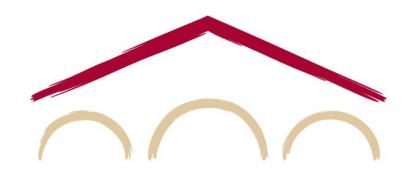
# Natural Language Processing with Deep Learning CS224N/Ling284



John Hewitt

Lecture 10: Pretraining

## **Lecture Plan**

- 1. A brief note on subword modeling
- 2. Motivating model pretraining from word embeddings
- 3. Model pretraining three ways
  - 1. Decoders
  - 2. Encoders
  - 3. Encoder-Decoders
- 4. Interlude: what do we think pretraining is teaching?
- 5. Very large models and in-context learning

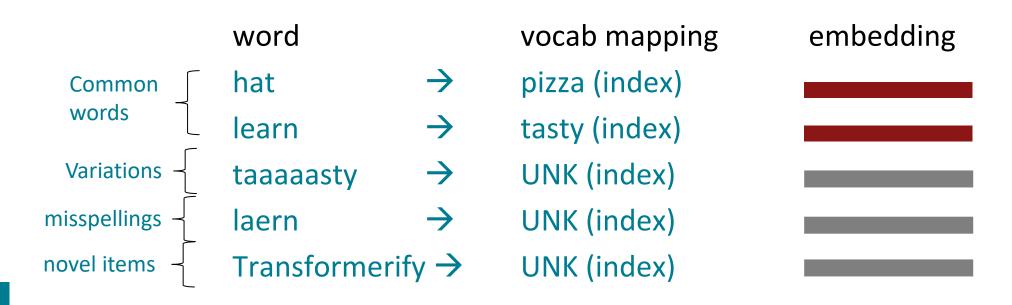
### Reminders:

Assignment 5 is out today! It covers lecture 9 (Tuesday) and lecture 10 (Today)! It has ~pedagogically relevant math~ so get started!

## Word structure and subword models

Let's take a look at the assumptions we've made about a language's vocabulary.

We assume a fixed vocab of tens of thousands of words, built from the training set. All *novel* words seen at test time are mapped to a single UNK.



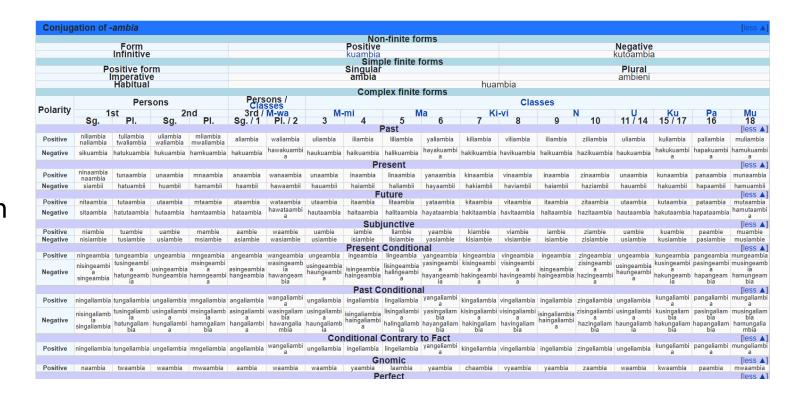
## Word structure and subword models

Finite vocabulary assumptions make even less sense in many languages.

- Many languages exhibit complex morphology, or word structure.
  - The effect is more word types, each occurring fewer times.

Example: Swahili verbs can have hundreds of conjugations, each encoding a wide variety of information. (Tense, mood, definiteness, negation, information about the object, ++)

Here's a small fraction of the conjugations for *ambia* – to tell.



## The byte-pair encoding algorithm

Subword modeling in NLP encompasses a wide range of methods for reasoning about structure below the word level. (Parts of words, characters, bytes.)

- The dominant modern paradigm is to learn a vocabulary of parts of words (subword tokens).
- At training and testing time, each word is split into a sequence of known subwords.

Byte-pair encoding is a simple, effective strategy for defining a subword vocabulary.

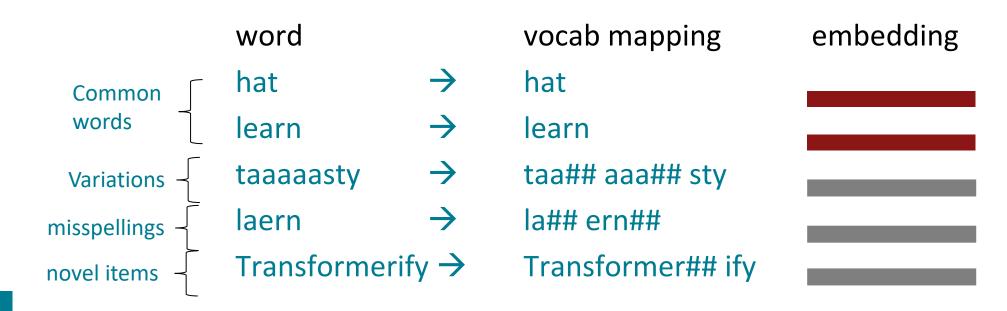
- Start with a vocabulary containing only characters and an "end-of-word" symbol.
- 2. Using a corpus of text, find the most common adjacent characters "a,b"; add "ab" as a subword.
- 3. Replace instances of the character pair with the new subword; repeat until desired vocab size.

Originally used in NLP for machine translation; now a similar method (WordPiece) is used in pretrained models.

## Word structure and subword models

Common words end up being a part of the subword vocabulary, while rarer words are split into (sometimes intuitive, sometimes not) components.

In the worst case, words are split into as many subwords as they have characters.



## **Outline**

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## Motivating word meaning and context

Recall the adage we mentioned at the beginning of the course:

"You shall know a word by the company it keeps" (J. R. Firth 1957: 11)

This quote is a summary of distributional semantics, and motivated word2vec. But:

"... the complete meaning of a word is always contextual, and no study of meaning apart from a complete context can be taken seriously." (J. R. Firth 1935)

Consider I record the record: the two instances of record mean different things.

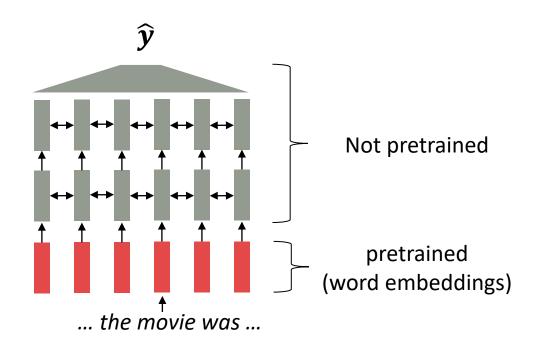
## Where we were: pretrained word embeddings

#### Circa 2017:

- Start with pretrained word embeddings (no context!)
- Learn how to incorporate context in an LSTM or Transformer while training on the task.

#### Some issues to think about:

- The training data we have for our downstream task (like question answering) must be sufficient to teach all contextual aspects of language.
- Most of the parameters in our network are randomly initialized!

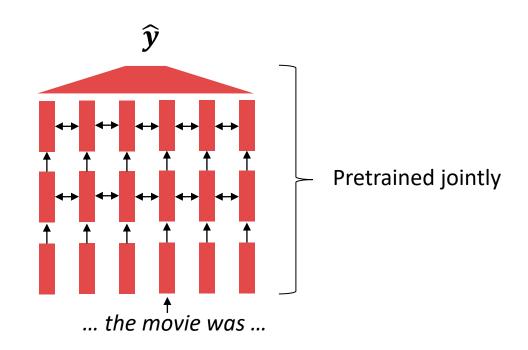


[Recall, *movie* gets the same word embedding, no matter what sentence it shows up in]

## Where we're going: pretraining whole models

#### In modern NLP:

- All (or almost all) parameters in NLP networks are initialized via pretraining.
- Pretraining methods hide parts of the input from the model, and train the model to reconstruct those parts.
- This has been exceptionally effective at building strong:
  - representations of language
  - parameter initializations for strong NLP models.
  - Probability distributions over language that we can sample from



[This model has learned how to represent entire sentences through pretraining]

Stanford University is located in \_\_\_\_\_\_, California.

I put \_\_\_\_ fork down on the table.

The woman walked across the street, checking for traffic over \_\_\_\_ shoulder.

I went to the ocean to see the fish, turtles, seals, and \_\_\_\_\_.

Overall, the value I got from the two hours watching it was the sum total of the popcorn and the drink.

The movie was .

Iroh went into the kitchen to make some tea.

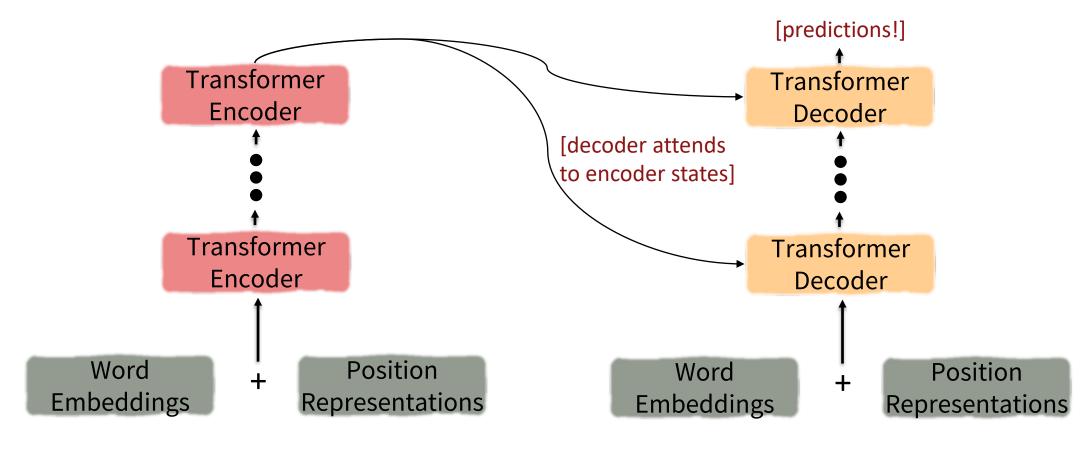
Standing next to Iroh, Zuko pondered his destiny.

Zuko left the \_\_\_\_\_.

I was thinking about the sequence that goes

1, 1, 2, 3, 5, 8, 13, 21, \_\_\_\_

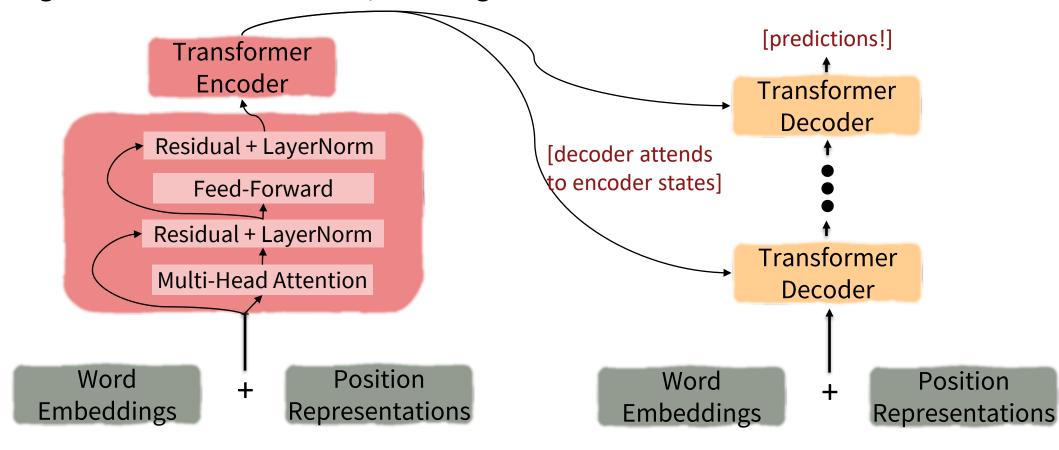
Looking back at the whole model, zooming in on an Encoder block:



[input sequence]

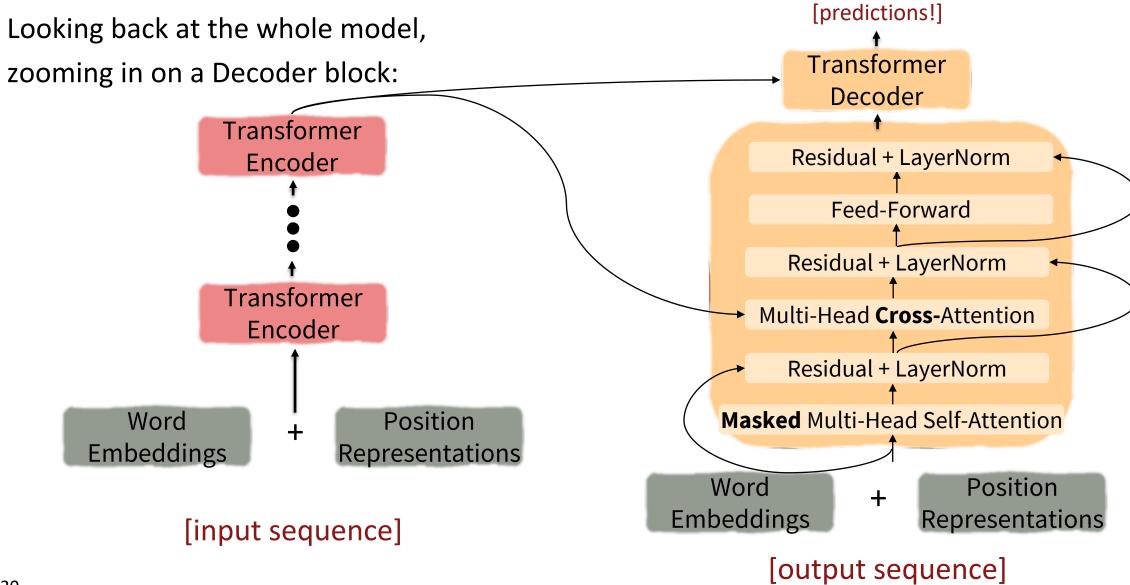
[output sequence]

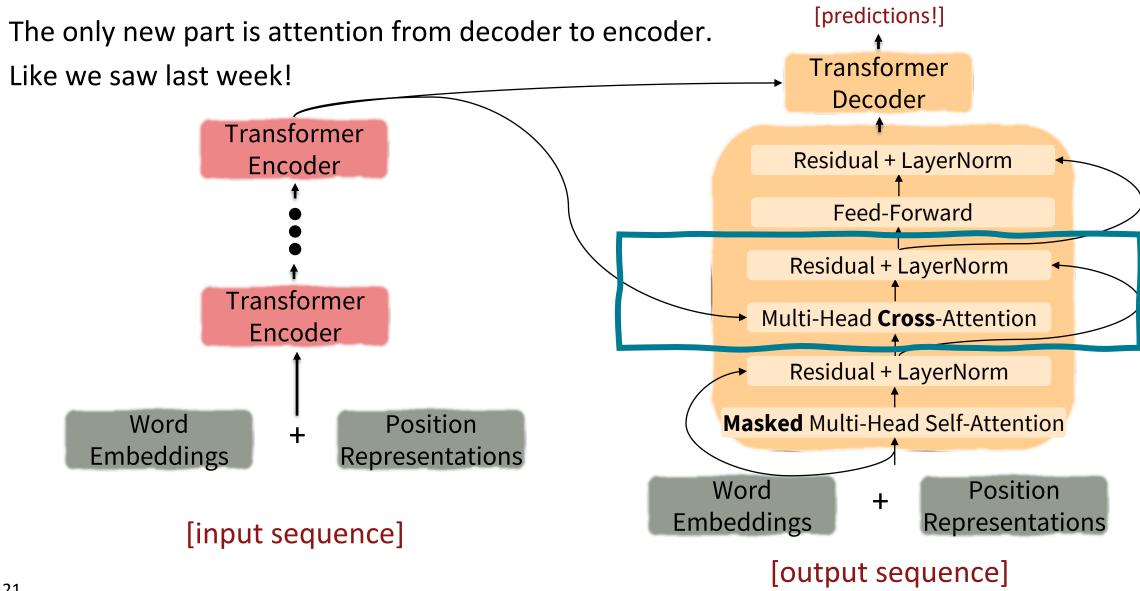
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[input sequence]

[output sequence]





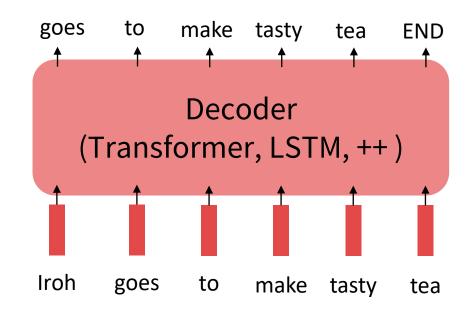
## Pretraining through language modeling [Dai and Le, 2015]

## Recall the **language modeling** task:

- Model  $p_{\theta}(w_t|w_{1:t-1})$ , the probability distribution over words given their past contexts.
- There's lots of data for this! (In English.)

## **Pretraining through language modeling:**

- Train a neural network to perform language modeling on a large amount of text.
- Save the network parameters.

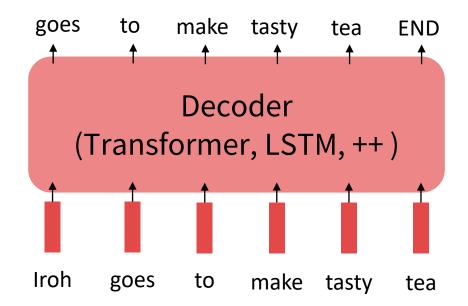


## The Pretraining / Finetuning Paradigm

Pretraining can improve NLP applications by serving as parameter initialization.

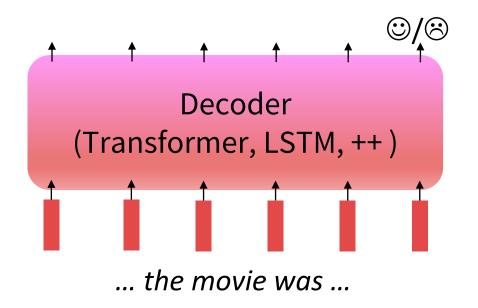
## **Step 1: Pretrain (on language modeling)**

Lots of text; learn general things!



## **Step 2: Finetune (on your task)**

Not many labels; adapt to the task!



## Stochastic gradient descent and pretrain/finetune

Why should pretraining and finetuning help, from a "training neural nets" perspective?

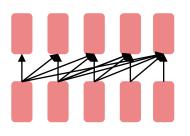
- Consider, provides parameters  $\hat{\theta}$  by approximating  $\min_{\theta} \mathcal{L}_{\text{pretrain}}(\theta)$ .
  - (The pretraining loss.)
- Then, finetuning approximates  $\min_{\theta} \mathcal{L}_{\text{finetune}}(\theta)$ , starting at  $\hat{\theta}$ .
  - (The finetuning loss)
- The pretraining may matter because stochastic gradient descent sticks (relatively) close to  $\hat{\theta}$  during finetuning.
  - So, maybe the finetuning local minima near  $\hat{\theta}$  tend to generalize well!
  - And/or, maybe the gradients of finetuning loss near  $\hat{\theta}$  propagate nicely!

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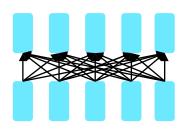
## Pretraining for three types of architectures

The neural architecture influences the type of pretraining, and natural use cases.



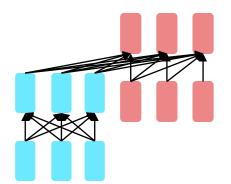
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## **Encoders**

- Gets bidirectional context can condition on future!
- Wait, how do we pretrain them?

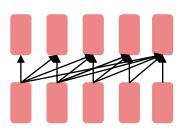


**Encoder- Decoders** 

- Good parts of decoders and encoders?
- What's the best way to pretrain them?

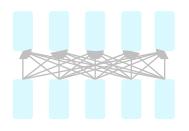
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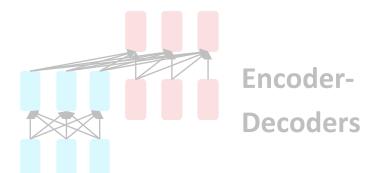
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## Pretraining decoders

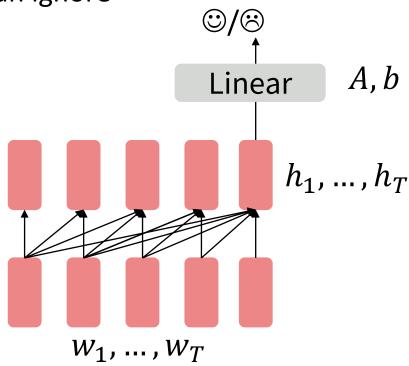
When using language model pretrained decoders, we can ignore that they were trained to model  $p(w_t|w_{1:t-1})$ .

We can finetune them by training a classifier on the last word's hidden state.

$$h_1, ..., h_T = Decoder(w_1, ..., w_T)$$
  
 $y \sim Aw_T + b$ 

Where A and b are randomly initialized and specified by the downstream task.

Gradients backpropagate through the whole network.



[Note how the linear layer hasn't been pretrained and must be learned from scratch.]

## Pretraining decoders

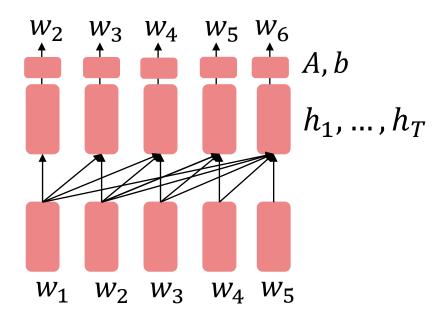
It's natural to pretrain decoders as language models and then use them as generators, finetuning their  $p_{\theta}(w_t|w_{1:t-1})!$ 

This is helpful in tasks where the output is a sequence with a vocabulary like that at pretraining time!

- Dialogue (context=dialogue history)
- Summarization (context=document)

$$h_1, \dots, h_T = \text{Decoder}(w_1, \dots, w_T)$$
  
 $w_t \sim Aw_{t-1} + b$ 

Where *A*, *b* were pretrained in the language model!



[Note how the linear layer has been pretrained.]

# Generative Pretrained Transformer (GPT) [Radford et al., 2018]

2018's GPT was a big success in pretraining a decoder!

- Transformer decoder with 12 layers.
- 768-dimensional hidden states, 3072-dimensional feed-forward hidden layers.
- Byte-pair encoding with 40,000 merges
- Trained on BooksCorpus: over 7000 unique books.
  - Contains long spans of contiguous text, for learning long-distance dependencies.
- The acronym "GPT" never showed up in the original paper; it could stand for "Generative PreTraining" or "Generative Pretrained Transformer"

# Generative Pretrained Transformer (GPT) [Radford et al., 2018]

How do we format inputs to our decoder for **finetuning tasks?** 

**Natural Language Inference:** Label pairs of sentences as *entailing/contradictory/neutral* 

Premise: *The man is in the doorway*Hypothesis: *The person is near the door*entailment

Radford et al., 2018 evaluate on natural language inference.

Here's roughly how the input was formatted, as a sequence of tokens for the decoder.

[START] The man is in the doorway [DELIM] The person is near the door [EXTRACT]

The linear classifier is applied to the representation of the [EXTRACT] token.

## Generative Pretrained Transformer (GPT) [Radford et al., 2018]

GPT results on various natural language inference datasets.

| Method                              | MNLI-m | MNLI-mm | SNLI | SciTail | QNLI | RTE  |
|-------------------------------------|--------|---------|------|---------|------|------|
| ESIM + ELMo [44] (5x)               | -      | -       | 89.3 | -       | -    | -    |
| CAFE [58] (5x)                      | 80.2   | 79.0    | 89.3 | -       | -    | -    |
| Stochastic Answer Network [35] (3x) | 80.6   | 80.1    | -    | -       | -    | -    |
| CAFE [58]                           | 78.7   | 77.9    | 88.5 | 83.3    |      |      |
| GenSen [64]                         | 71.4   | 71.3    | -    | -       | 82.3 | 59.2 |
| Multi-task BiLSTM + Attn [64]       | 72.2   | 72.1    | -    | -       | 82.1 | 61.7 |
| Finetuned Transformer LM (ours)     | 82.1   | 81.4    | 89.9 | 88.3    | 88.1 | 56.0 |

# Increasingly convincing generations (GPT2) [Radford et al., 2018]

We mentioned how pretrained decoders can be used in their capacities as language models.

**GPT-2,** a larger version of GPT trained on more data, was shown to produce relatively convincing samples of natural language.

**Context (human-written):** In a shocking finding, scientist discovered a herd of unicorns living in a remote, previously unexplored valley, in the Andes Mountains. Even more surprising to the researchers was the fact that the unicorns spoke perfect English.

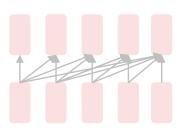
**GPT-2:** The scientist named the population, after their distinctive horn, Ovid's Unicorn. These four-horned, silver-white unicorns were previously unknown to science.

Now, after almost two centuries, the mystery of what sparked this odd phenomenon is finally solved.

Dr. Jorge Pérez, an evolutionary biologist from the University of La Paz, and several companions, were exploring the Andes Mountains when they found a small valley, with no other animals or humans. Pérez noticed that the valley had what appeared to be a natural fountain, surrounded by two peaks of rock and silver snow.

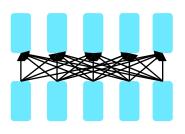
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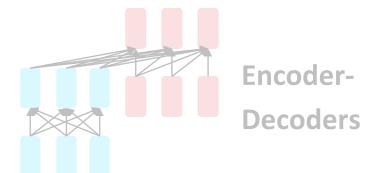
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- Good parts of decoders and encoders?
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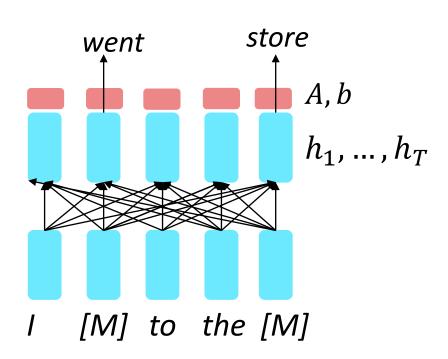
# Pretraining encoders: what pretraining objective to use?

So far, we've looked at language model pretraining. But **encoders get bidirectional context,** so we can't do language modeling!

Idea: replace some fraction of words in the input with a special [MASK] token; predict these words.

$$h_1, \dots, h_T = \text{Encoder}(w_1, \dots, w_T)$$
  
 $y_i \sim Aw_i + b$ 

Only add loss terms from words that are "masked out." If  $\tilde{x}$  is the masked version of x, we're learning  $p_{\theta}(x|\tilde{x})$ . Called **Masked LM**.



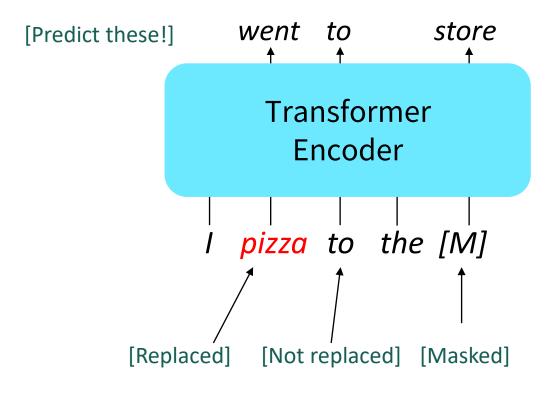
[Devlin et al., 2018]

# BERT: Bidirectional Encoder Representations from Tranformers

Devlin et al., 2018 proposed the "Masked LM" objective and released the weights of a pretrained Transformer, a model they labeled BERT.

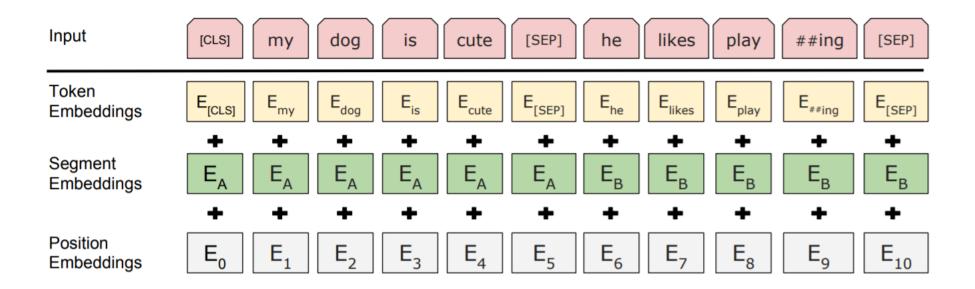
Some more details about Masked LM for BERT:

- Predict a random 15% of (sub)word tokens.
  - Replace input word with [MASK] 80% of the time
  - Replace input word with a random token 10% of the time
  - Leave input word unchanged 10% of the time (but still predict it!)
- Why? Doesn't let the model get complacent and not build strong representations of non-masked words.
   (No masks are seen at fine-tuning time!)



### BERT: Bidirectional Encoder Representations from Tranformers

The pretraining input to BERT was two separate contiguous chunks of text:



- BERT was trained to predict whether one chunk follows the other or is randomly sampled.
  - Later work has argued this "next sentence prediction" is not necessary.

### BERT: Bidirectional Encoder Representations from Tranformers

#### **Details about BERT**

- Two models were released:
  - BERT-base: 12 layers, 768-dim hidden states, 12 attention heads, 110 million params.
  - BERT-large: 24 layers, 1024-dim hidden states, 16 attention heads, 340 million params.
- Trained on:
  - BooksCorpus (800 million words)
  - English Wikipedia (2,500 million words)
- Pretraining is expensive and impractical on a single GPU.
  - BERT was pretrained with 64 TPU chips for a total of 4 days.
  - (TPUs are special tensor operation acceleration hardware)
- Finetuning is practical and common on a single GPU
  - "Pretrain once, finetune many times."

## BERT: Bidirectional Encoder Representations from Tranformers

BERT was massively popular and hugely versatile; finetuning BERT led to new state-of-the-art results on a broad range of tasks.

- QQP: Quora Question Pairs (detect paraphrase questions)
- QNLI: natural language inference over question answering data
- **SST-2**: sentiment analysis

**CoLA**: corpus of linguistic acceptability (detect whether sentences are grammatical.)

**STS-B**: semantic textual similarity

MRPC: microsoft paraphrase corpus

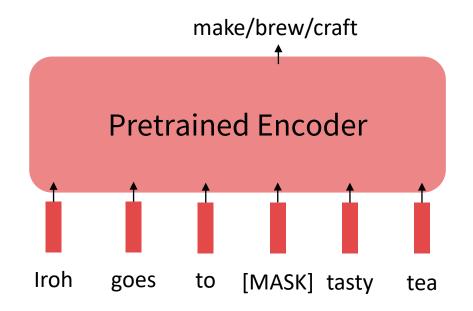
RTE: a small natural language inference corpus

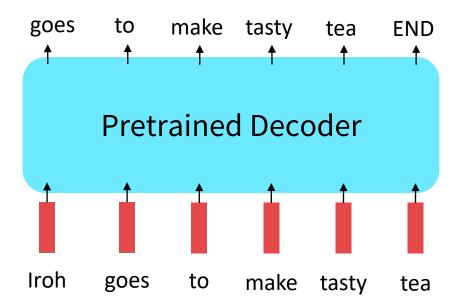
| System           | MNLI-(m/mm) | QQP         | QNLI | SST-2 | CoLA | STS-B | MRPC | RTE  | Average |
|------------------|-------------|-------------|------|-------|------|-------|------|------|---------|
|                  | 392k        | 363k        | 108k | 67k   | 8.5k | 5.7k  | 3.5k | 2.5k | -       |
| Pre-OpenAI SOTA  | 80.6/80.1   | 66.1        | 82.3 | 93.2  | 35.0 | 81.0  | 86.0 | 61.7 | 74.0    |
| BiLSTM+ELMo+Attn | 76.4/76.1   | 64.8        | 79.8 | 90.4  | 36.0 | 73.3  | 84.9 | 56.8 | 71.0    |
| OpenAI GPT       | 82.1/81.4   | 70.3        | 87.4 | 91.3  | 45.4 | 80.0  | 82.3 | 56.0 | 75.1    |
| BERTBASE         | 84.6/83.4   | 71.2        | 90.5 | 93.5  | 52.1 | 85.8  | 88.9 | 66.4 | 79.6    |
| $BERT_{LARGE}$   | 86.7/85.9   | <b>72.1</b> | 92.7 | 94.9  | 60.5 | 86.5  | 89.3 | 70.1 | 82.1    |

#### Limitations of pretrained encoders

Those results looked great! Why not used pretrained encoders for everything?

If your task involves generating sequences, consider using a pretrained decoder; BERT and other pretrained encoders don't naturally lead to nice autoregressive (1-word-at-a-time) generation methods.



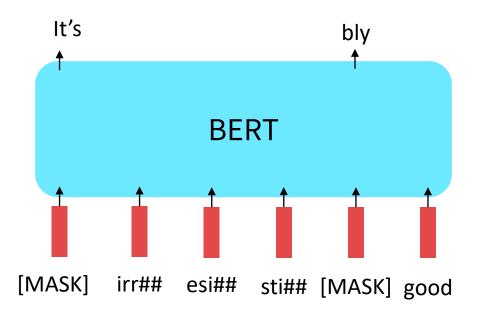


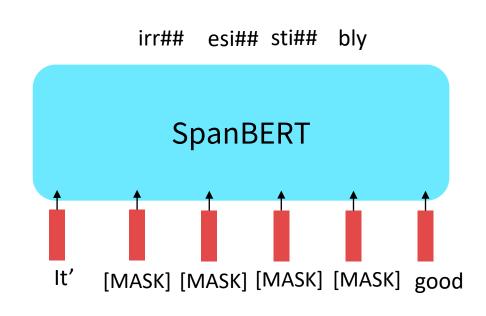
#### **Extensions of BERT**

You'll see a lot of BERT variants like RoBERTa, SpanBERT, +++

Some generally accepted improvements to the BERT pretraining formula:

- RoBERTa: mainly just train BERT for longer and remove next sentence prediction!
- SpanBERT: masking contiguous spans of words makes a harder, more useful pretraining task





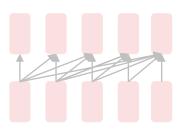
#### **Extensions of BERT**

A takeaway from the RoBERTa paper: more compute, more data can improve pretraining even when not changing the underlying Transformer encoder.

| Model                    | data  | bsz | steps | <b>SQuAD</b> (v1.1/2.0) | MNLI-m | SST-2 |
|--------------------------|-------|-----|-------|-------------------------|--------|-------|
| RoBERTa                  |       |     |       |                         |        |       |
| with BOOKS + WIKI        | 16GB  | 8K  | 100K  | 93.6/87.3               | 89.0   | 95.3  |
| + additional data (§3.2) | 160GB | 8K  | 100K  | 94.0/87.7               | 89.3   | 95.6  |
| + pretrain longer        | 160GB | 8K  | 300K  | 94.4/88.7               | 90.0   | 96.1  |
| + pretrain even longer   | 160GB | 8K  | 500K  | 94.6/89.4               | 90.2   | 96.4  |
| BERT <sub>LARGE</sub>    |       |     |       |                         |        |       |
| with BOOKS + WIKI        | 13GB  | 256 | 1M    | 90.9/81.8               | 86.6   | 93.7  |

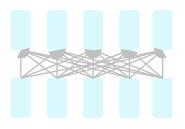
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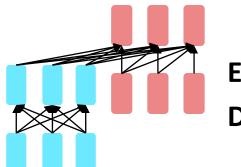
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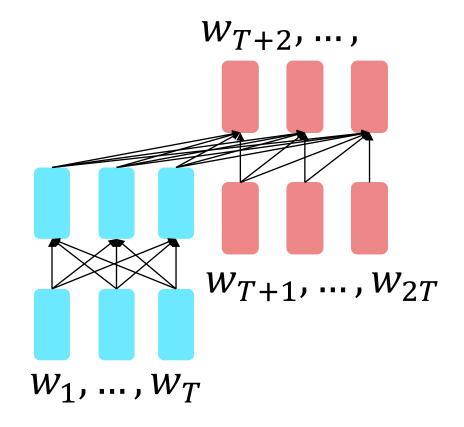
**Encoder- Decoders** 

- Good parts of decoders and encoders?
- What's the best way to pretrain them?

For **encoder-decoders**, we could do something like **language modeling**, but where a prefix of every input is provided to the encoder and is not predicted.

$$\begin{aligned} h_1, \dots, h_T &= \operatorname{Encoder}(w_1, \dots, w_T) \\ h_{T+1}, \dots, h_2 &= \operatorname{Decoder}(w_1, \dots, w_T, h_1, \dots, h_T) \\ y_i &\sim Aw_i + b, i > T \end{aligned}$$

The **encoder** portion benefits from bidirectional context; the **decoder** portion is used to train the whole model through language modeling.



[Raffel et al., 2018]

What Raffel et al., 2018 found to work best was span corruption. Their model: T5.

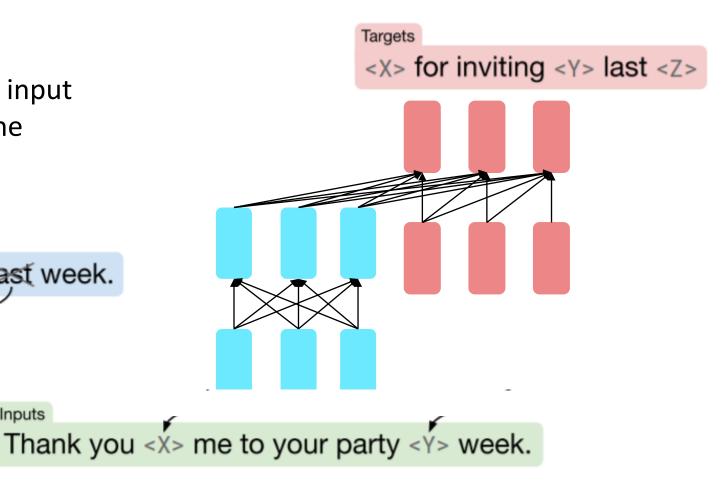
Inputs

Replace different-length spans from the input with unique placeholders; decode out the spans that were removed!

Original text

Thank you for inviting me to your party last week.

This is implemented in text preprocessing: it's still an objective that looks like **language modeling** at the decoder side.



Raffel et al., 2018 found encoder-decoders to work better than decoders for their tasks, and span corruption (denoising) to work better than language modeling.

| Architecture      | Objective  | Params | $\operatorname{Cost}$ | GLUE  | CNNDM | SQuAD | SGLUE | EnDe  | EnFr  | EnRo  |
|-------------------|------------|--------|-----------------------|-------|-------|-------|-------|-------|-------|-------|
| ★ Encoder-decoder | Denoising  | 2P     | M                     | 83.28 | 19.24 | 80.88 | 71.36 | 26.98 | 39.82 | 27.65 |
| Enc-dec, shared   | Denoising  | P      | M                     | 82.81 | 18.78 | 80.63 | 70.73 | 26.72 | 39.03 | 27.46 |
| Enc-dec, 6 layers | Denoising  | P      | M/2                   | 80.88 | 18.97 | 77.59 | 68.42 | 26.38 | 38.40 | 26.95 |
| Language model    | Denoising  | P      | M                     | 74.70 | 17.93 | 61.14 | 55.02 | 25.09 | 35.28 | 25.86 |
| Prefix LM         | Denoising  | P      | M                     | 81.82 | 18.61 | 78.94 | 68.11 | 26.43 | 37.98 | 27.39 |
| Encoder-decoder   | LM         | 2P     | M                     | 79.56 | 18.59 | 76.02 | 64.29 | 26.27 | 39.17 | 26.86 |
| Enc-dec, shared   | $_{ m LM}$ | P      | M                     | 79.60 | 18.13 | 76.35 | 63.50 | 26.62 | 39.17 | 27.05 |
| Enc-dec, 6 layers | $_{ m LM}$ | P      | M/2                   | 78.67 | 18.26 | 75.32 | 64.06 | 26.13 | 38.42 | 26.89 |
| Language model    | $_{ m LM}$ | P      | $\dot{M}$             | 73.78 | 17.54 | 53.81 | 56.51 | 25.23 | 34.31 | 25.38 |
| Prefix LM         | LM         | P      | M                     | 79.68 | 17.84 | 76.87 | 64.86 | 26.28 | 37.51 | 26.76 |

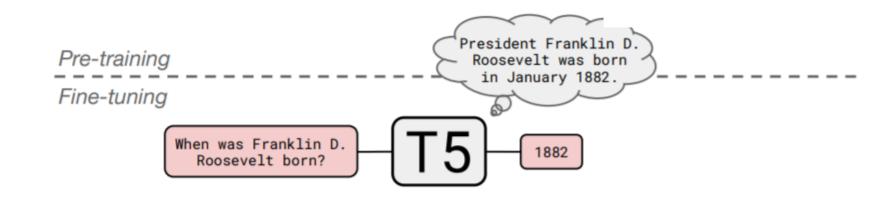
A fascinating property of T5: it can be finetuned to answer a wide range of questions, retrieving knowledge from its parameters.

NQ: Natural Questions

WQ: WebQuestions

TQA: Trivia QA

All "open-domain" versions



|                         | NQ   | WQ   | TQA         |      |                    |
|-------------------------|------|------|-------------|------|--------------------|
|                         |      |      | dev         | test |                    |
| Karpukhin et al. (2020) | 41.5 | 42.4 | <b>57.9</b> | _    | -                  |
| T5.1.1-Base             | 25.7 | 28.2 | 24.2        | 30.6 | 220 million params |
| T5.1.1-Large            | 27.3 | 29.5 | 28.5        | 37.2 | 770 million params |
| T5.1.1-XL               | 29.5 | 32.4 | 36.0        | 45.1 | 3 billion params   |
| T5.1.1-XXL              | 32.8 | 35.6 | 42.9        | 52.5 | 11 billion params  |
| T5.1.1-XXL + SSM        | 35.2 | 42.8 | 51.9        | 61.6 | _                  |

#### **Outline**

- 1. A brief note on subword modeling
- 2. Motivating model pretraining from word embeddings
- 3. Model pretraining three ways
  - 1. Decoders
  - 2. Encoders
  - 3. Encoder-Decoders
- 4. Interlude: what do we think pretraining is teaching?
- 5. Very large models and in-context learning

### What kinds of things does pretraining learn?

There's increasing evidence that pretrained models learn a wide variety of things about the statistical properties of language. Taking our examples from the start of class:

- Stanford University is located in \_\_\_\_\_\_, California. [Trivia]
- I put \_\_\_\_ fork down on the table. [syntax]
- The woman walked across the street, checking for traffic over \_\_\_\_ shoulder. [coreference]
- I went to the ocean to see the fish, turtles, seals, and \_\_\_\_\_. [lexical semantics/topic]
- Overall, the value I got from the two hours watching it was the sum total of the popcorn and the drink. The movie was \_\_\_\_. [sentiment]
- Iroh went into the kitchen to make some tea. Standing next to Iroh, Zuko pondered his destiny. Zuko left the \_\_\_\_\_. [some reasoning this is harder]
- I was thinking about the sequence that goes 1, 1, 2, 3, 5, 8, 13, 21, \_\_\_\_ [some basic arithmetic; they don't learn the Fibonnaci sequence]
- Models also learn and can exacerbate racism, sexism, all manner of bad biases.
- More on all this in the interpretability lecture!

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### GPT-3, In-context learning, and very large models

So far, we've interacted with pretrained models in two ways:

- Sample from the distributions they define (maybe providing a prompt)
- Fine-tune them on a task we care about, and take their predictions.

Very large language models seem to perform some kind of learning without gradient steps simply from examples you provide within their contexts.

GPT-3 is the canonical example of this. The largest T5 model had 11 billion parameters. **GPT-3 has 175 billion parameters.** 

## GPT-3, In-context learning, and very large models

Very large language models seem to perform some kind of learning without gradient steps simply from examples you provide within their contexts.

The in-context examples seem to specify the task to be performed, and the conditional distribution mocks performing the task to a certain extent.

#### Input (prefix within a single Transformer decoder context):

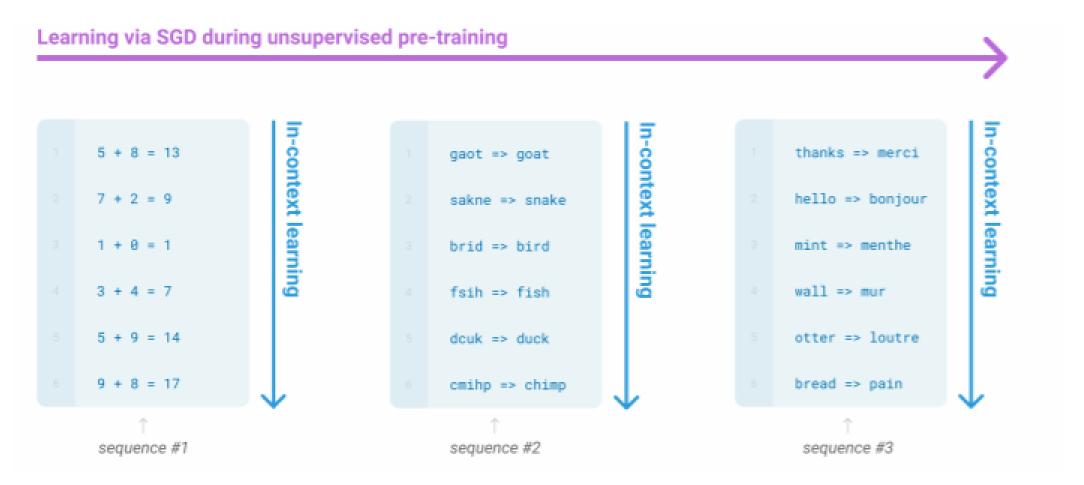
```
" thanks -> merci
hello -> bonjour
mint -> menthe
otter -> "
```

#### **Output (conditional generations):**

loutre..."

### GPT-3, In-context learning, and very large models

Very large language models seem to perform some kind of learning without gradient steps simply from examples you provide within their contexts.



# **Parting remarks**

These models are still not well-understood.

"Small" models like BERT have become general tools in a wide range of settings.

More on this in later lectures!

Assignment 5 out today! Tuesday's and today's lectures in its subject matter.