- Download the GradeScope submission package to your local machine

```
gcloud compute scp nvidia-gpu-optimized-vmi-1-vm:~/student/assignment3.zip
↪ . --zone "us-west4-b" --project "grand-hangar-420500"
```

- Submit assignment3.zip to GradeScope

## Appendix: Tmux How-to

tmux (terminal multiplexer) is a tool that lets you create and toggle between multiple terminals that run in the background, and keep them running even after you disconnect your ssh session. The following assumes that you are already connected (via ssh) to your cloud virtual machine instance, and shows you basic use cases of tmux. Learn more about tmux at <https://github.com/tmux/tmux/wiki>

- Create and attach to a new tmux session (named *s-tboard*)

```
tmux new -s s-tboard
```

- Run a program in the new session. We will run tensorboard

```
tensorboard --logdir runs/ --port 6007
```

- (From within the tmux session), Detach from a tmux session, and leave the program you started running in the session.

```
CTRL+b d
```

- (After detaching from tmux), view all tmux sessions

```
tmux ls
```

- attach to a particular tmux session (named s-nmt)

```
tmux attach -t s-nmt
```

- to terminate a tmux session (from within the session)

```
exit
```