



COMP 336 | Natural Language Processing

Lecture 9: Attention and Transformers

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Transformers

Attention Is All You Need

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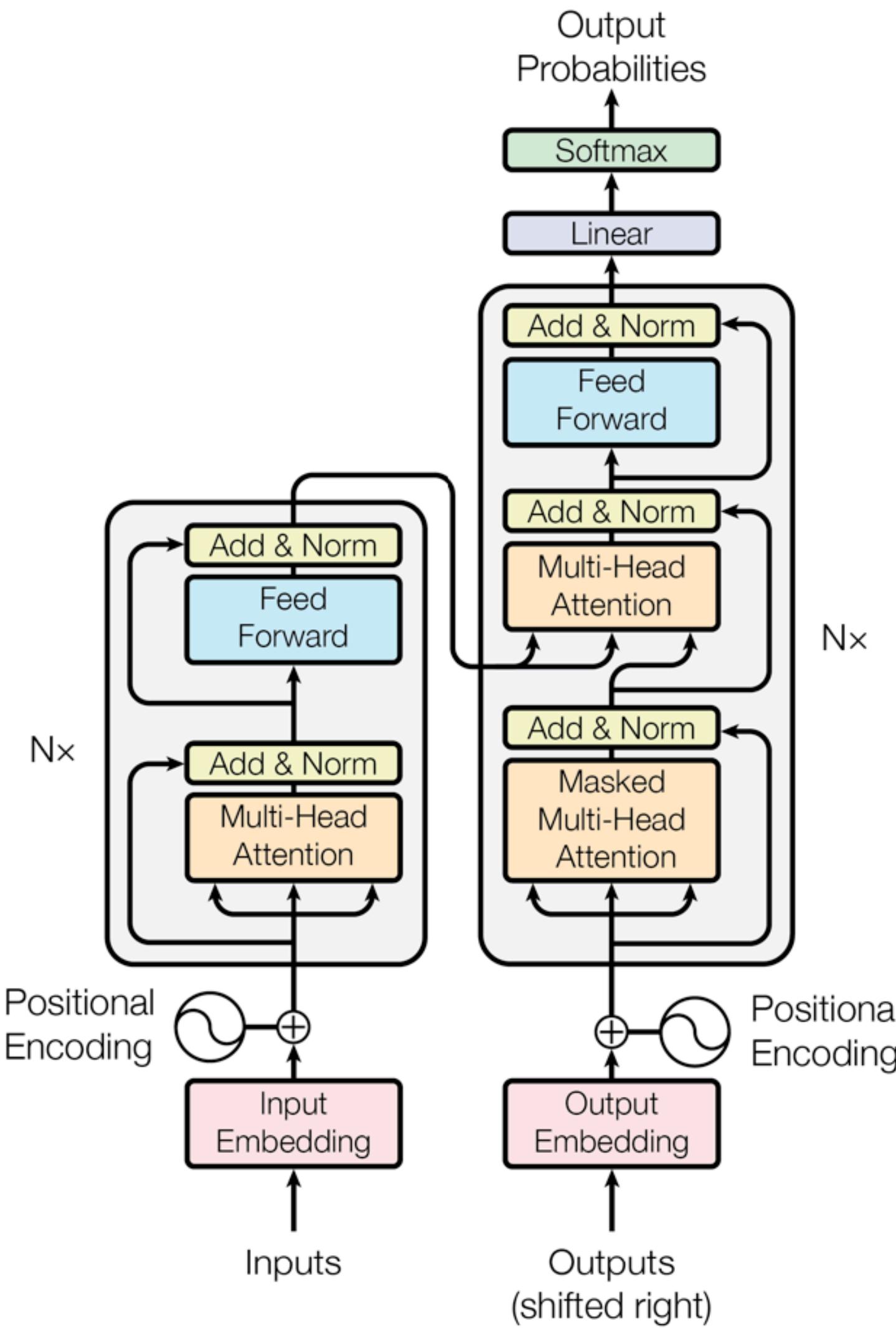
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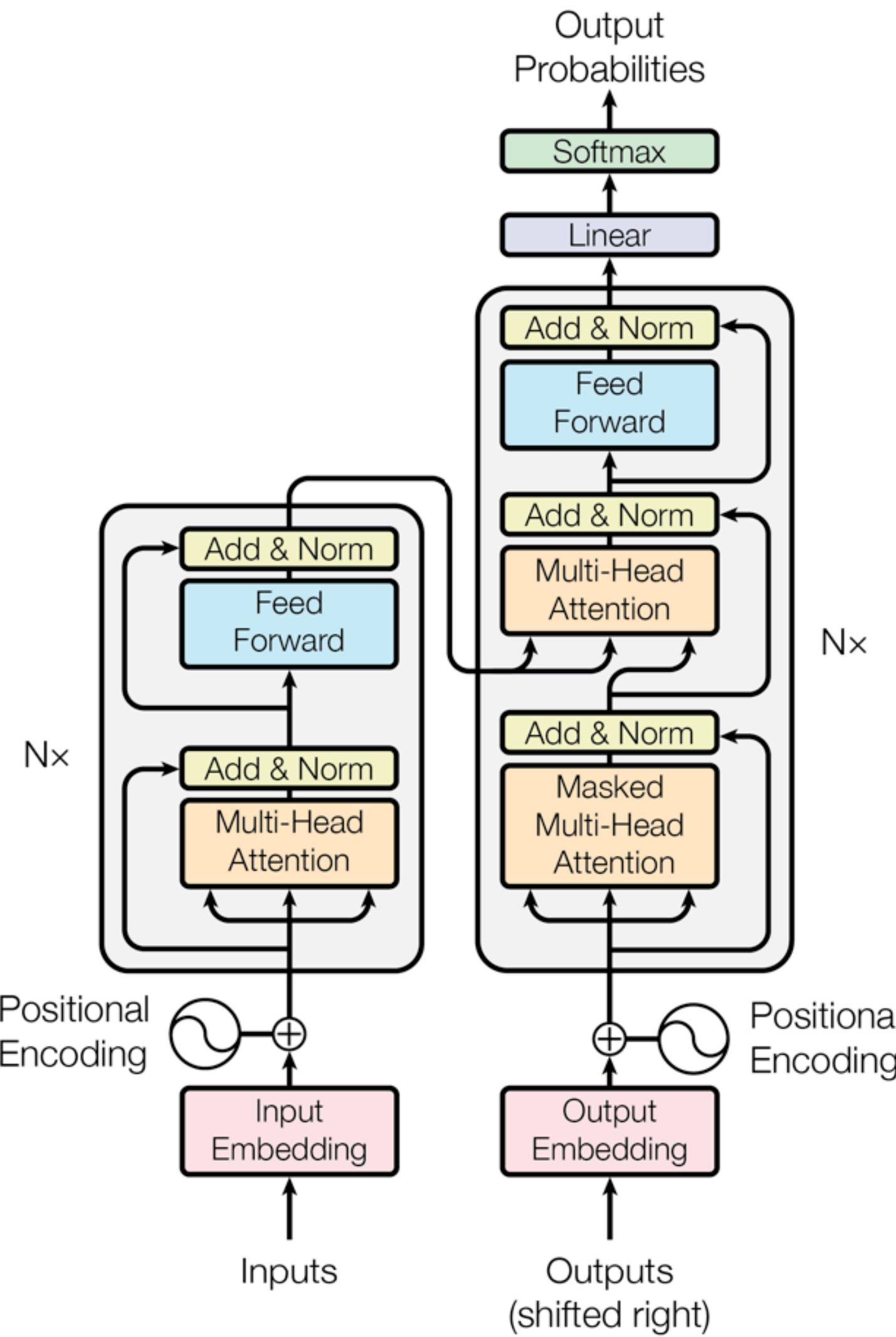
(Vaswani et al., 2017)

Transformer encoder-decoder



- Transformer encoder + Transformer decoder
- First designed and experimented on NMT

Transformer encoder-decoder



- Transformer encoder = a stack of **encoder layers**
- Transformer decoder = a stack of **decoder layers**

Transformer encoder: BERT, RoBERTa, ELECTRA

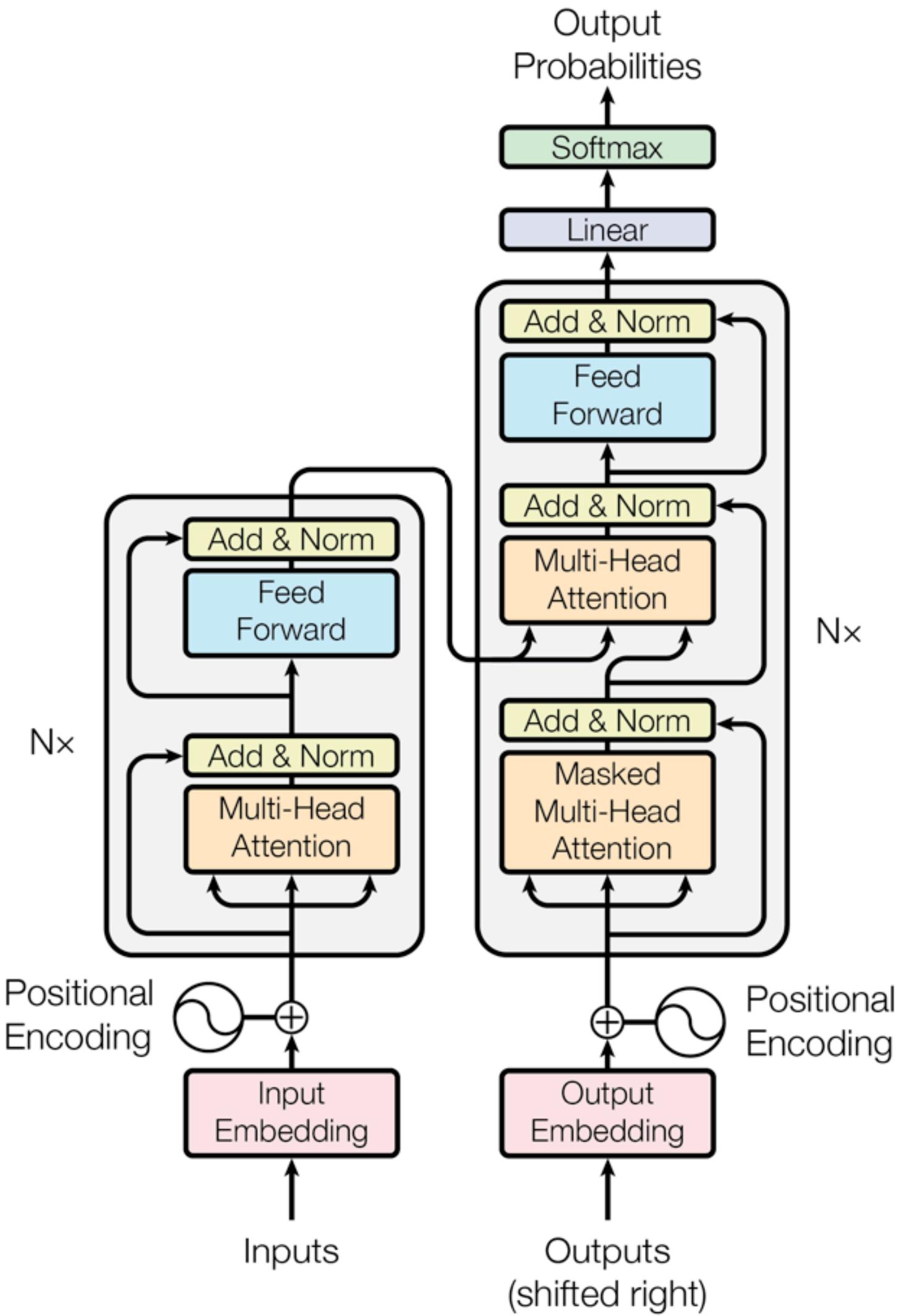
Transformer decoder: GPT-3, ChatGPT, Palm

Transformer encoder-decoder: T5, BART

- Key innovation: **multi-head, self-attention**
- Transformers don't have any recurrence structures!

$$\mathbf{h}_t = f(\mathbf{h}_{t-1}, \mathbf{x}_t) \in \mathbb{R}^h$$

Transformers: roadmap



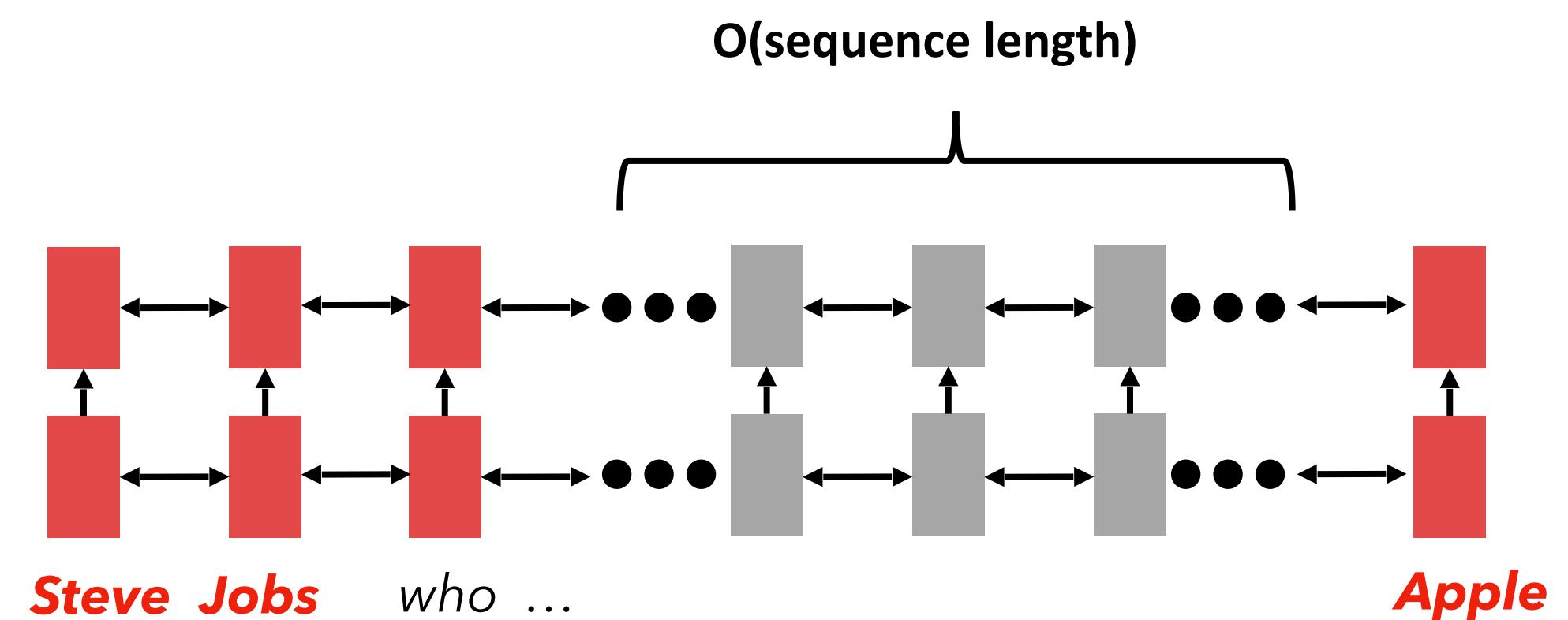
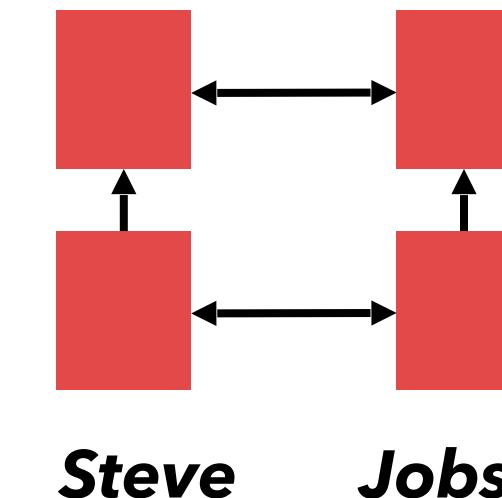
- From attention to self-attention
- From self-attention to multi-head self-attention
- Feedforward layers
- Positional encoding
- Residual connections + layer normalization
- Transformer encoder vs Transformer decoder

Issues with RNNs: Linear Interaction Distance

- RNNs are unrolled **left-to-right**.
 - **Linear locality** is a useful heuristic: nearby words often affect each other's meaning!
- However, there's the **vanishing gradient problem** for long sequences.
 - The gradients that are used to update the network become extremely small or "vanish" as they are backpropogated from the output layers to the earlier layers.

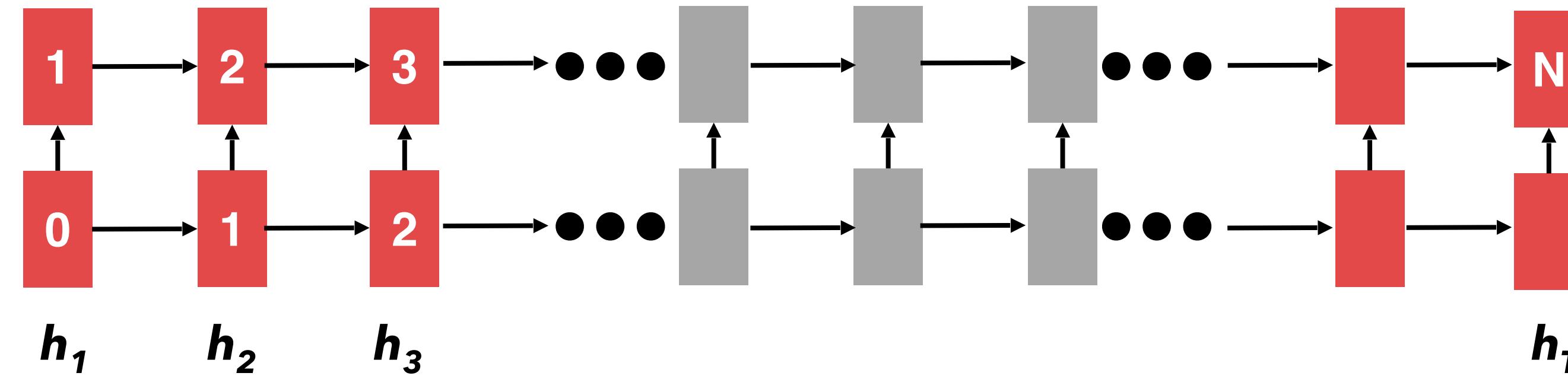


Failing to capture **long-term dependences**.



Issues with RNNs: Lack of Parallelizability

- Forward and backward passes have **O(sequence length)** **unparallelizable** operations
 - GPUs can perform many independent computations (like addition) at once!
 - But future RNN hidden states can't be computed in full before past RNN hidden states have been computed.
 - Training and inference are slow; inhibits on very large datasets!



Numbers indicate min # of steps before a state can be computed

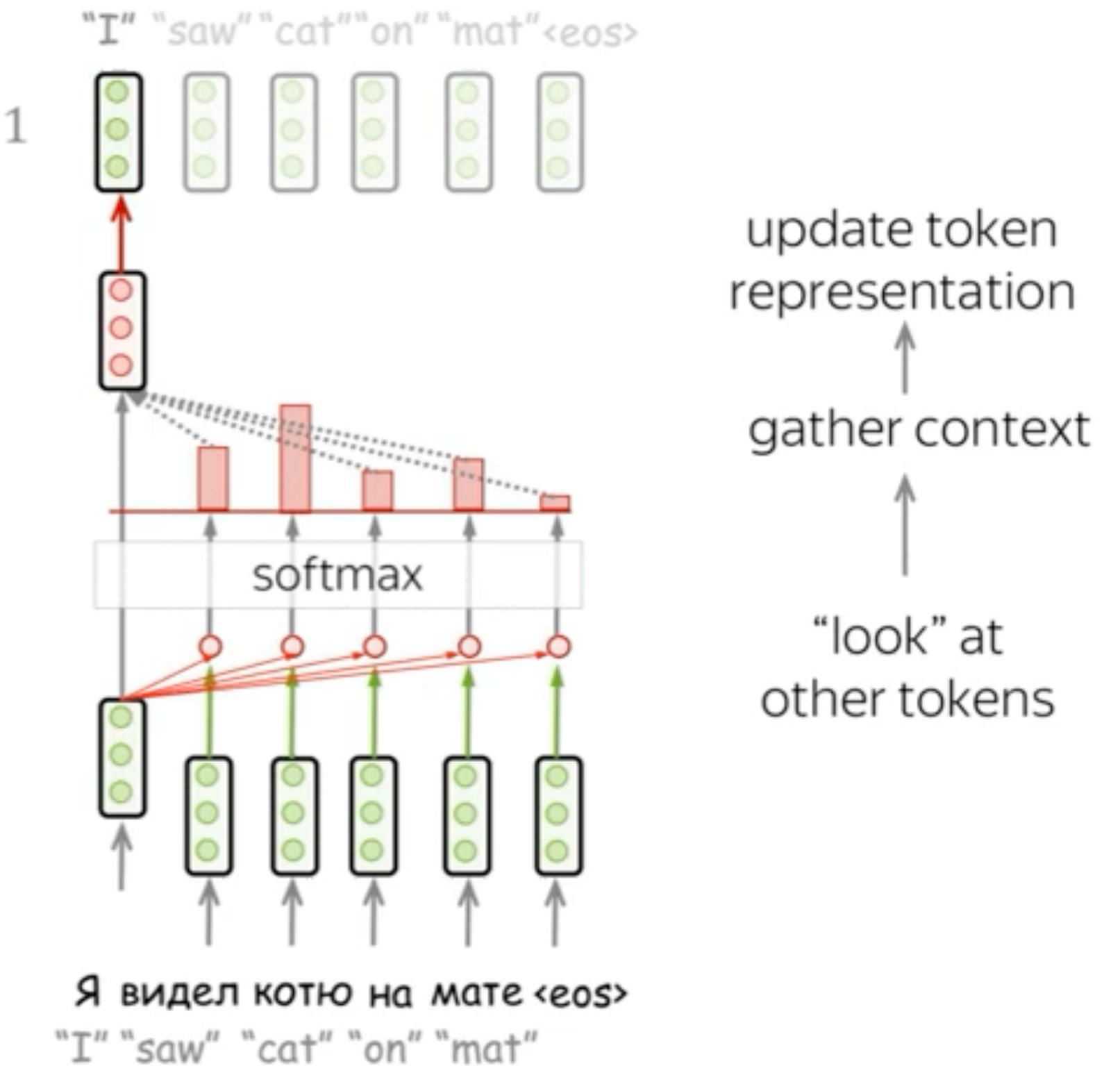
The New De Facto Method: Attention

Instead of deciding the next token solely based on the previously seen tokens, **each token will “look at” all input tokens at the same to decide which ones are most important** to decide the next token.

Tokens try to understand themselves better in context of each other

Layer $k + 1$

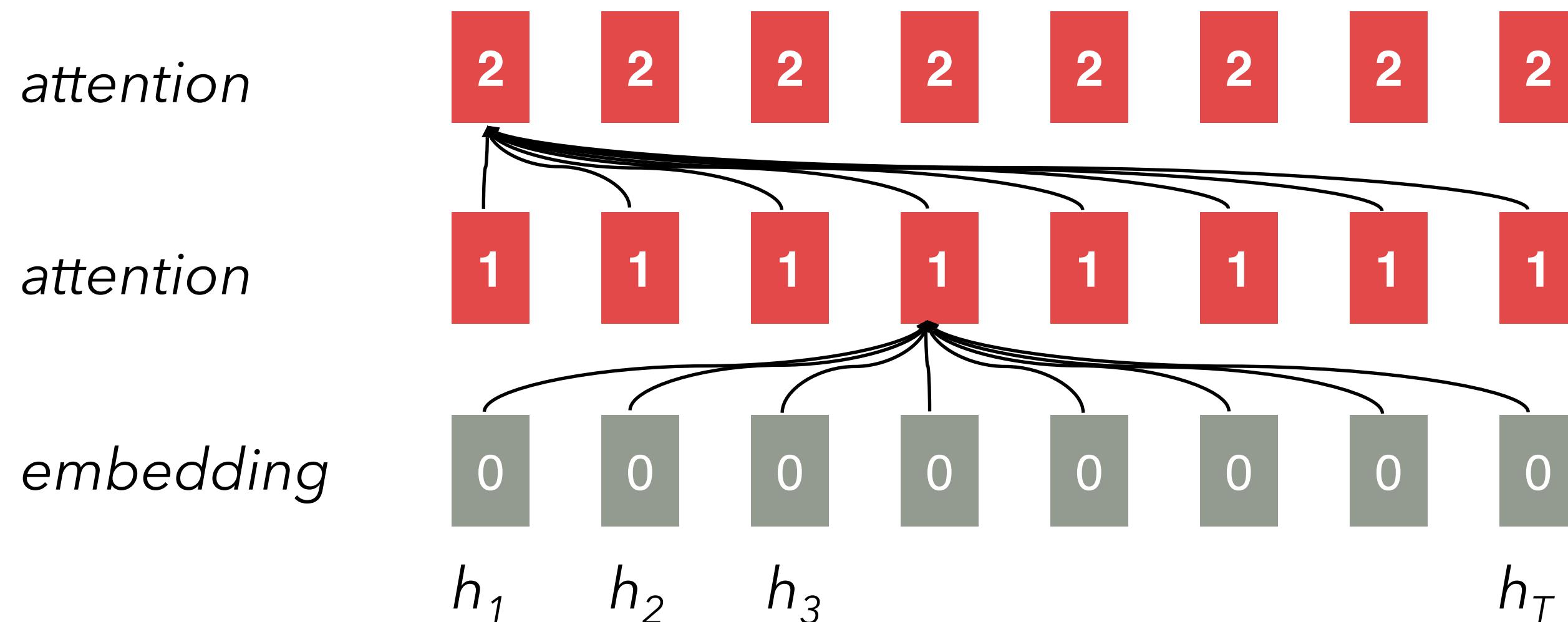
Layer k



In practice, the actions of all tokens are done in parallel!

Building the Intuition of Attention

- **Attention** treats each token's representation as a **query** to access and incorporate information from **a set of values**.
 - Today we look at attention **within a single sequence**.
 - Number of unparallelizable operations does **NOT** increase with sequence length.
 - Maximum interaction distance: $O(1)$, since all tokens interact at every layer!

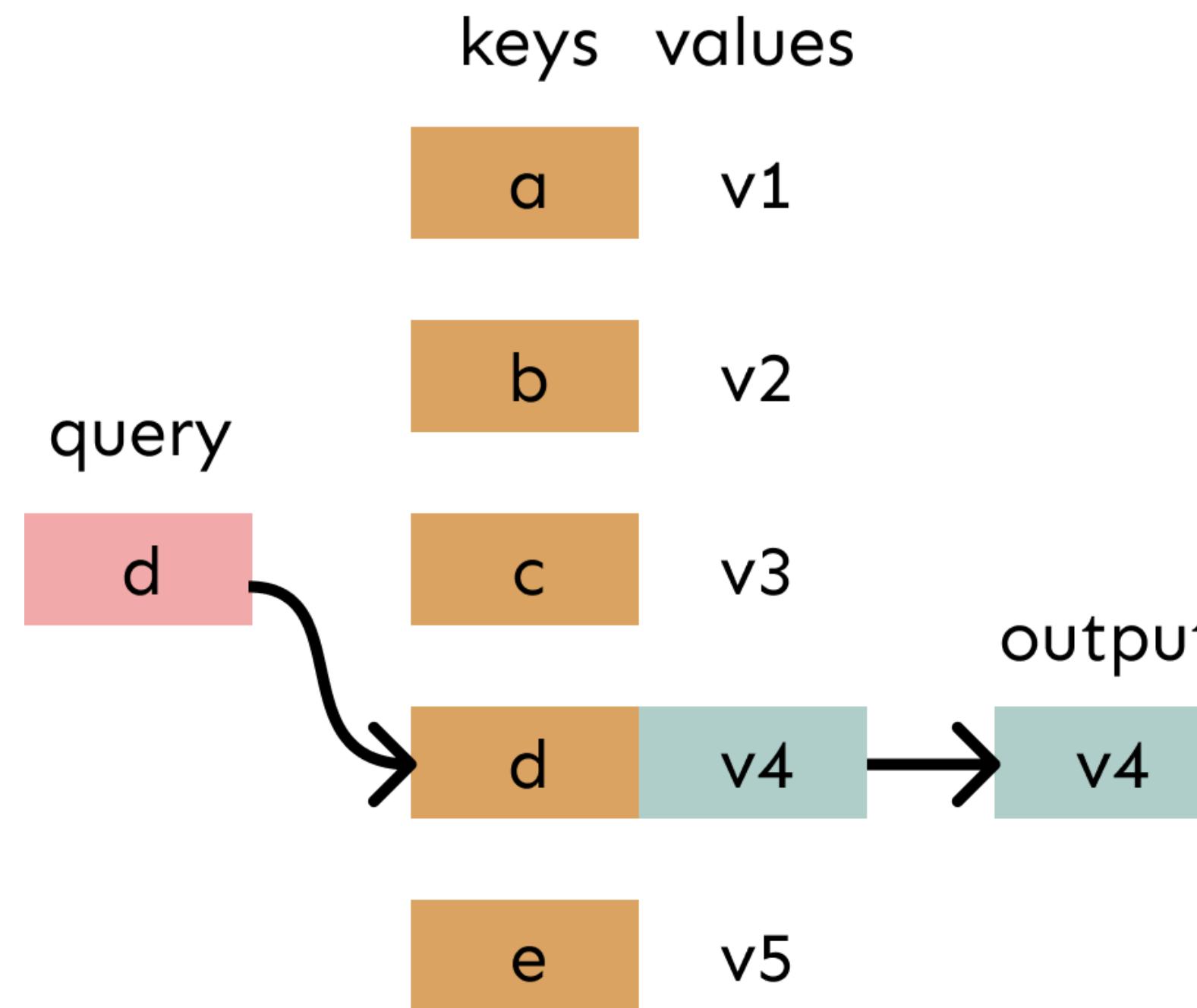


All tokens attend to all tokens
in previous layer; most
arrows here are omitted

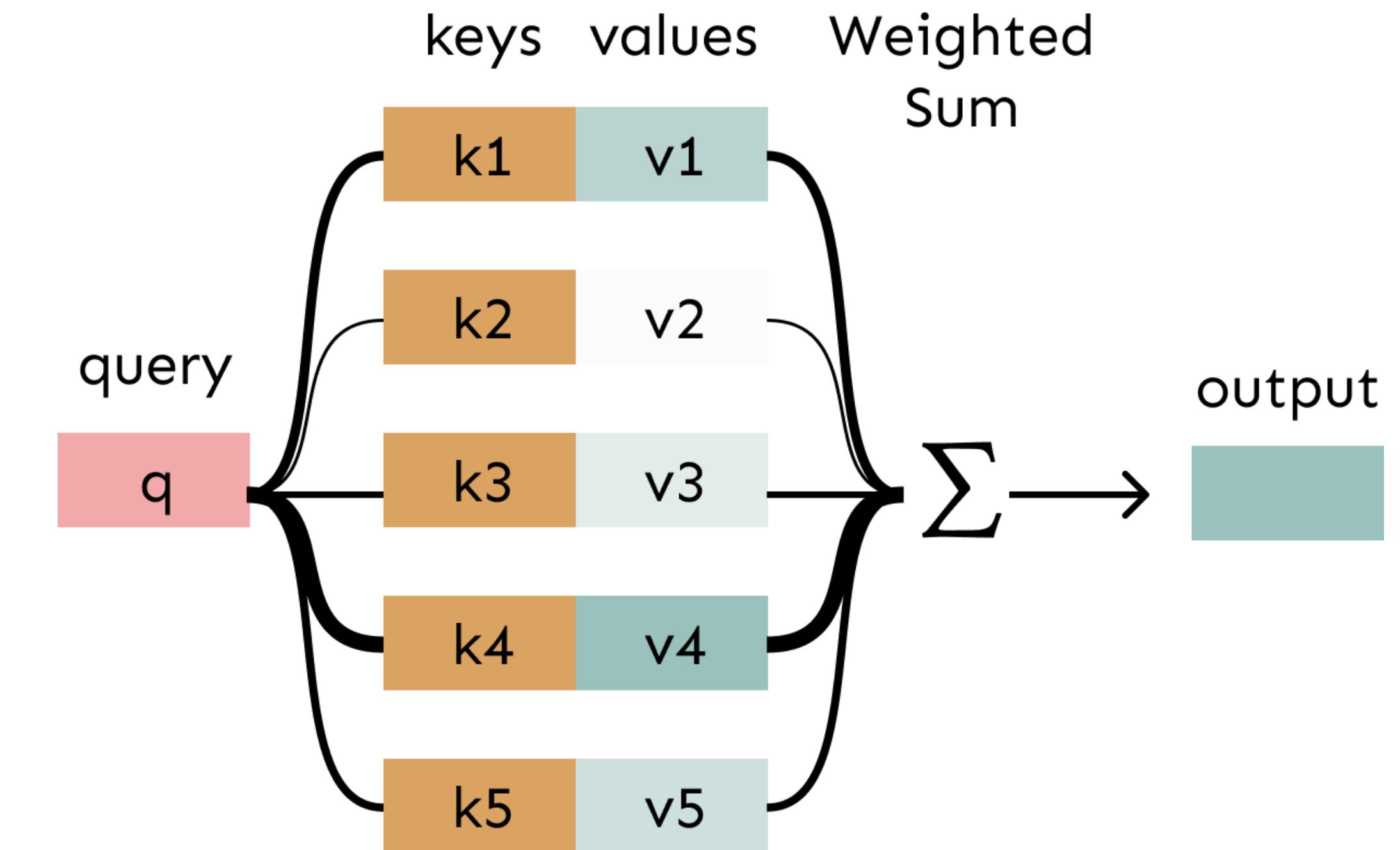
Attention as a soft, averaging lookup table

We can think of **attention** as performing **fuzzy lookup** in a key-value store.

In a **lookup table**, we have a table of **keys** that map to **values**. The **query** matches one of the keys, returning its value.



In **attention**, the **query** matches all **keys** softly, to a weight between 0 and 1. The keys' **values** are multiplied by the weights and summed.



Self-Attention: Basic Concepts

[Lena Viota Blog]

Each vector receives the

$$[W_Q] \times [] = []$$

Query: vector from which the attention starts

"Hey there, do you have any information?"

Query: asking for information

$$[W_K] \times [] = []$$

Key: vector at which the query looks to compare

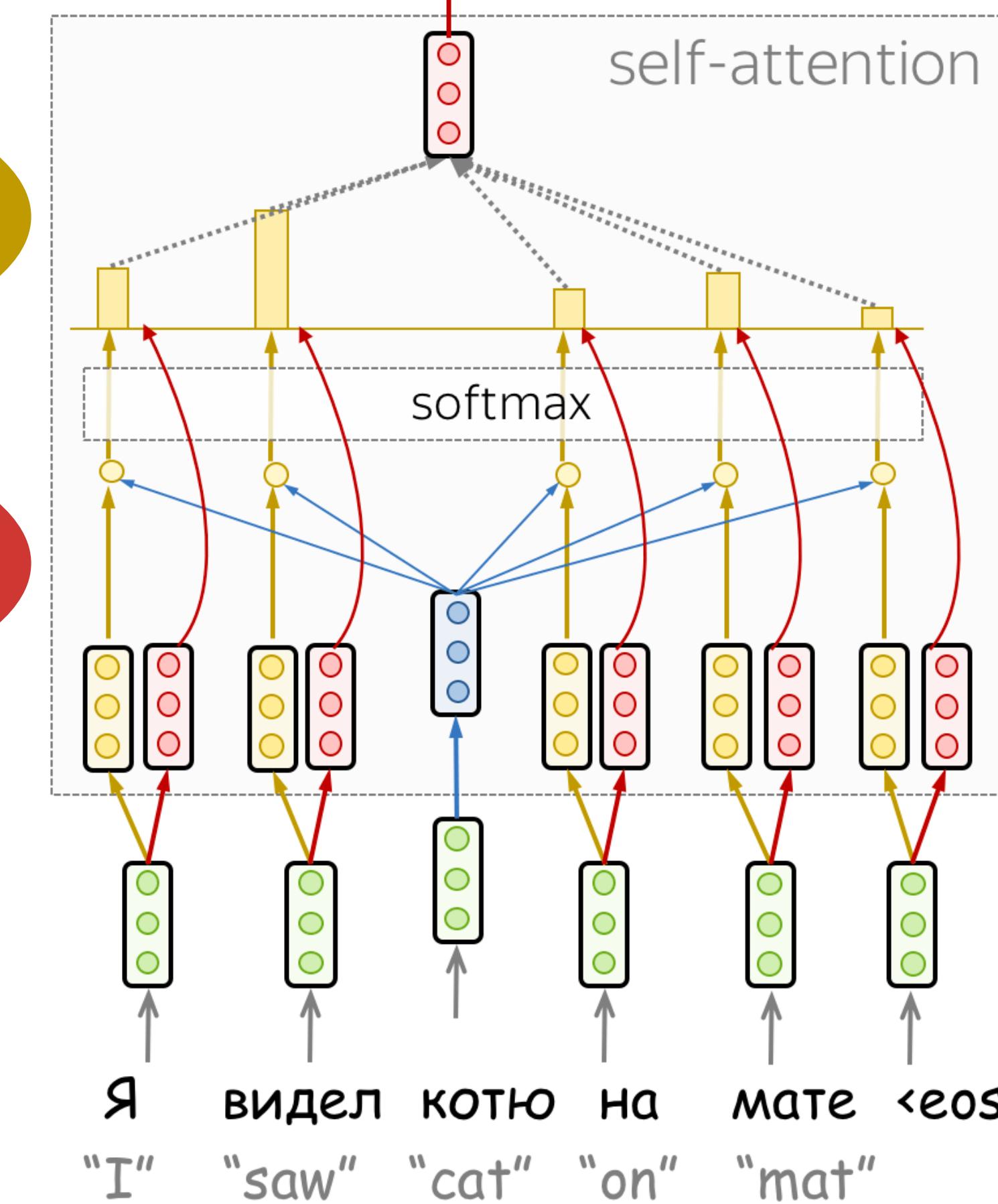
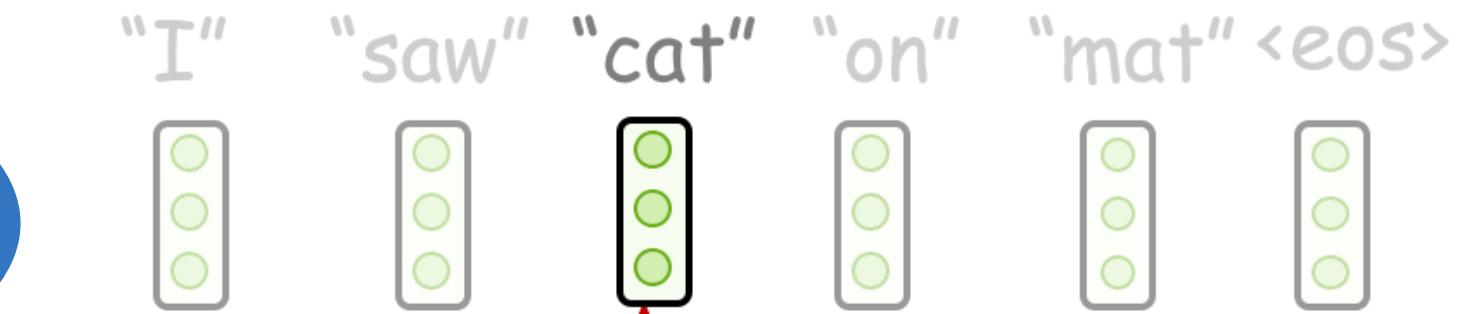
"Hi, I have this information!"

Key: saying that it has some information

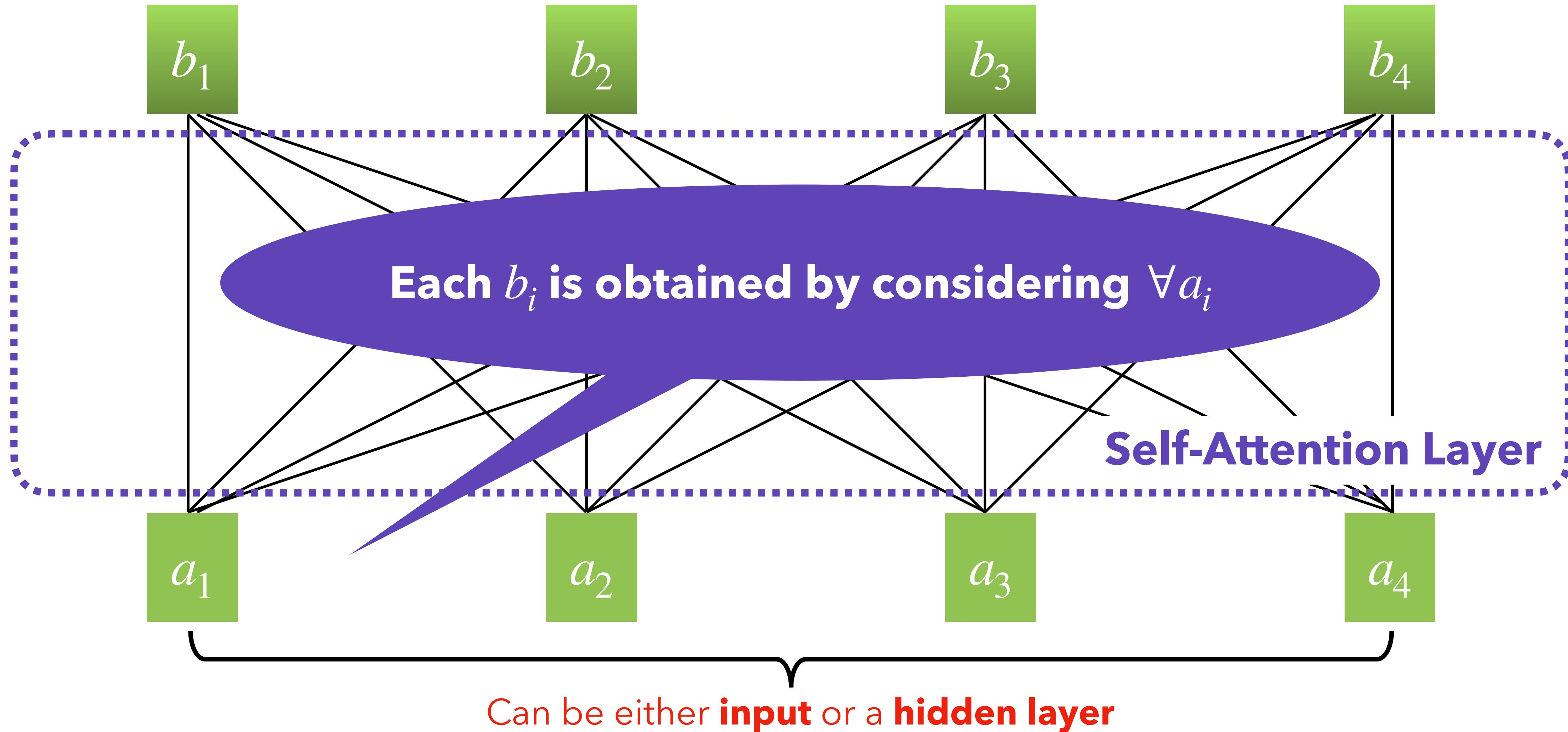
$$[W_V] \times [] = []$$

Value: attention output

"Here's the information I have!"



Self-Attention:Walk-through

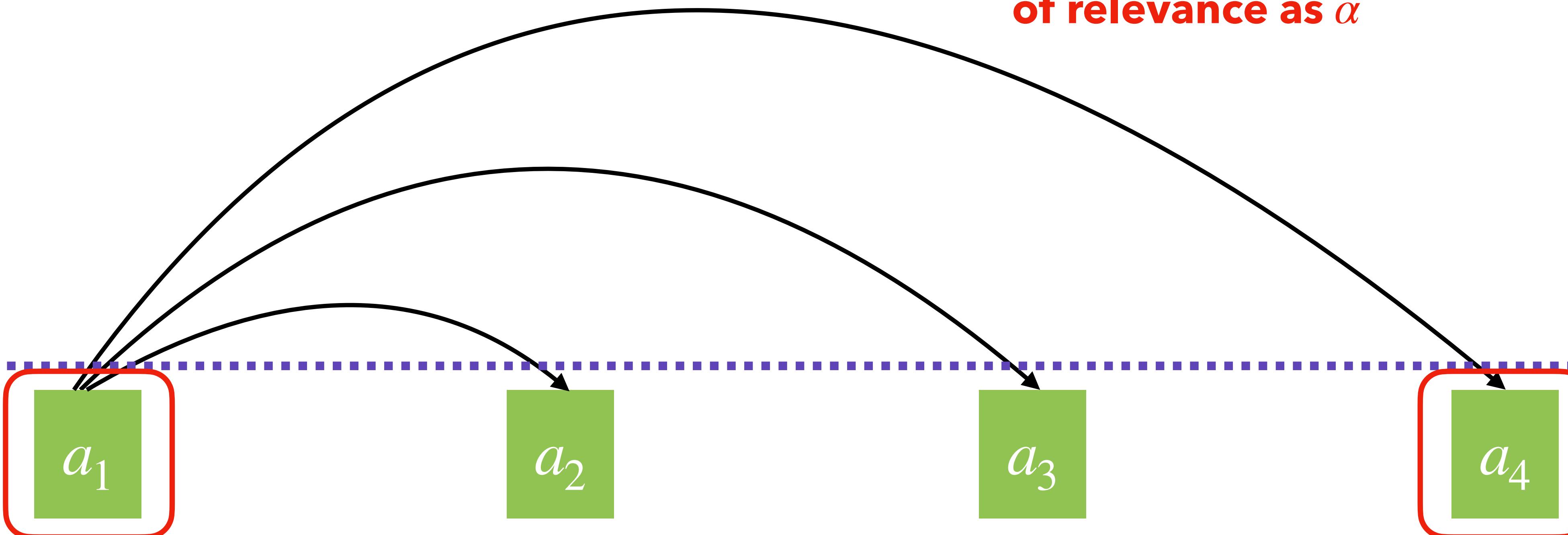


Self-Attention:Walk-through

b_1

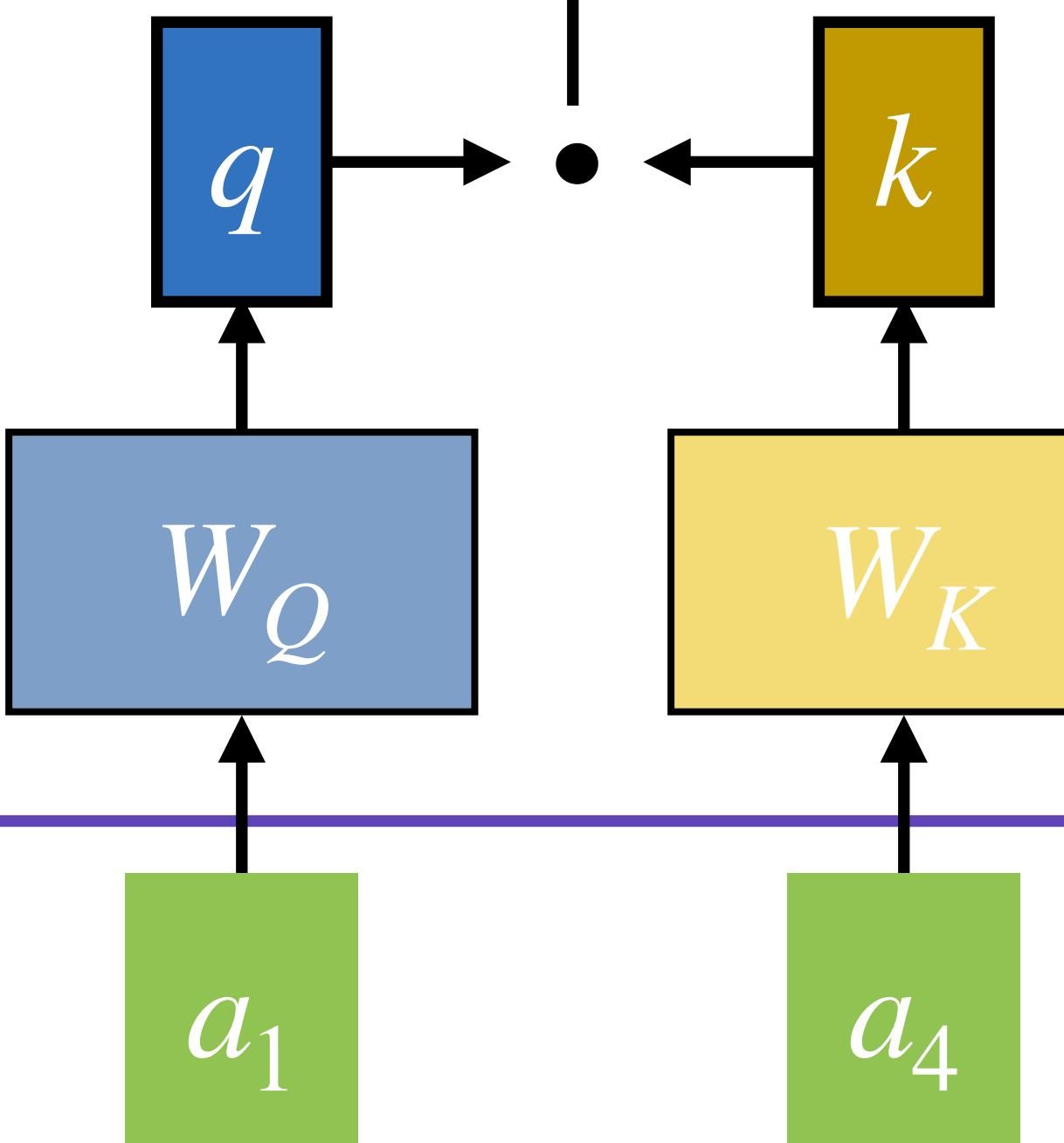
How relevant are a_2, a_3, a_4 to a_1 ?

**We denote the level
of relevance as α**



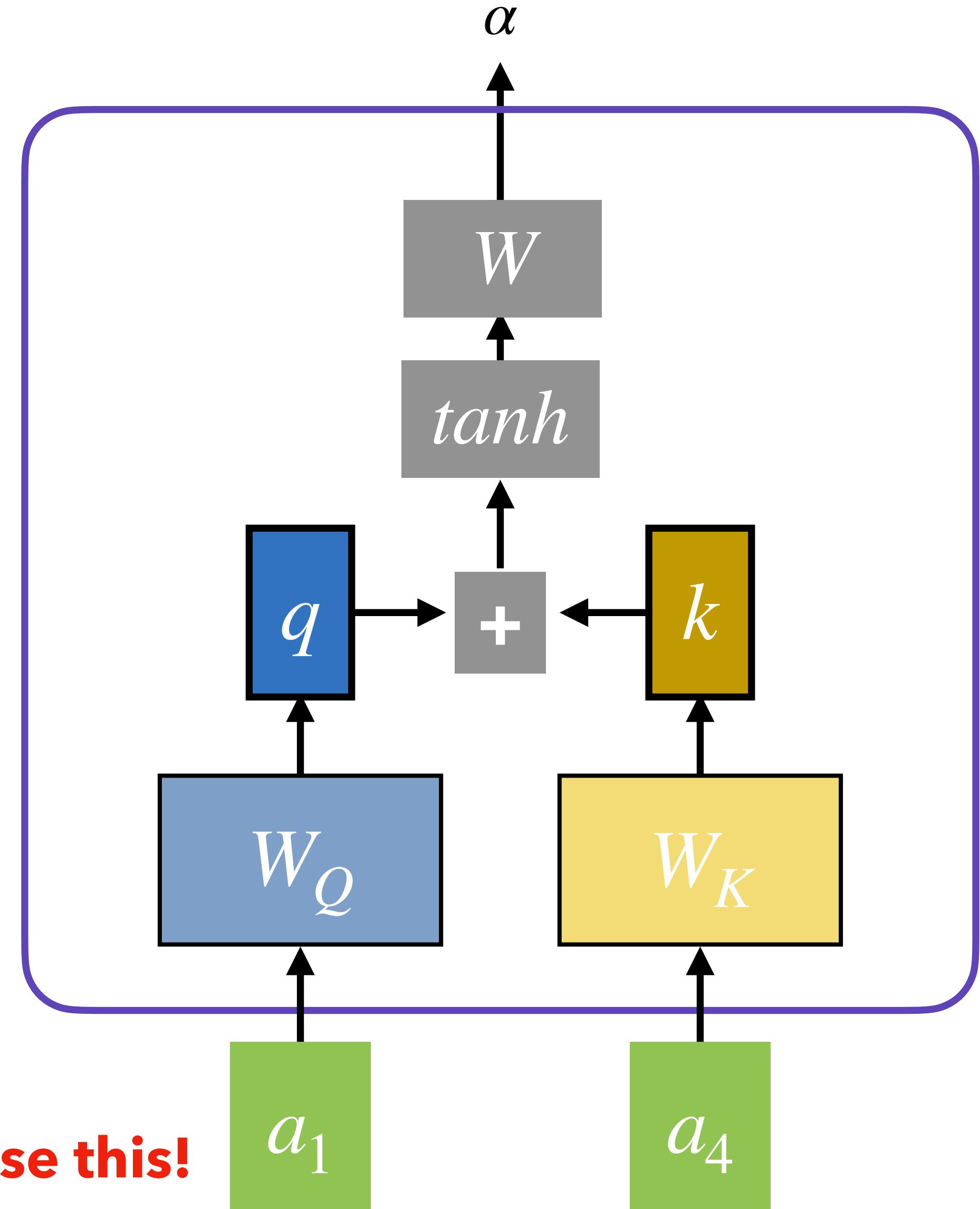
How to compute α ?

$$\alpha = q \cdot k$$



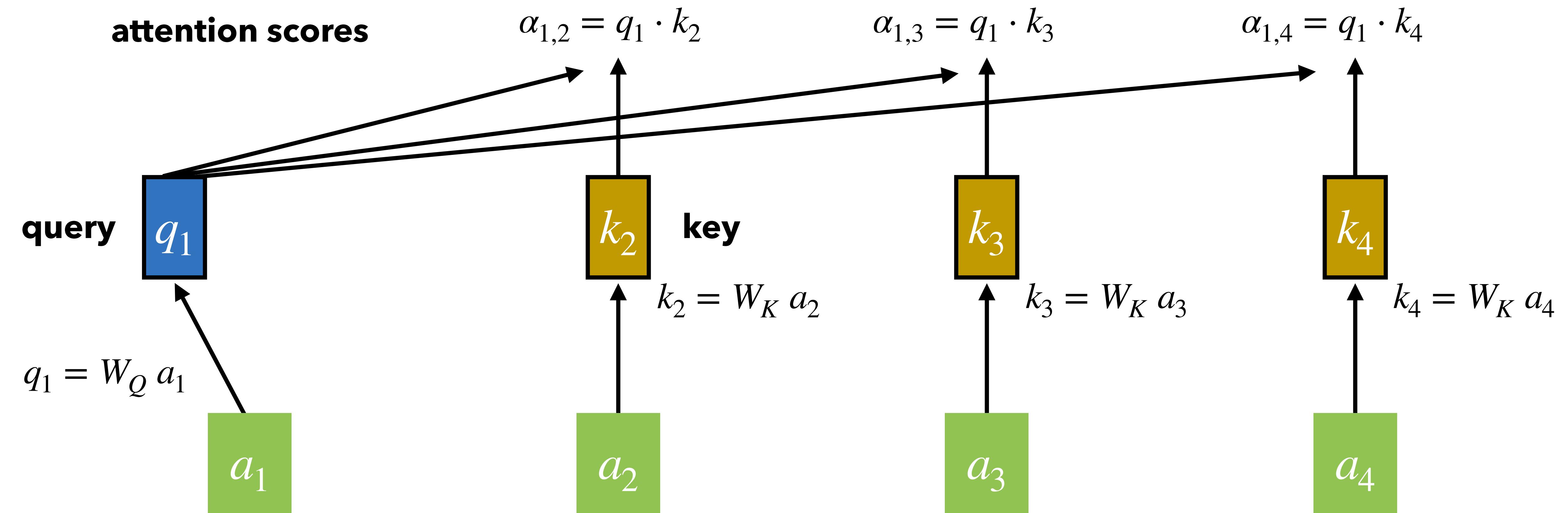
Method 1 (**most common**): Dot product

We'll use this!

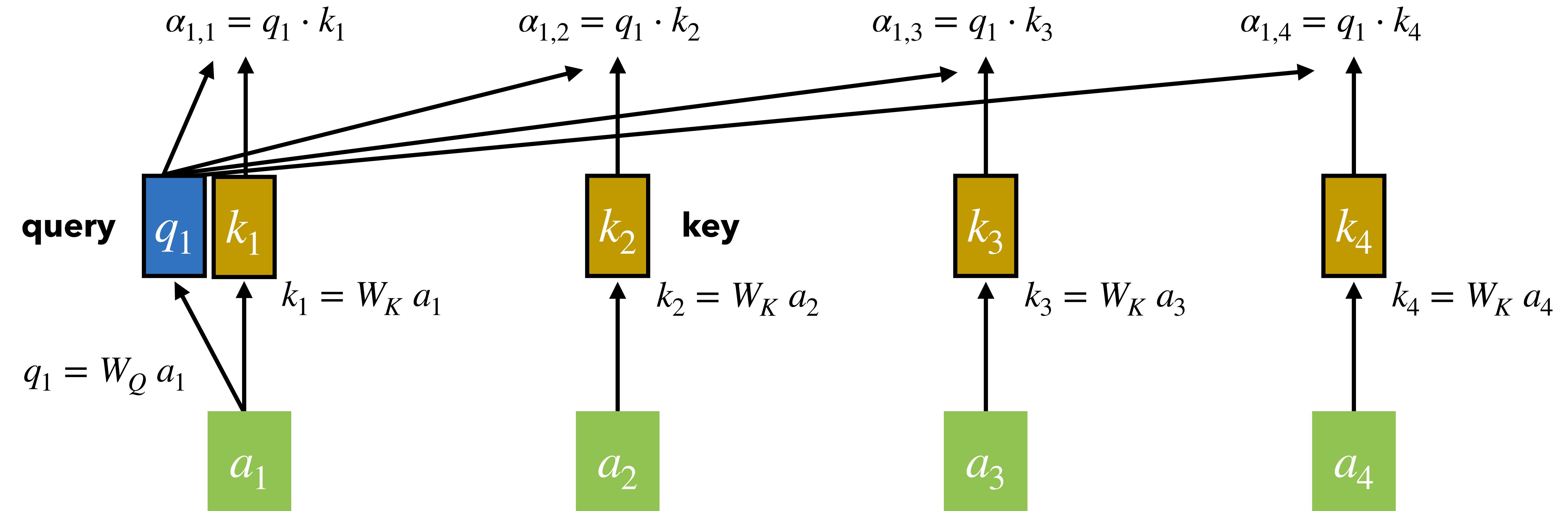


Method 2: **Additive**

Self-Attention: Walk-through

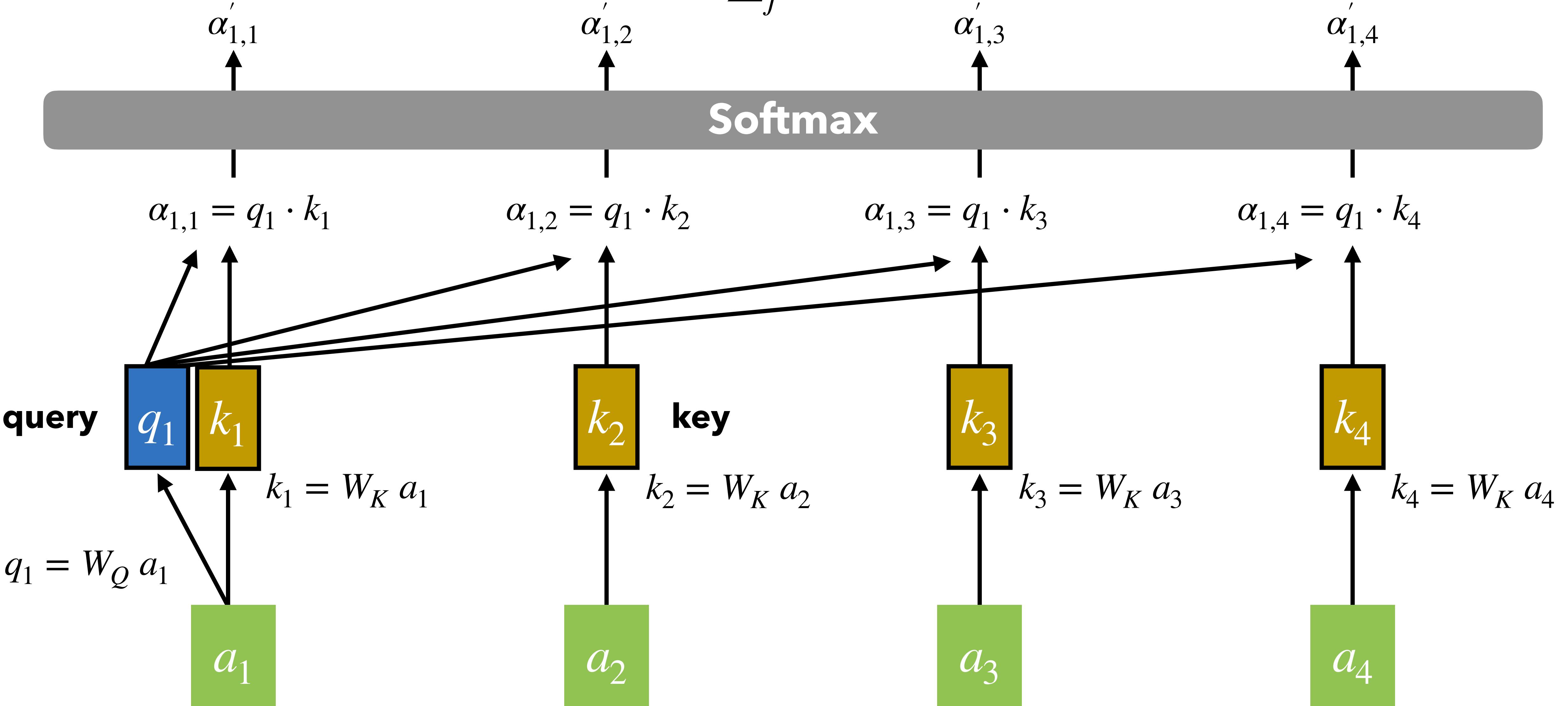


Self-Attention:Walk-through

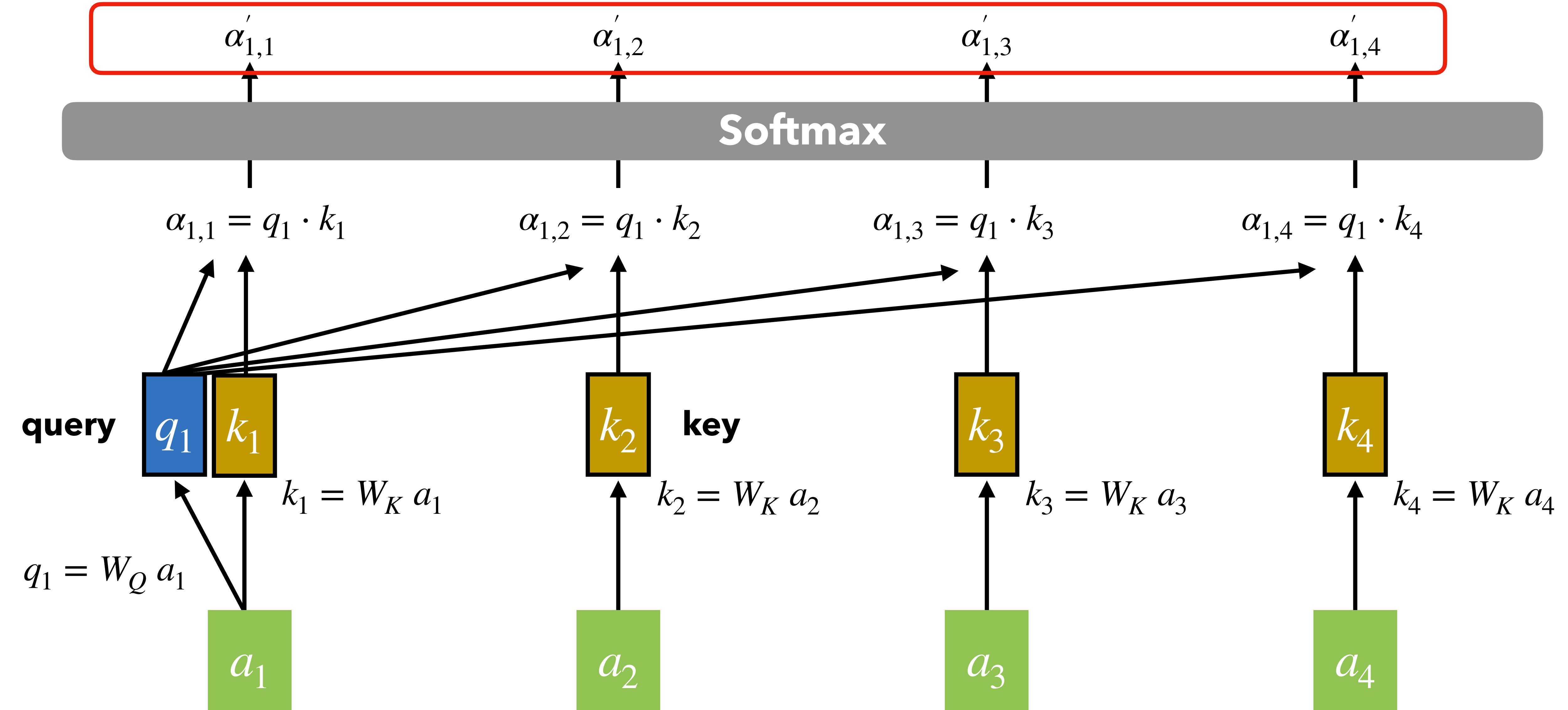


$$\alpha'_{1,i} = \frac{e^{\alpha_{1,i}}}{\sum_j e^{\alpha_{1,j}}}$$

Softmax

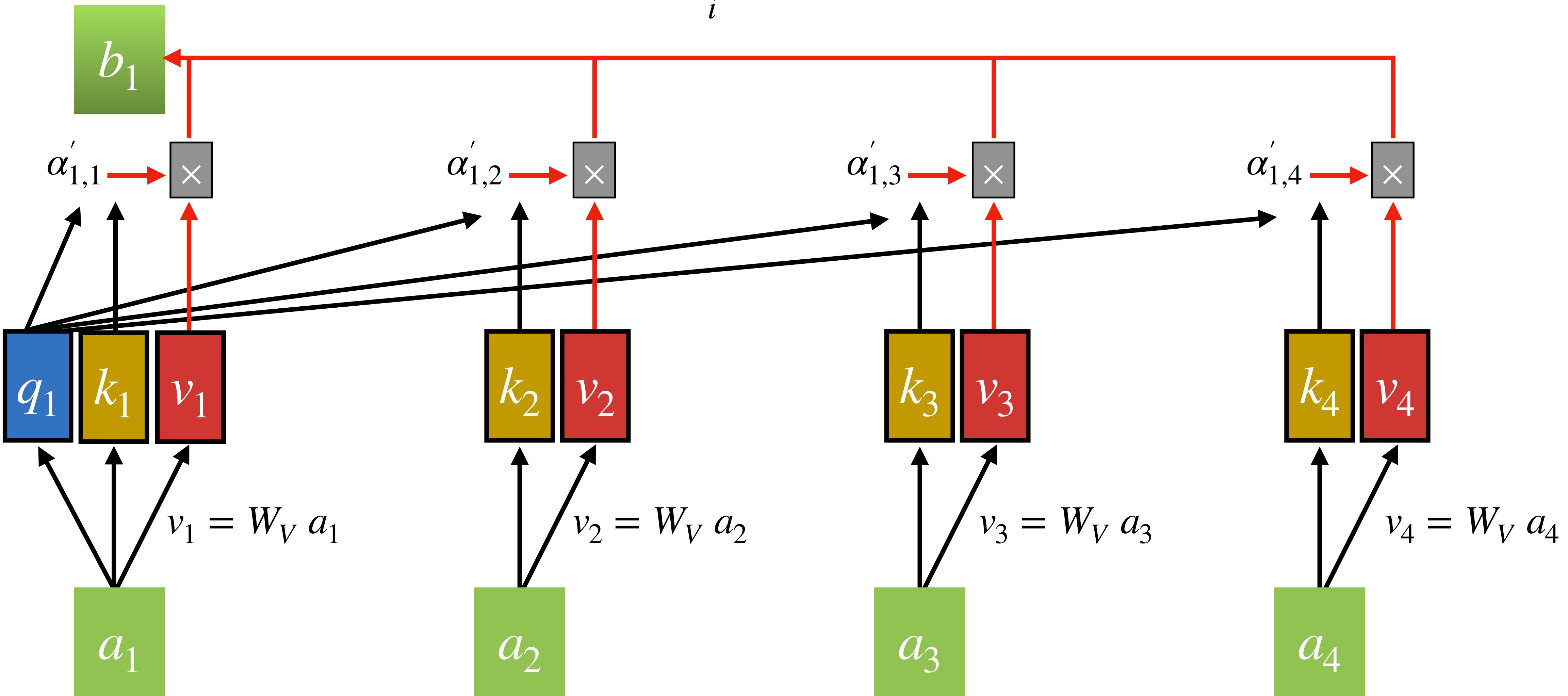


Denote how relevant each token are to a_1 !
Use attention scores to extract information



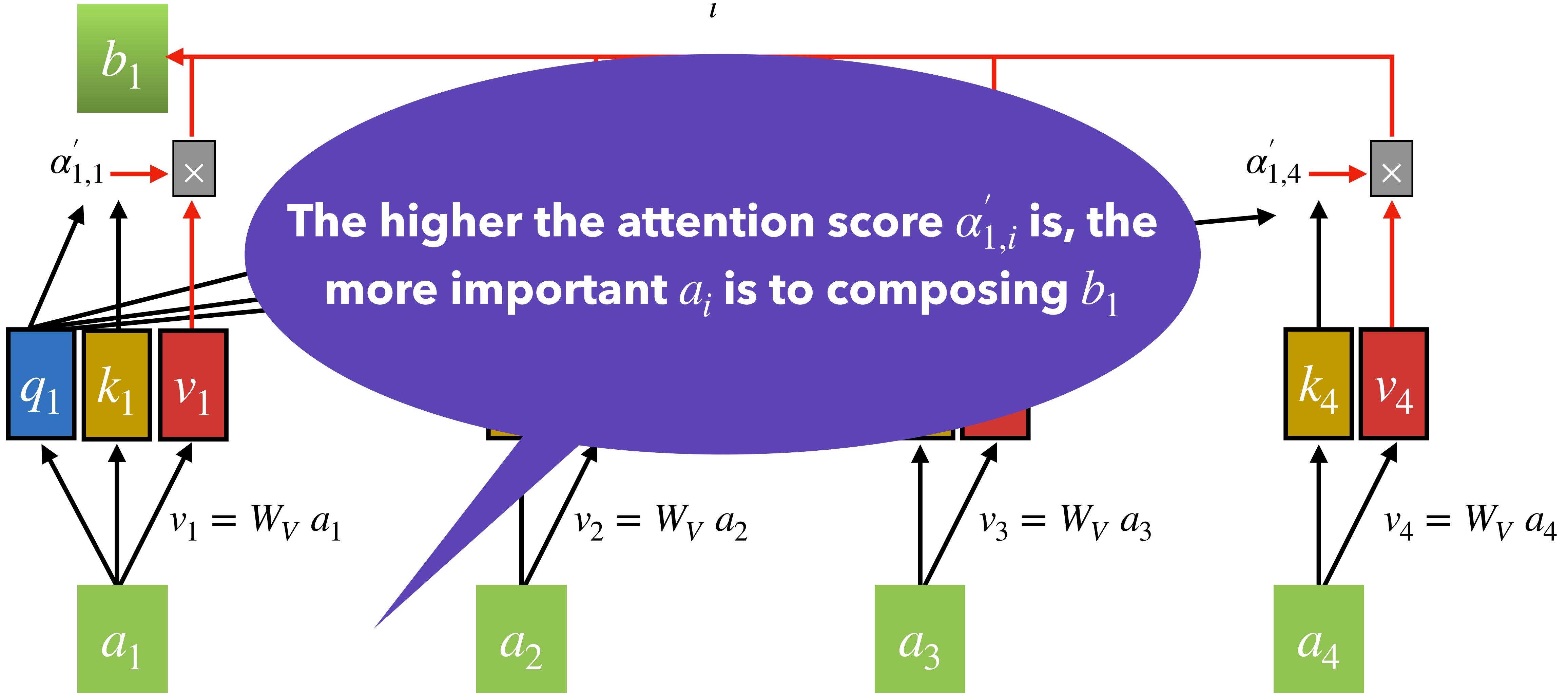
Use attention scores to extract information

$$b_1 = \sum_i \alpha'_{1,i} v_i$$

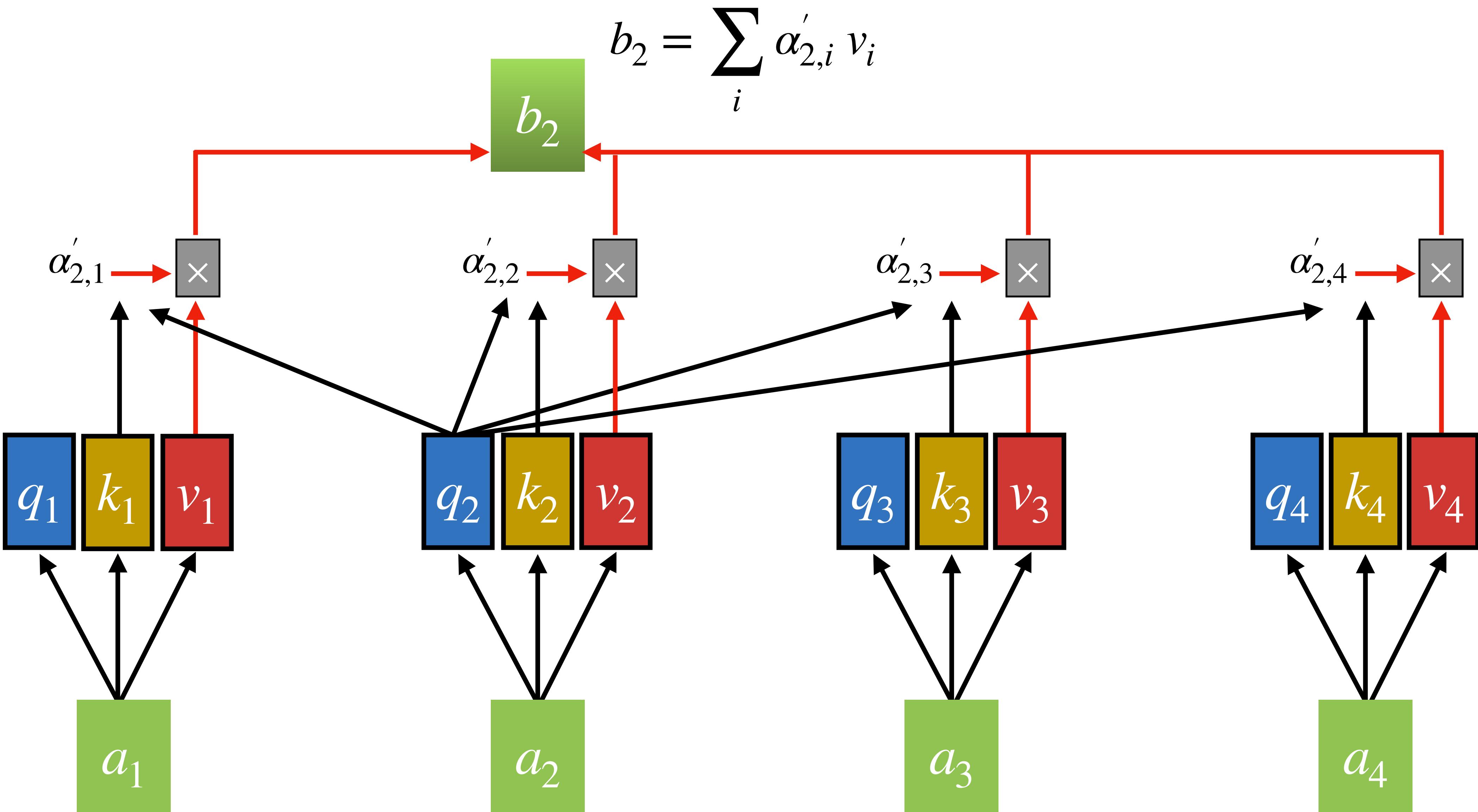


Use attention scores to extract information

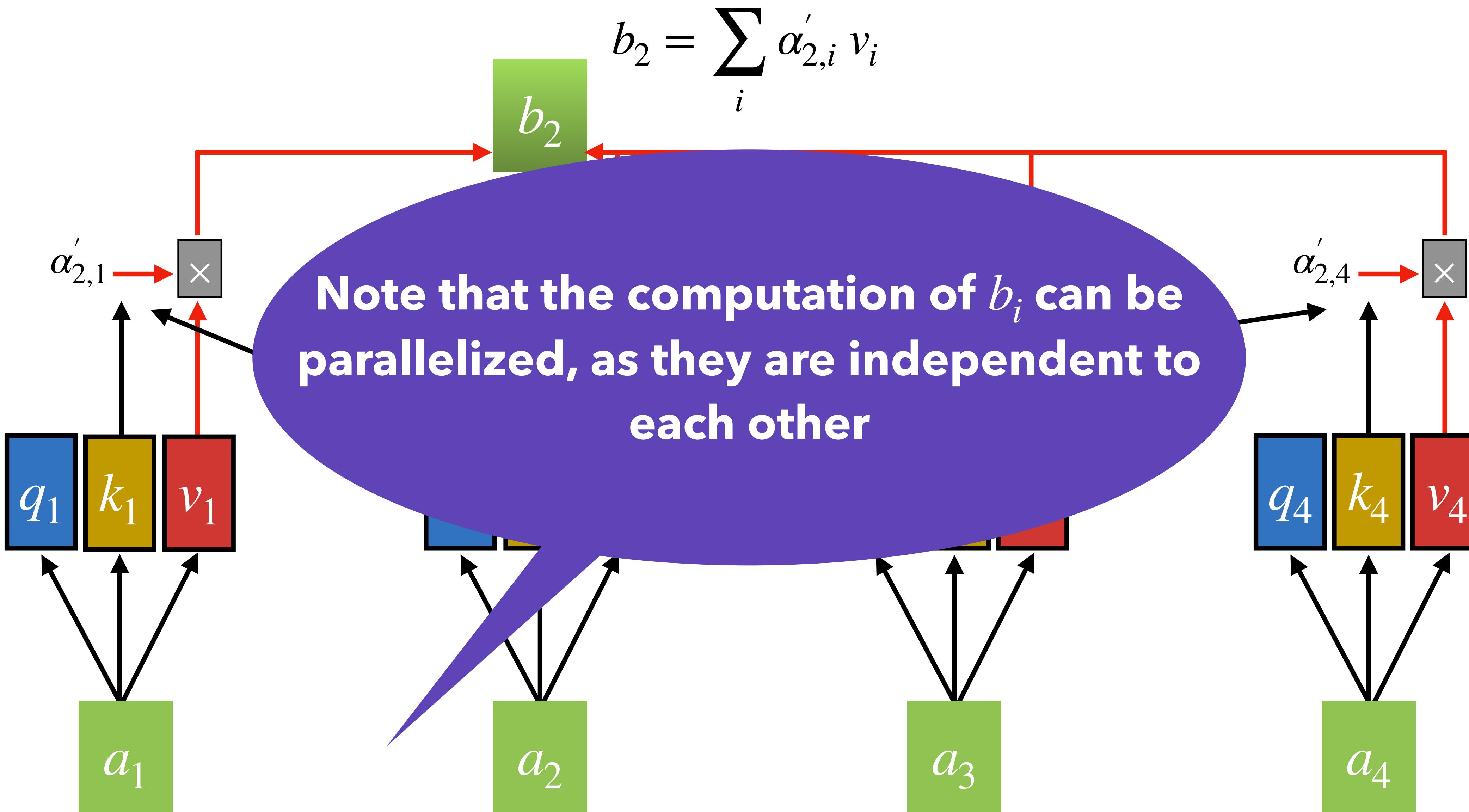
$$b_1 = \sum_i \alpha'_{1,i} v_i$$



Repeat the same calculation for all a_i to obtain b_i

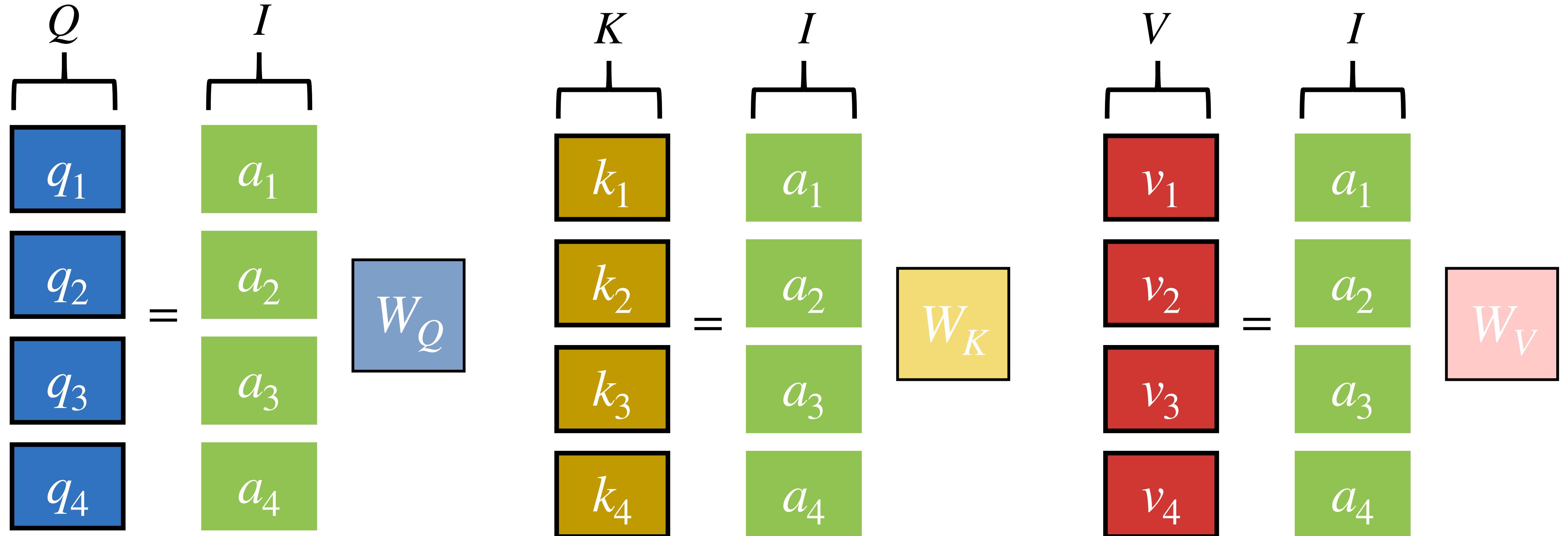


Repeat the same calculation for all a_i to obtain b_i



Parallelize the computation!

QKV



Parallelize the computation!

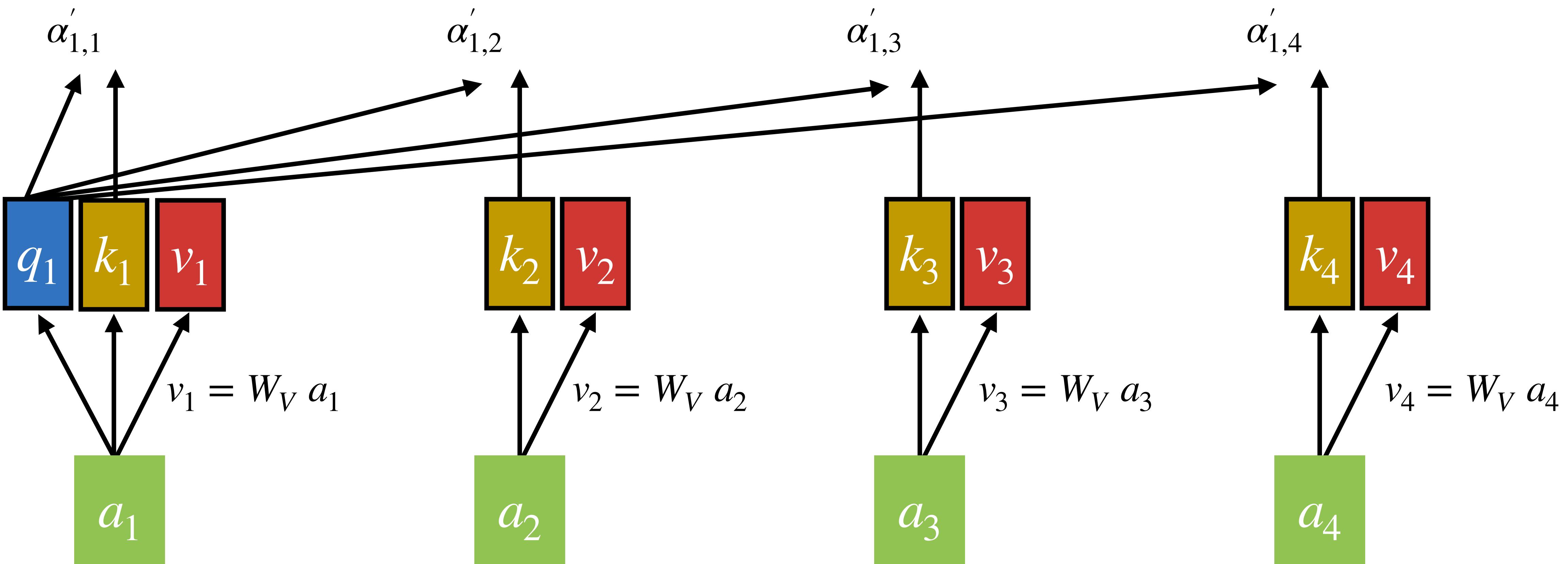
Attention Scores

$$\alpha_{1,1} \quad \alpha_{1,2} \quad \alpha_{1,3} \quad \alpha_{1,4}$$

$$q_1$$

=

$$k_1 \quad k_2 \quad k_3 \quad k_4$$



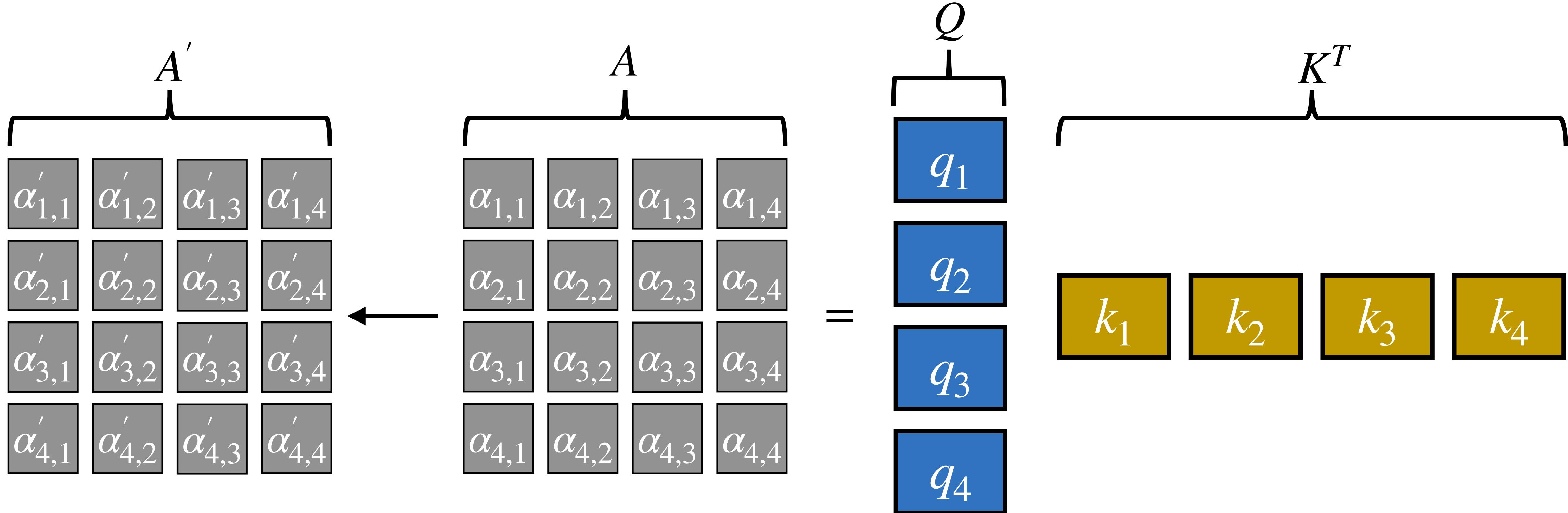
Parallelize the computation!

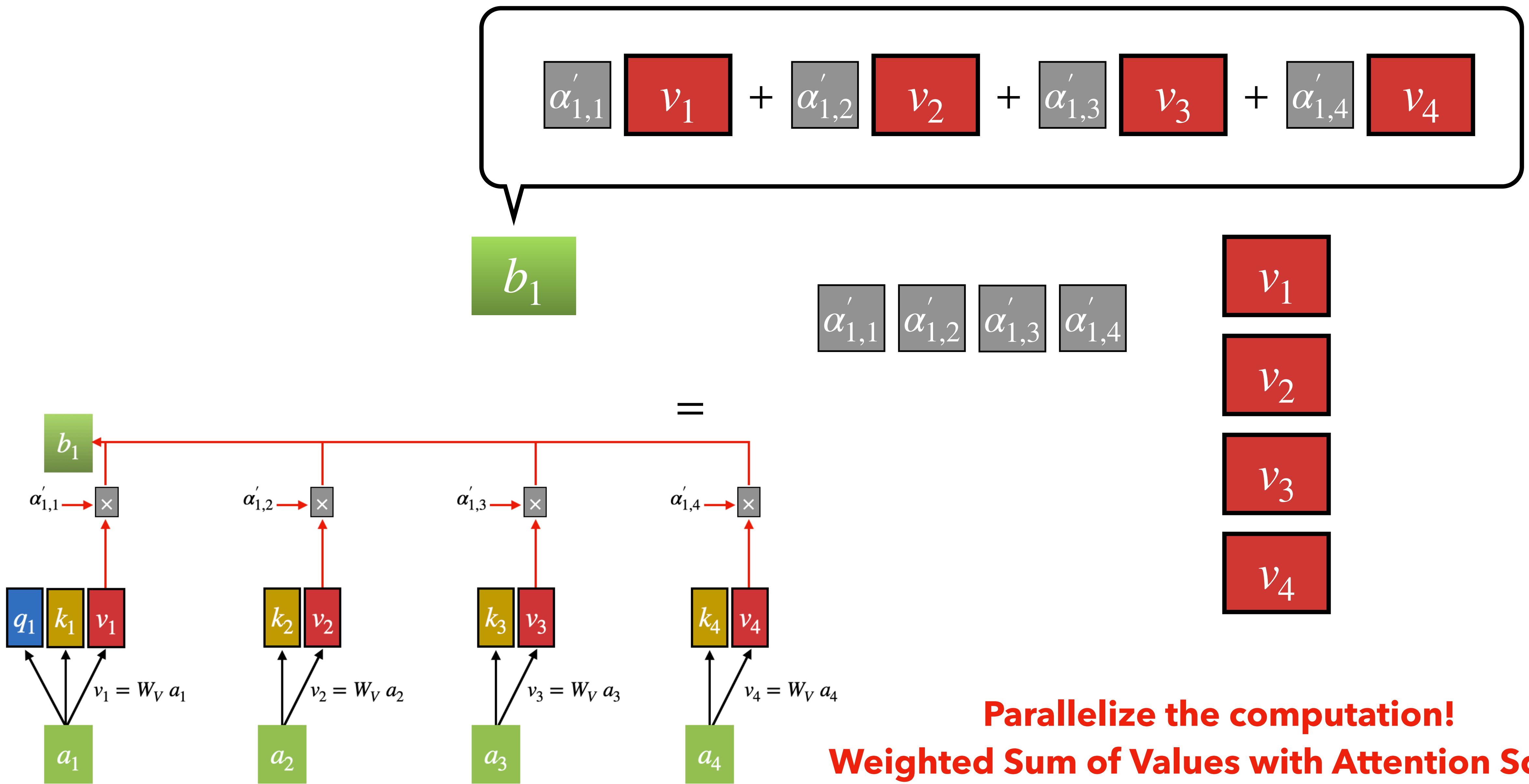
Attention Scores

$$\alpha_{1,1} \quad \alpha_{1,2} \quad \alpha_{1,3} \quad \alpha_{1,4} = q_1 \quad k_1 \quad k_2 \quad k_3 \quad k_4$$

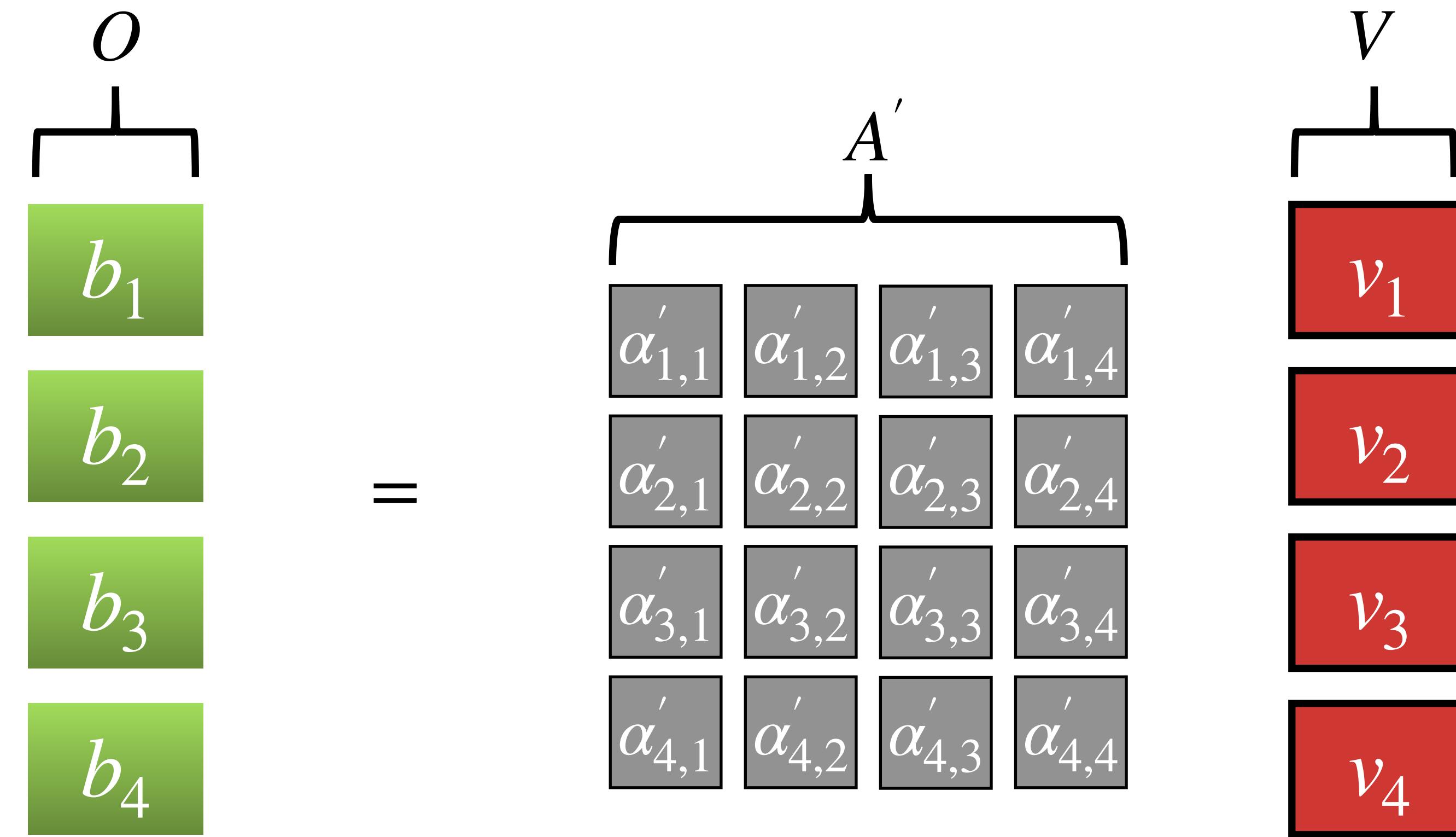
Parallelize the computation!

Attention Scores





Parallelize the computation!

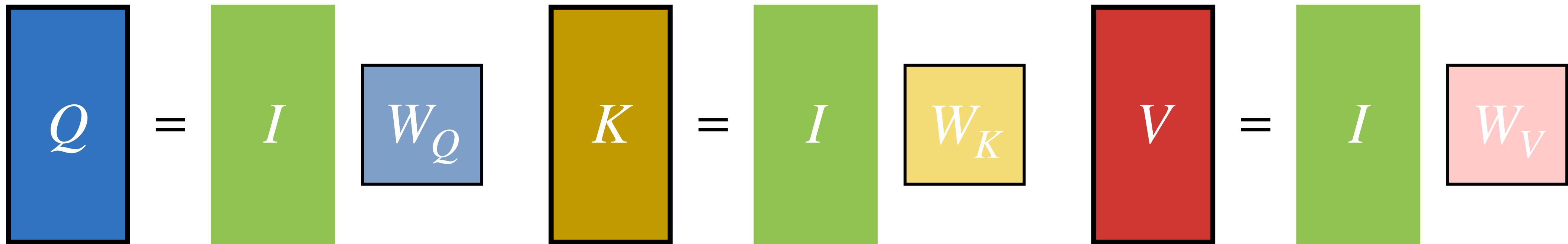


Parallelize the computation!
Weighted Sum of Values with Attention Scores

$$Q = I W_Q$$

$$K = I W_K$$

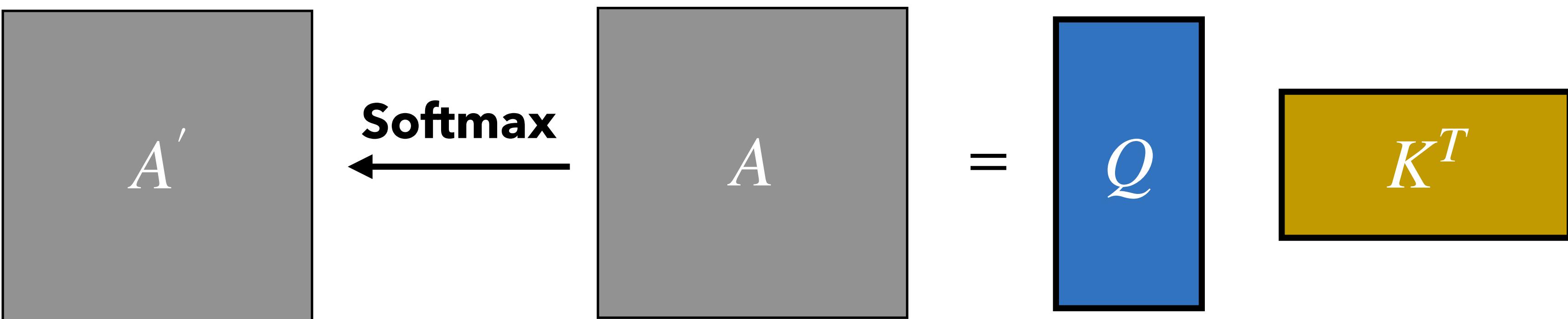
$$V = I W_V$$



$$A = Q K^T$$

$$A = I W_Q (I W_K)^T = I W_Q W_K^T I^T$$

$$A' = \text{softmax}(A)$$



$$O = A' V$$

The Matrices Form of Self-Attention

$$Q = I W_Q$$

$$K = I W_K$$

$$V = I W_V$$

$I = \{a_1, \dots, a_n\} \in \mathbb{R}^{n \times d}$, where $a_i \in \mathbb{R}^d$

$W_Q, W_K, W_V \in \mathbb{R}^{d \times d}$

$Q, K, V \in \boxed{?}$

$$A = Q K^T$$

$$A = I W_Q (I W_K)^T = I W_Q W_K^T I^T$$

$$A' = \text{softmax}(A)$$

$A', A \in \boxed{?}$

$$O = A' V$$

$O \in \boxed{?}$

Dimensions?

The Matrices Form of Self-Attention

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$$\left. \begin{array}{l} I = \{a_1, \dots, a_n\} \in \mathbb{R}^{n \times d}, \text{ where } a_i \in \mathbb{R}^d \\ W_Q, W_K, W_V \in \mathbb{R}^{d \times d} \\ Q, K, V \in \mathbb{R}^{n \times d} \end{array} \right\}$$

$$\left. \begin{array}{l} A', A \in \mathbb{R}^{n \times n} \end{array} \right\}$$

$$\left. \begin{array}{l} O \in \mathbb{R}^{n \times d} \end{array} \right\}$$

Dimensions?

Self-Attention: Summary

Let $w_{1:n}$ be a sequence of words in vocabulary V , like *Steve Jobs founded Apple*.

For each w_i , let $a_i = Ew_i$, where $E \in \mathbb{R}^{d \times |V|}$ is an embedding matrix.

1. Transform each word embedding with weight matrices W_Q, W_K, W_V , each in $\mathbb{R}^{d \times d}$

$$q_i = W_Q a_i \text{ (**queries**)} \quad k_i = W_K a_i \text{ (**keys**)} \quad v_i = W_V a_i \text{ (**values**)}$$

2. Compute pairwise similarities between keys and queries; normalize with softmax

$$\alpha'_{i,j} = \frac{e^{\alpha_{i,j}}}{\sum_j e^{\alpha_{i,j}}}$$

3. Compute output for each word as weighted sum of values

$$b_i = \sum_j \alpha'_{i,j} v_j$$

Limitations and Solutions of Self-Attention



No Sequence Order



Position Embedding

No Nonlinearities



Adding Feed-forward Networks

Looking into the Future



Masking

Limitations and Solutions of Self-Attention



No Sequence Order



Position Embedding

No Nonlinearities



Adding Feed-forward Networks

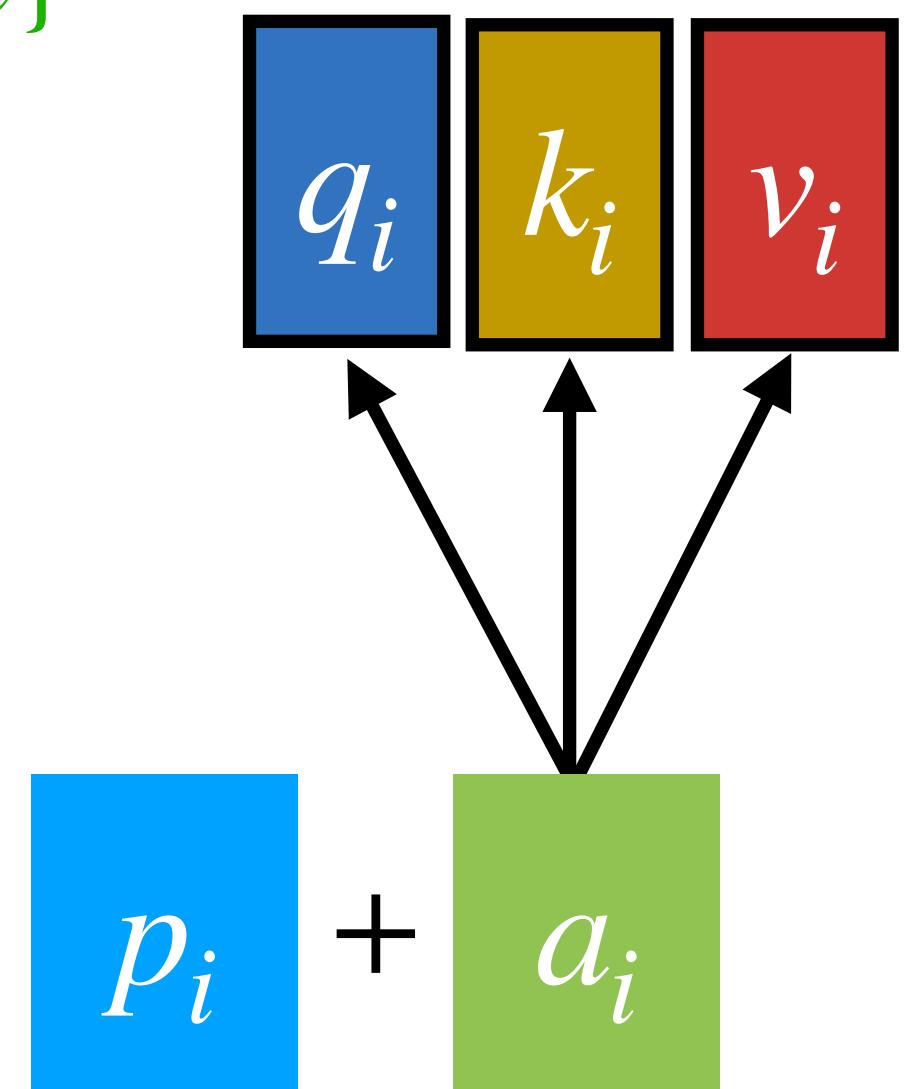
Looking into the Future



Masking

No Sequence Order → Position Embedding

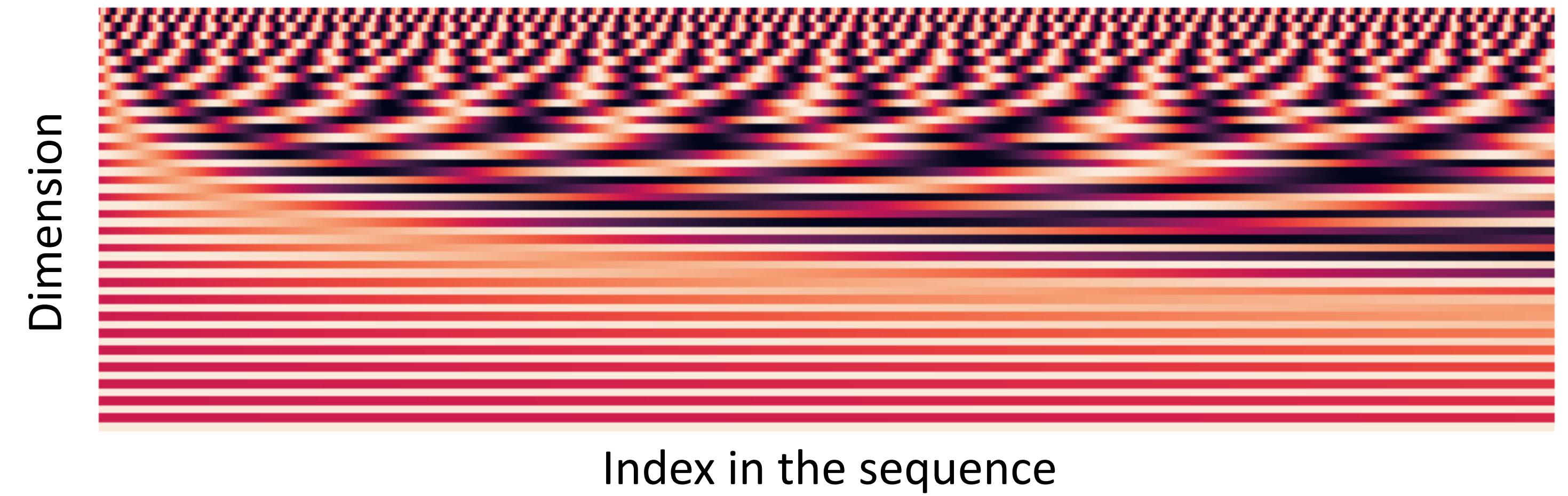
- All tokens in an input sequence are **simultaneously** fed into self-attention blocks. Thus, there's no difference between tokens at different positions.
 - **We lose the position info!**
- **How do we bring the position info back, just like in RNNs?**
 - **Representing each sequence index as a vector:** $p_i \in \mathbb{R}^d$, for $i \in \{1, \dots, n\}$
- **How to incorporate the position info into the self-attention blocks?**
 - **Just add the p_i to the input:** $\hat{a}_i = a_i + p_i$
 - where a_i is the embedding of the word at index i .
 - In deep self-attention networks, we do this at the **first layer**.
 - We can also concatenate a_i and p_i , but more commonly we add them.



Position Representation Vectors via Sinusoids

Sinusoidal Position Representations (from the original Transformer paper):
concatenate sinusoidal functions of varying periods.

$$p_i = \left\{ \begin{array}{l} \sin(i/10000^{2*1/d}) \\ \cos(i/10000^{2*1/d}) \\ \vdots \\ \vdots \\ \sin(i/10000^{2*\frac{d}{2}/d}) \\ \cos(i/10000^{2*\frac{d}{2}/d}) \end{array} \right\}$$



<https://timodenk.com/blog/linear-relationships-in-the-transformers-positional-encoding/>



- Periodicity indicates that maybe “absolute position” isn’t as important
- Maybe can extrapolate to longer sequences as periods restart!
- Not learnable; also the extrapolation doesn’t really work!



Learnable Position Representation Vectors

Learned absolute position representations: p_i contains learnable parameters.

- Learn a matrix $p \in \mathbb{R}^{d \times n}$, and let each p_i be a column of that matrix
- Most systems use this method.



- **Flexibility:** each position gets to be learned to fit the data



- Cannot extrapolate to indices outside $1, \dots, n$.

Sometimes people try more flexible representations of position:

- Relative linear position attention [[Shaw et al., 2018](#)]
- Dependency syntax-based position [[Wang et al., 2019](#)]

Limitations and Solutions of Self-Attention



No Sequence Order



Position Embedding

No Nonlinearities



Adding Feed-forward Networks

Looking into the Future



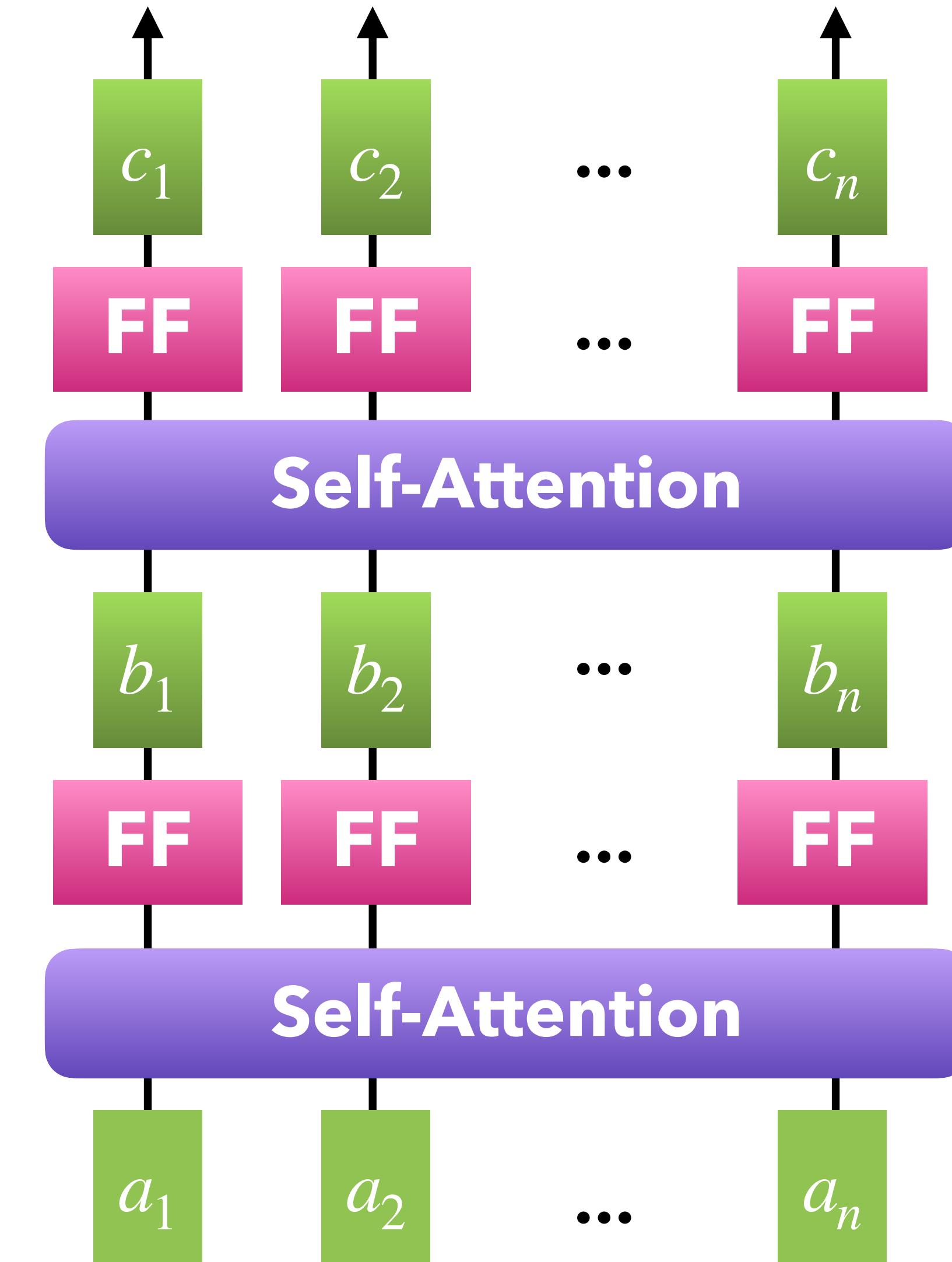
Masking

No Nonlinearities → Add Feed-forward Networks

There are **no element-wise nonlinearities** in self-attention; stacking more self-attention layers just re-averages value vectors.



Easy Fix: add a feed-forward network to post-process each output vector.



Limitations and Solutions of Self-Attention



No Sequence Order



Position Embedding

No Nonlinearities



Adding Feed-forward Networks

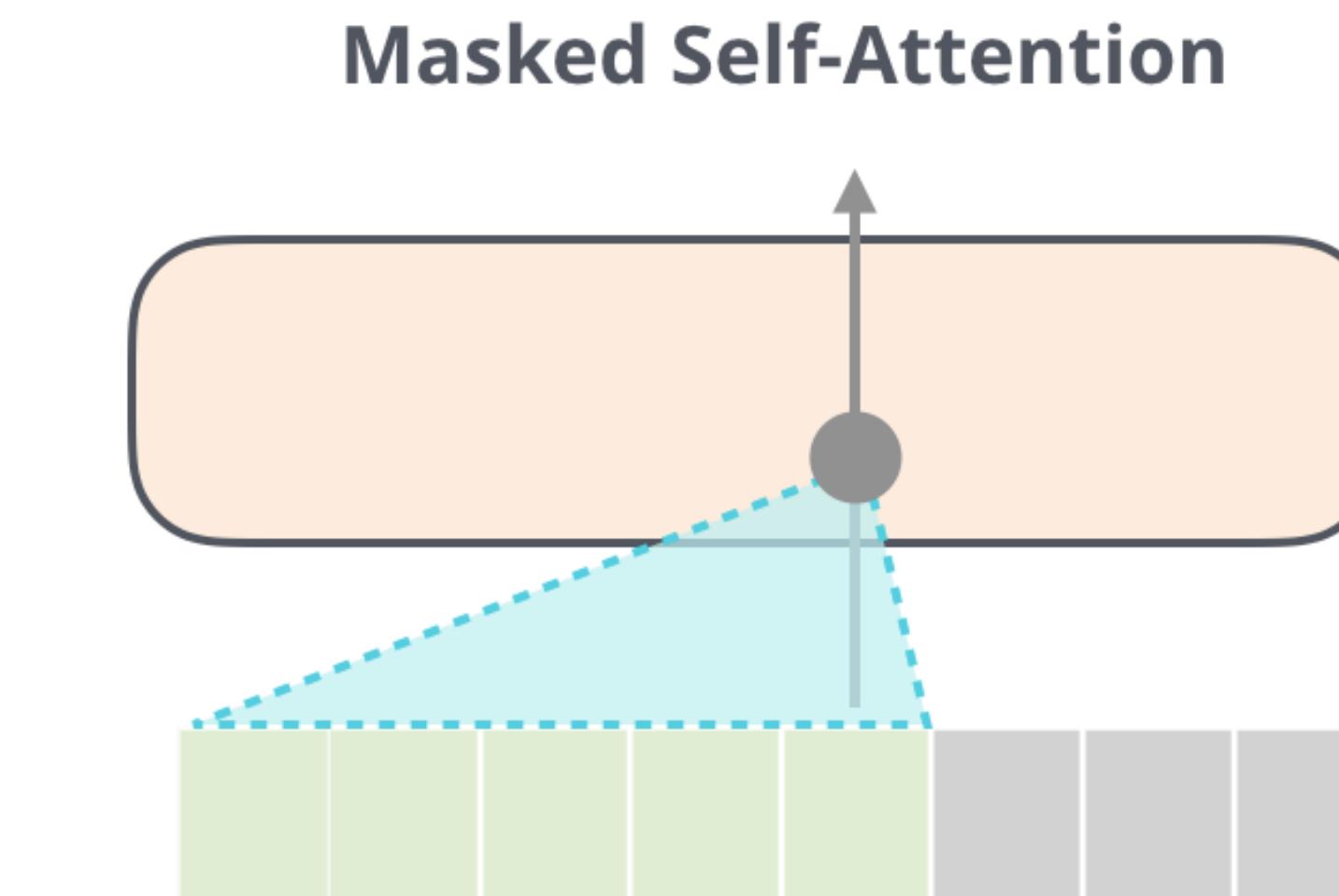
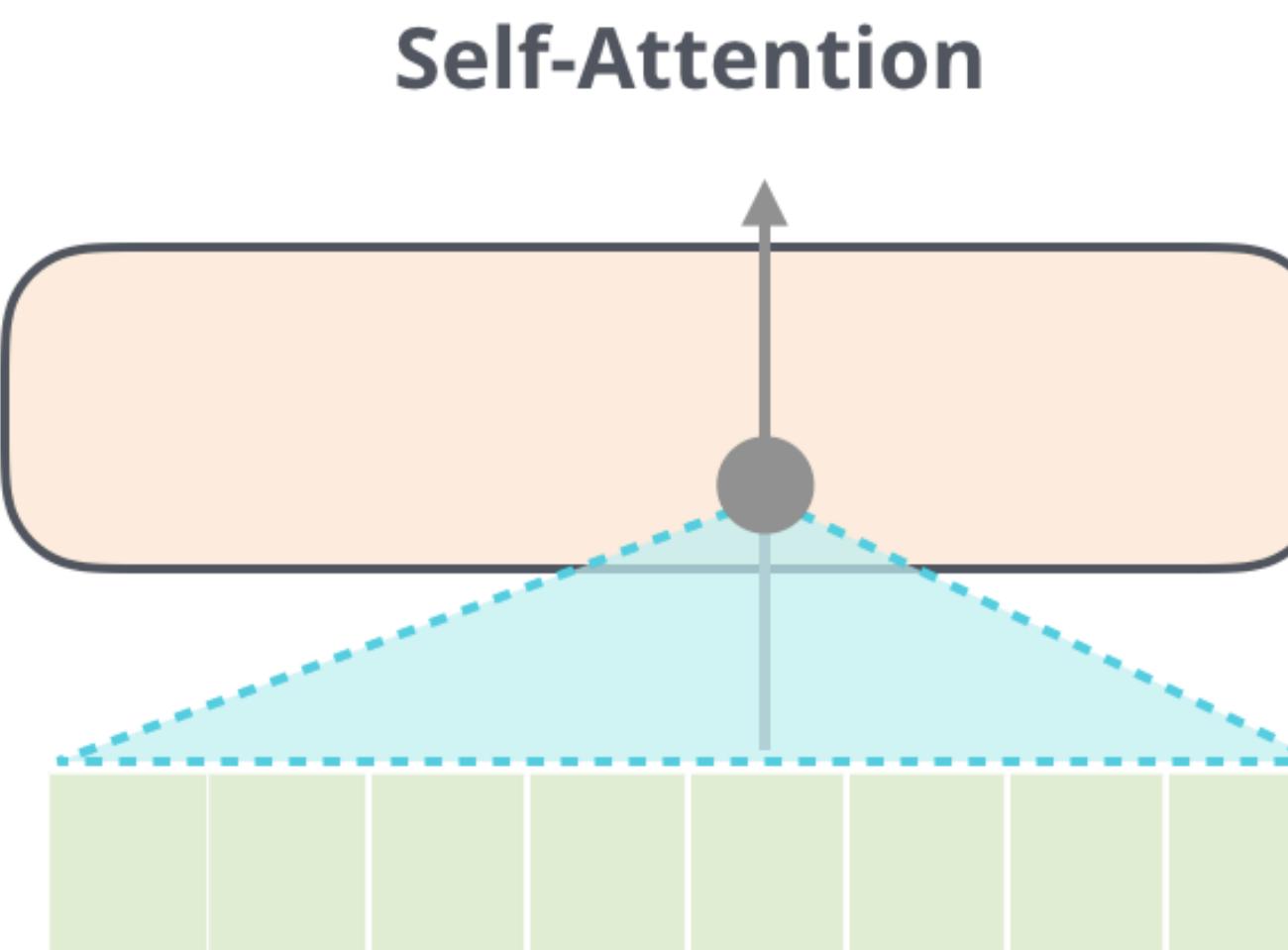
Looking into the Future



Masking

Looking into the Future → Masking

- In **decoders** (language modeling, producing the next word given previous context), we need to ensure we **don't** peek at the future.



Looking into the Future → Masking

- In **decoders** (language modeling, producing the next word given previous context), we need to ensure we **don't** peek at the future.
- To enable parallelization, we mask out attention to future words by setting attention scores to $-\infty$.

$$\alpha_{i,j} = \begin{cases} q_i k_j, j \leq i \\ -\infty, j > i \end{cases}$$

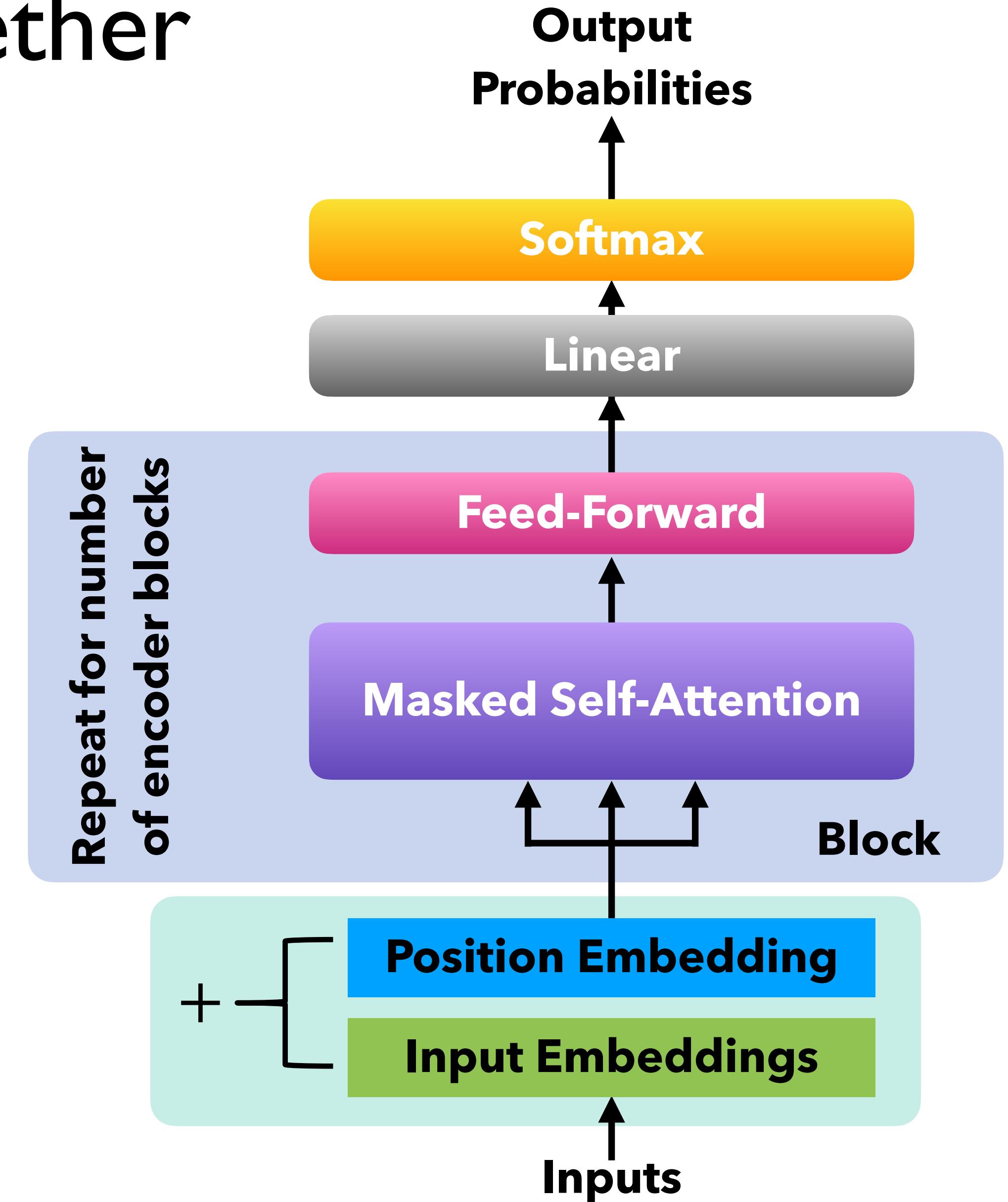
For encoding
these words

We can look at these (not
greyed out) words

[START]	The	chef	who
	−∞	−∞	−∞
		−∞	−∞
			−∞

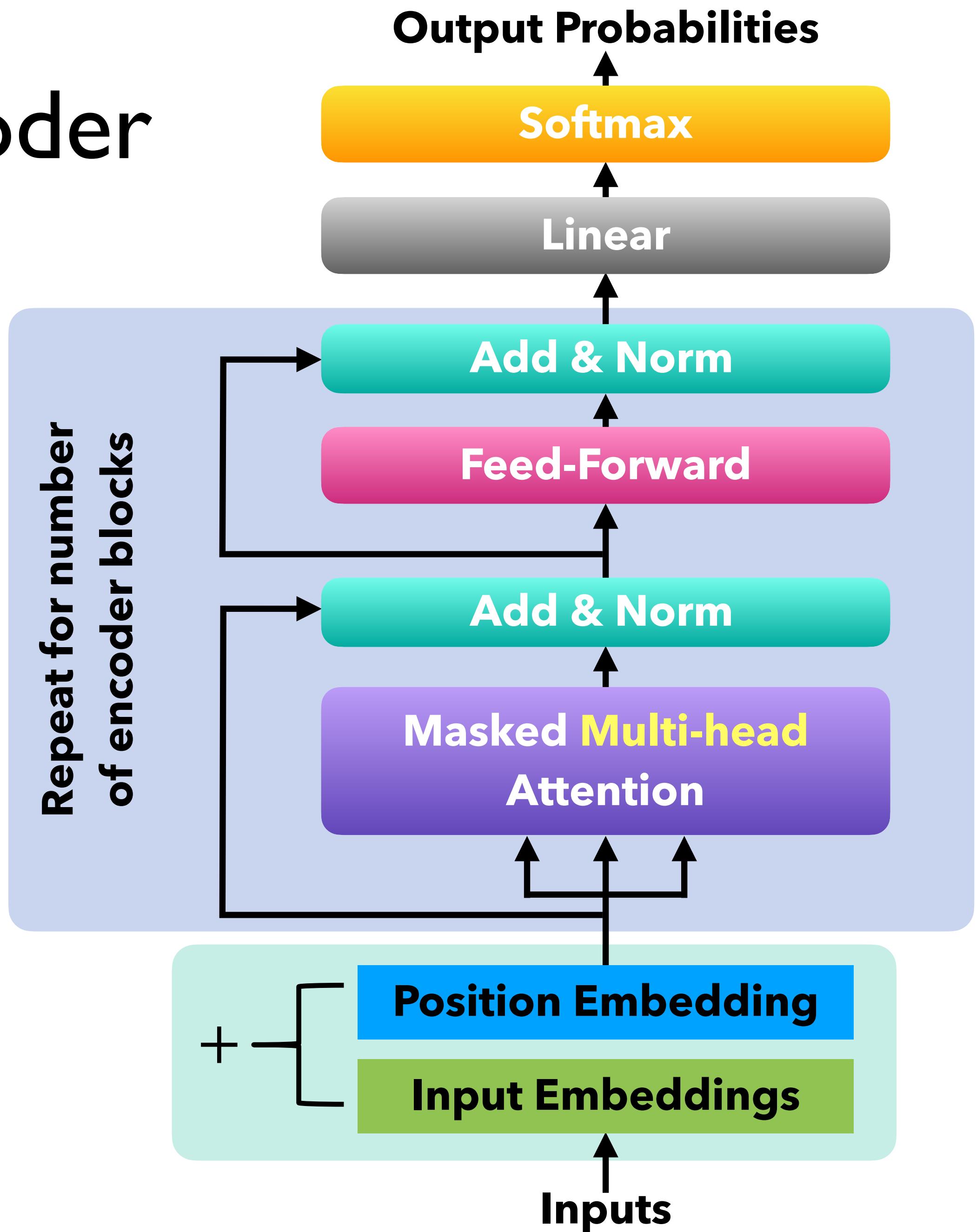
Now We Put Things Together

- **Self-attention**
 - The basic computation
- **Positional Encoding**
 - Specify the sequence order
- **Nonlinearities**
 - Adding a feed-forward network at the output of the self-attention block
- **Masking**
 - Parallelize operations (looking at all tokens) while not leaking info from the future



The Transformer Decoder

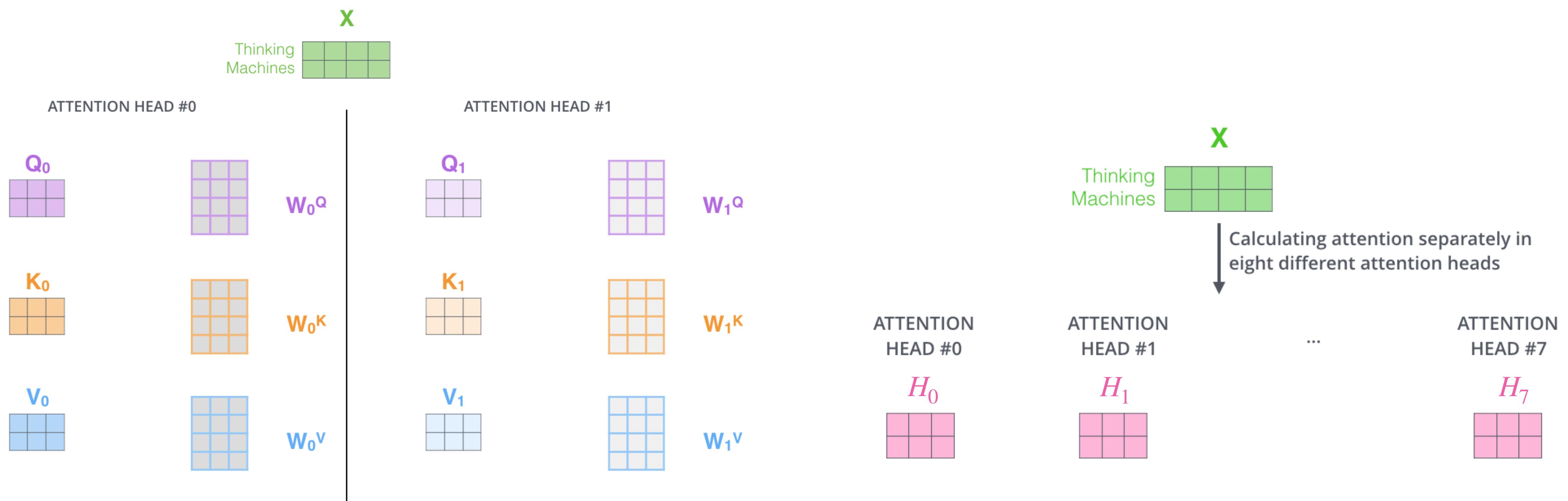
- A **Transformer decoder** is what we use to build systems like language models.
- It's a lot like our minimal self-attention architecture, but with a few more components.
 - **Residual connection ("Add")**
 - **Layer normalization ("Norm")**
- Replace self-attention with **multi-head self-attention**.



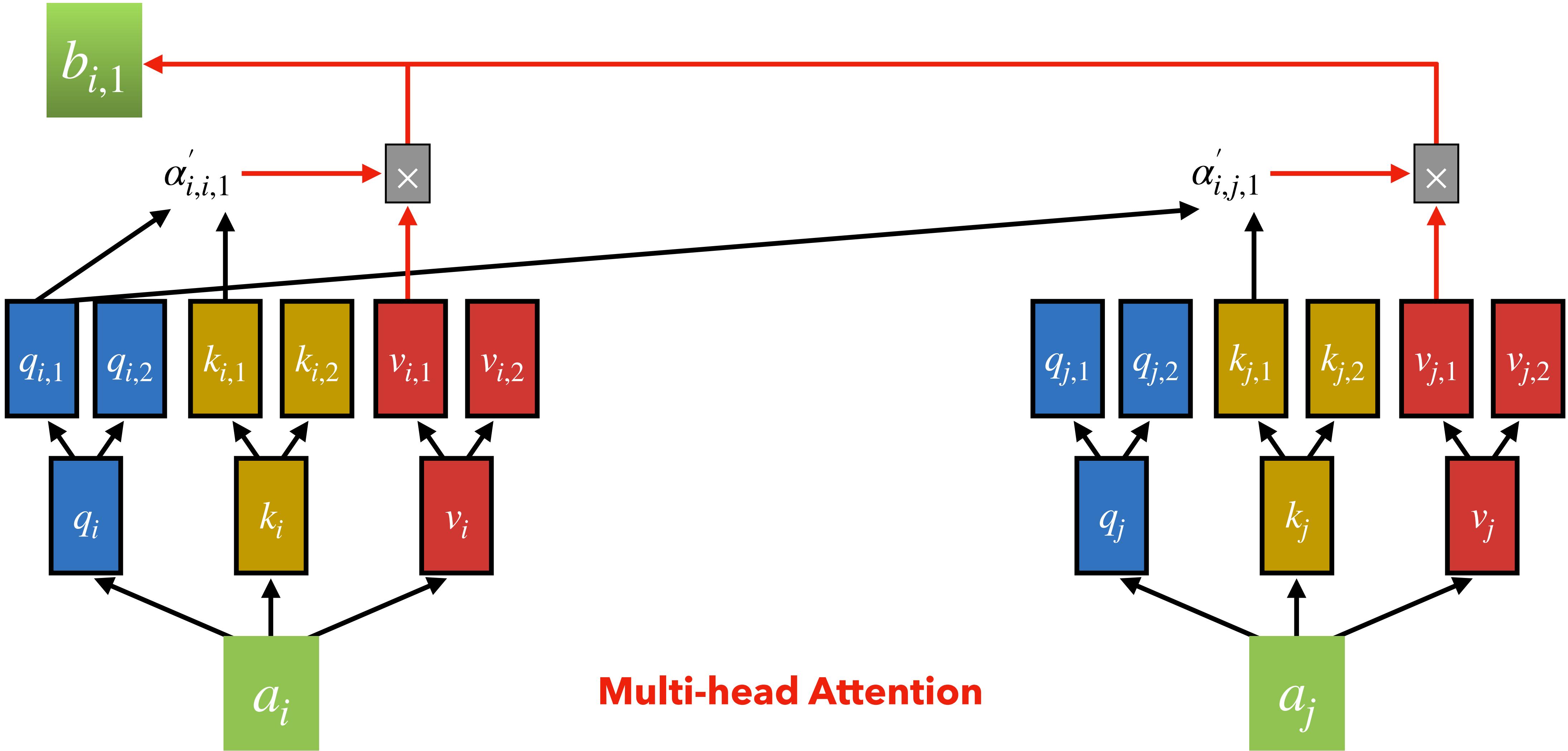
Multi-head Attention

“The Beast with Many Heads”

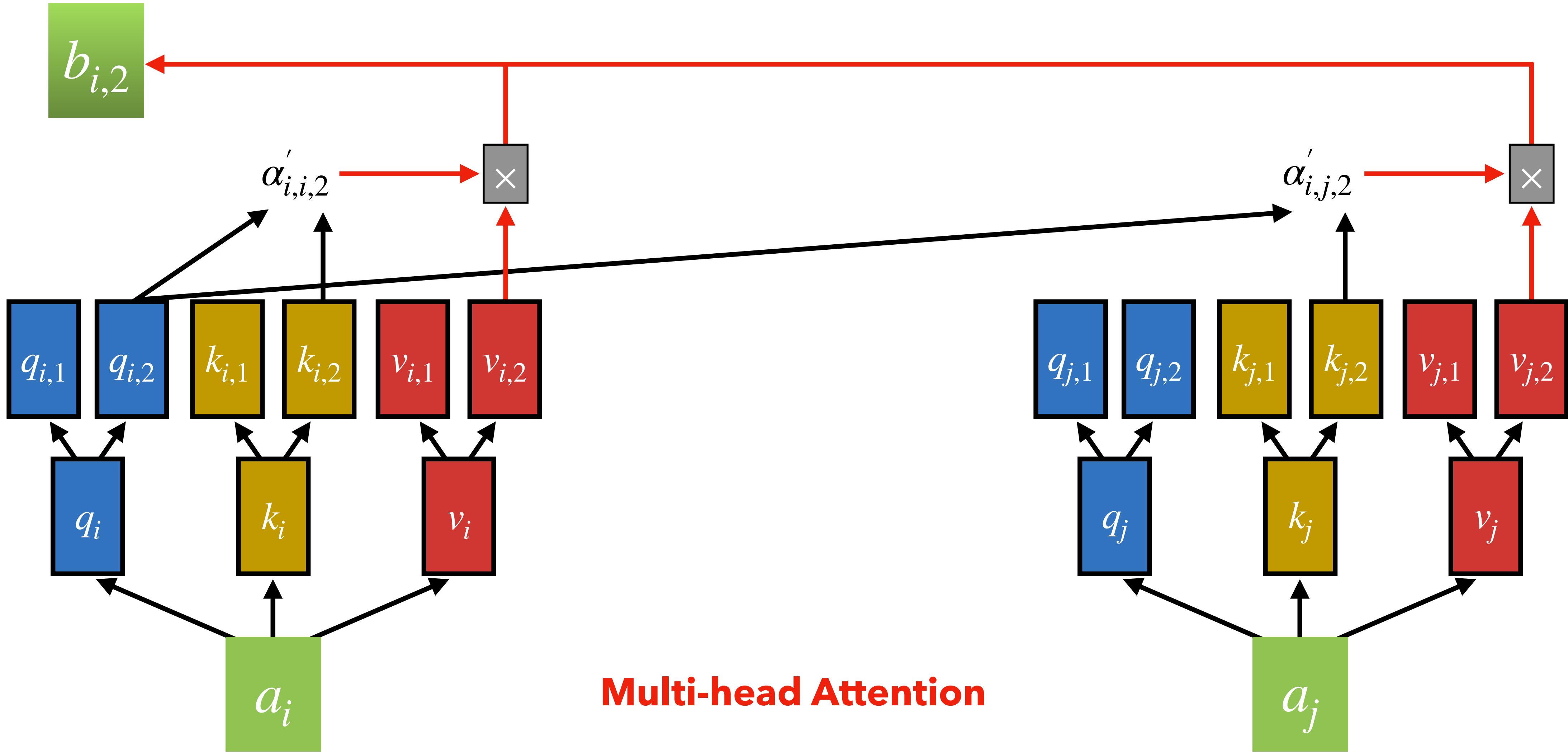
- It is better to use multiple attention functions instead of one!
 - Each attention function (“head”) can focus on different positions.

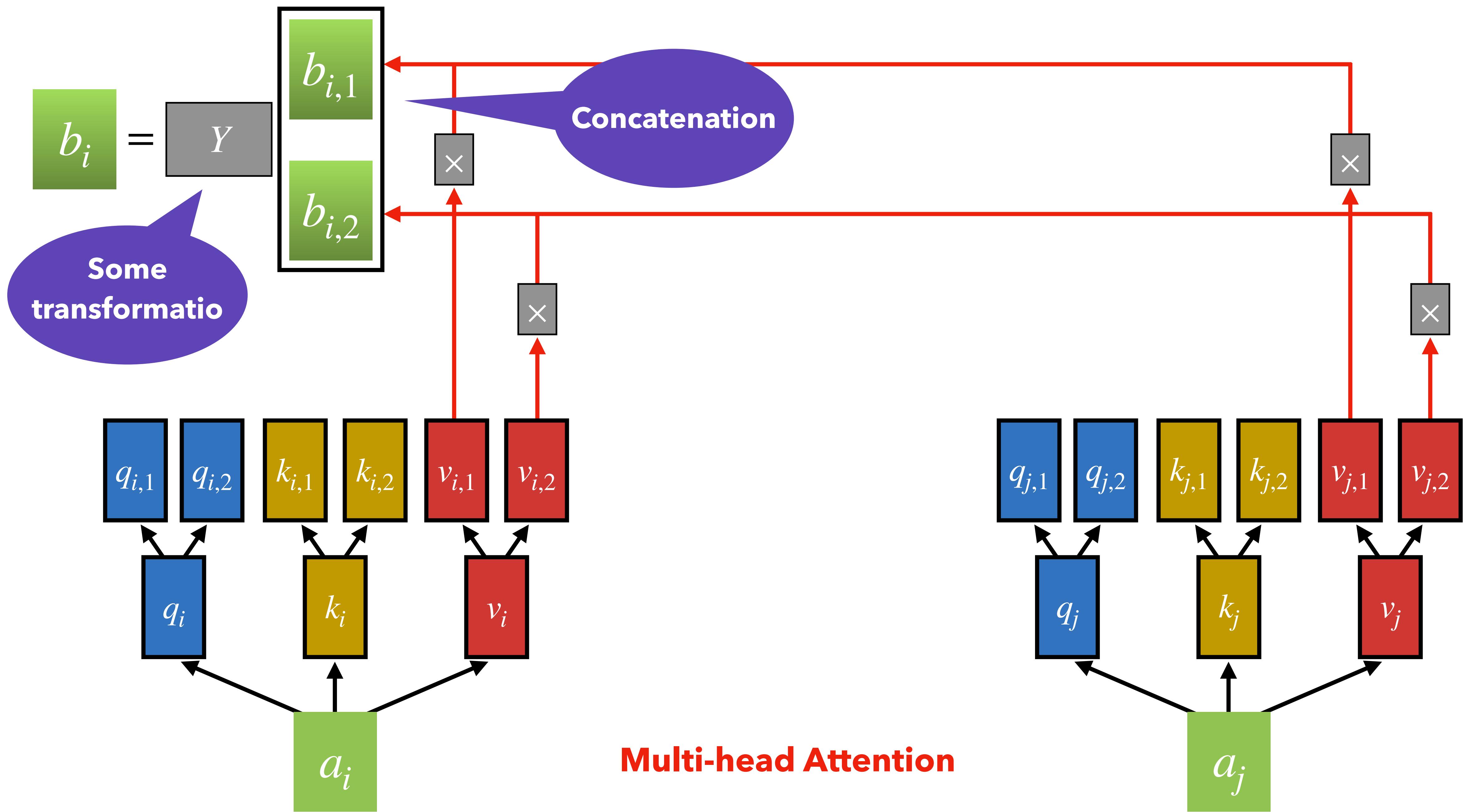


Multi-Head Attention: Walk-through



Multi-Head Attention:Walk-through





Recall the Matrices Form of Self-Attention

$$Q = I W_Q$$

$$K = I W_K$$

$$V = I W_V$$

$$A = Q K^T$$

$$A = I W_Q (I W_K)^T = I W_Q W_K^T I^T$$

$$A' = \text{softmax}(A)$$

$$O = A' V$$

$$\left. \begin{array}{l} I = \{a_1, \dots, a_n\} \in \mathbb{R}^{n \times d}, \text{ where } a_i \in \mathbb{R}^d \\ W_Q, W_K, W_V \in \mathbb{R}^{d \times d} \\ Q, K, V \in \mathbb{R}^{n \times d} \end{array} \right\}$$

$$\left. \begin{array}{l} A', A \in \mathbb{R}^{n \times n} \end{array} \right\}$$

$$\left. \begin{array}{l} O \in \mathbb{R}^{n \times d} \end{array} \right\}$$

Multi-head Attention in Matrices

- Multiple attention “heads” can be defined via multiple W_Q, W_K, W_V matrices
- Let $W_Q^l, W_K^l, W_V^l \in \mathbb{R}^{d \times \frac{d}{h}}$, where h is the number of attention heads, and l ranges from 1 to h .
- Each attention head performs attention independently:
 - $O^l = \text{softmax}(I W_Q^l {W_K^l}^T I^T) I W_V^l$
- Concatenating different O^l from different attention heads.
 - $O = [O^1; \dots; O^n] Y$, where $Y \in \mathbb{R}^{d \times d}$

The Matrices Form of Multi-head Attention

$$Q^l = I W_Q^l$$

$$K^l = I W_K^l$$

$$V^l = I W_V^l$$

$$A^l = Q^l K^{lT}$$

$$A^{l'} = \text{softmax}(A^l)$$

$$O^l = A^{l'} V^l$$

$$O = [O^1; \dots; O^h] Y$$

$$\left[\begin{array}{l} I = \{a_1, \dots, a_n\} \in \mathbb{R}^{n \times d}, \text{ where } a_i \in \mathbb{R}^d \\ W_Q^l, W_K^l, W_V^l \in \mathbb{R}^{d \times \frac{d}{h}} \\ Q^l, K^l, V^l \in \text{?} \end{array} \right]$$

$$\left[\begin{array}{l} A^{l'}, A^l \in \mathbb{R} \text{ ?} \end{array} \right]$$

$$\left[\begin{array}{l} O^l \in \mathbb{R} \text{ ?} \end{array} \right]$$

$$\left[\begin{array}{l} Y \in \mathbb{R}^{d \times d} \\ [O^1; \dots; O^h] \in \text{?} \\ O \in \mathbb{R} \text{ ?} \end{array} \right]$$

Dimensions?

The Matrices Form of Multi-head Attention

$$Q^l = I W_Q^l$$

$$K^l = I W_K^l$$

$$V^l = I W_V^l$$

$$A^l = Q^l K^{lT}$$

$$A^{l'} = \text{softmax}(A^l)$$

$$O^l = A^{l'} V^l$$

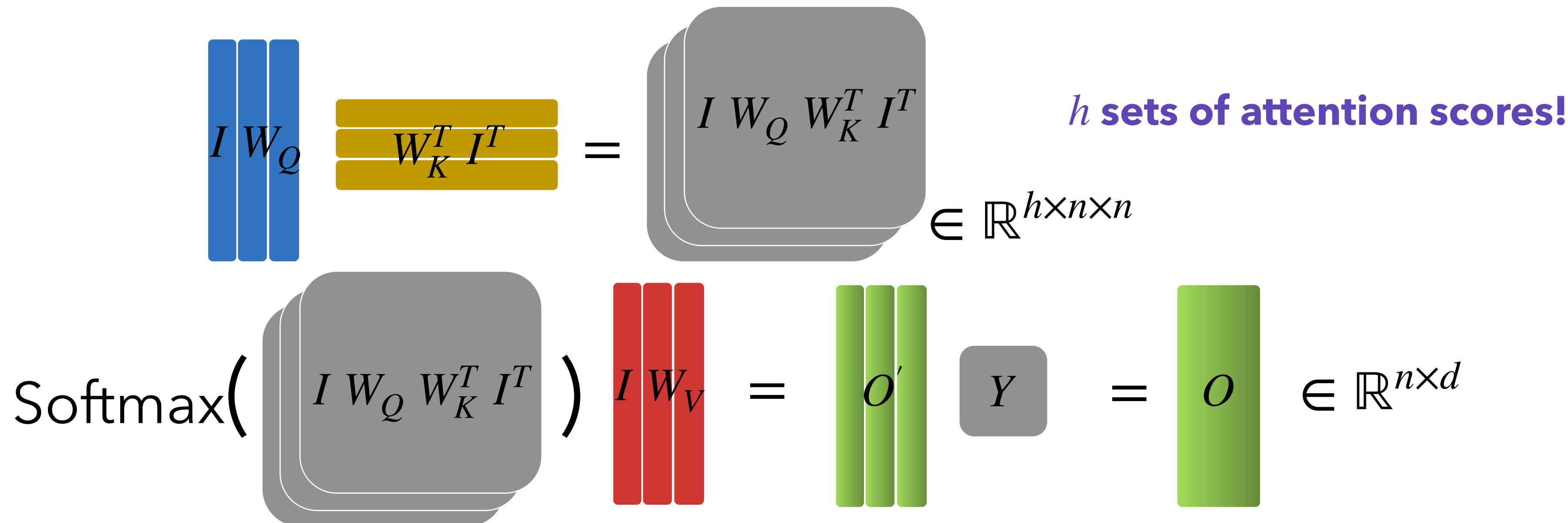
$$O = [O^1; \dots; O^h] Y$$

$$\left[\begin{array}{l} I = \{a_1, \dots, a_n\} \in \mathbb{R}^{n \times d}, \text{ where } a_i \in \mathbb{R}^d \\ W_Q^l, W_K^l, W_V^l \in \mathbb{R}^{d \times \frac{d}{h}} \\ Q^l, K^l, V^l \in \mathbb{R}^{n \times \frac{d}{h}} \\ \\ A^{l'}, A^l \in \mathbb{R}^{n \times n} \\ \\ O^l \in \mathbb{R}^{n \times \frac{d}{h}} \\ \\ Y \in \mathbb{R}^{d \times d} \\ [O^1; \dots; O^h] \in \mathbb{R}^{n \times d} \\ O \in \mathbb{R}^{n \times d} \end{array} \right]$$

Dimensions?

Multi-head Attention is Computationally Efficient

- Even though we compute h many attention heads, it's not more costly.
 - We compute $I W_Q \in \mathbb{R}^{n \times d}$, and then reshape to $\mathbb{R}^{n \times h \times \frac{d}{h}}$.
 - Likewise for $I W_K$ and $I W_V$.
 - Then we transpose to $\mathbb{R}^{h \times n \times \frac{d}{h}}$; **now the head axis is like a batch axis.**
 - Almost everything else is identical. All we need to do is to reshape the tensors!



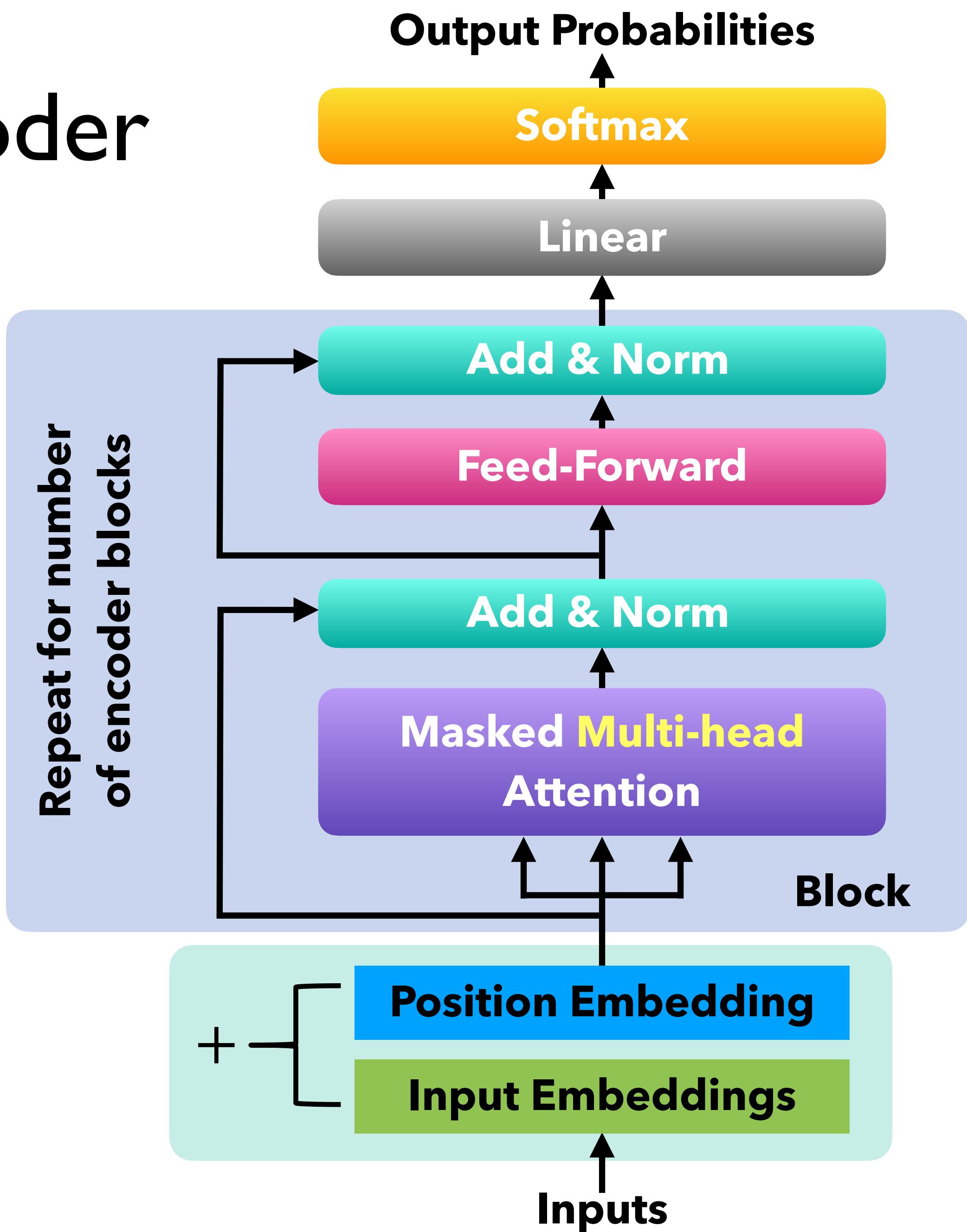
Scaled Dot Product

- “**Scaled Dot Product**” attention aids in training.
- When dimensionality d becomes large, dot products between vectors tend to become large.
 - Because of this, inputs to the softmax function can be large, making the gradients small.
- Instead of the self-attention function we’ve seen:
 - $O^l = \text{softmax}(I W_Q^l {W_K^l}^T I^T) I W_V^l$
 - **We divide the attention scores by $\sqrt{d/h}$** , to stop the scores from becoming large just as a function of d/h (the dimensionality divided by the number of heads).

$$O^l = \text{softmax}\left(\frac{I W_Q^l {W_K^l}^T I^T}{\sqrt{d/h}}\right) I W_V^l$$

The Transformer Decoder

- Now that we've replaced self-attention with multi-head self-attention, we'll go through two **optimization tricks**:
 - Residual connection ("Add")**
 - Layer normalization ("Norm")**

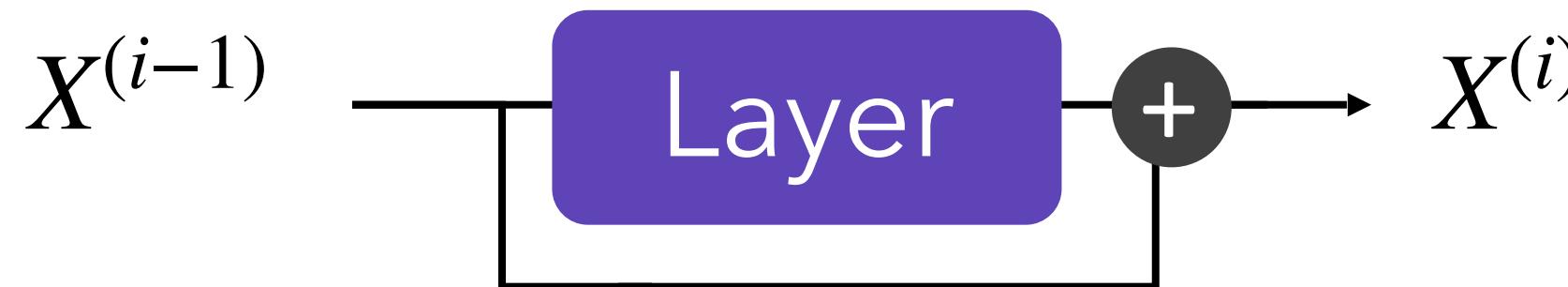


Residual Connections

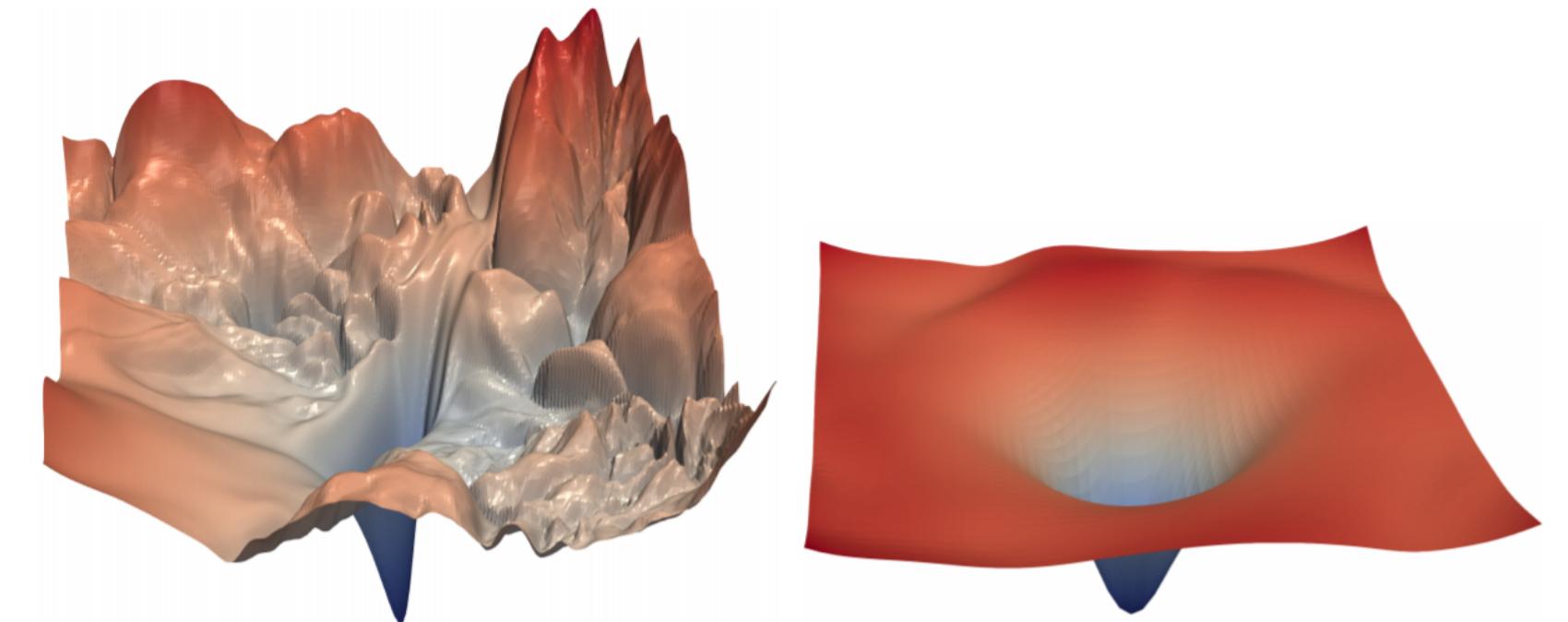
- Residual connections are a trick to help models train better.
 - Instead of $X^{(i)} = \text{Layer}(X^{(i-1)})$ (where i represents the layer)



- We let $X^{(i)} = X^{(i-1)} + \text{Layer}(X^{(i-1)})$ (so we only have to learn "the residual" from the previous layer)



- Gradient is great through the residual connection; it's 1!
- Bias towards the identity function!



[no residuals]

[residuals]

[Loss landscape visualization,
Li et al., 2018, on a ResNet]

Layer Normalization

- Layer normalization is a trick to help models train faster.
- **Idea:** cut down on uninformative variation in hidden vector values by normalizing to unit mean and standard deviation within each layer.
 - LayerNorm's success may be due to its normalizing gradients [Xu et al., 2019]
- Let $x \in \mathbb{R}^d$ be an individual (word) vector in the model.
- Let $\mu = \sum_{j=1}^d x_j$; this is the mean; $\mu \in \mathbb{R}$.
- Let $\sigma = \sqrt{\frac{1}{d} \sum_{j=1}^d (x_j - \mu)^2}$; this is the standard deviation; $\sigma \in \mathbb{R}$.
- Let $\gamma \in \mathbb{R}^d$ and $\beta \in \mathbb{R}^d$ be learned "gain" and "bias" parameters. (Can omit!)
- Then layer normalization computes:

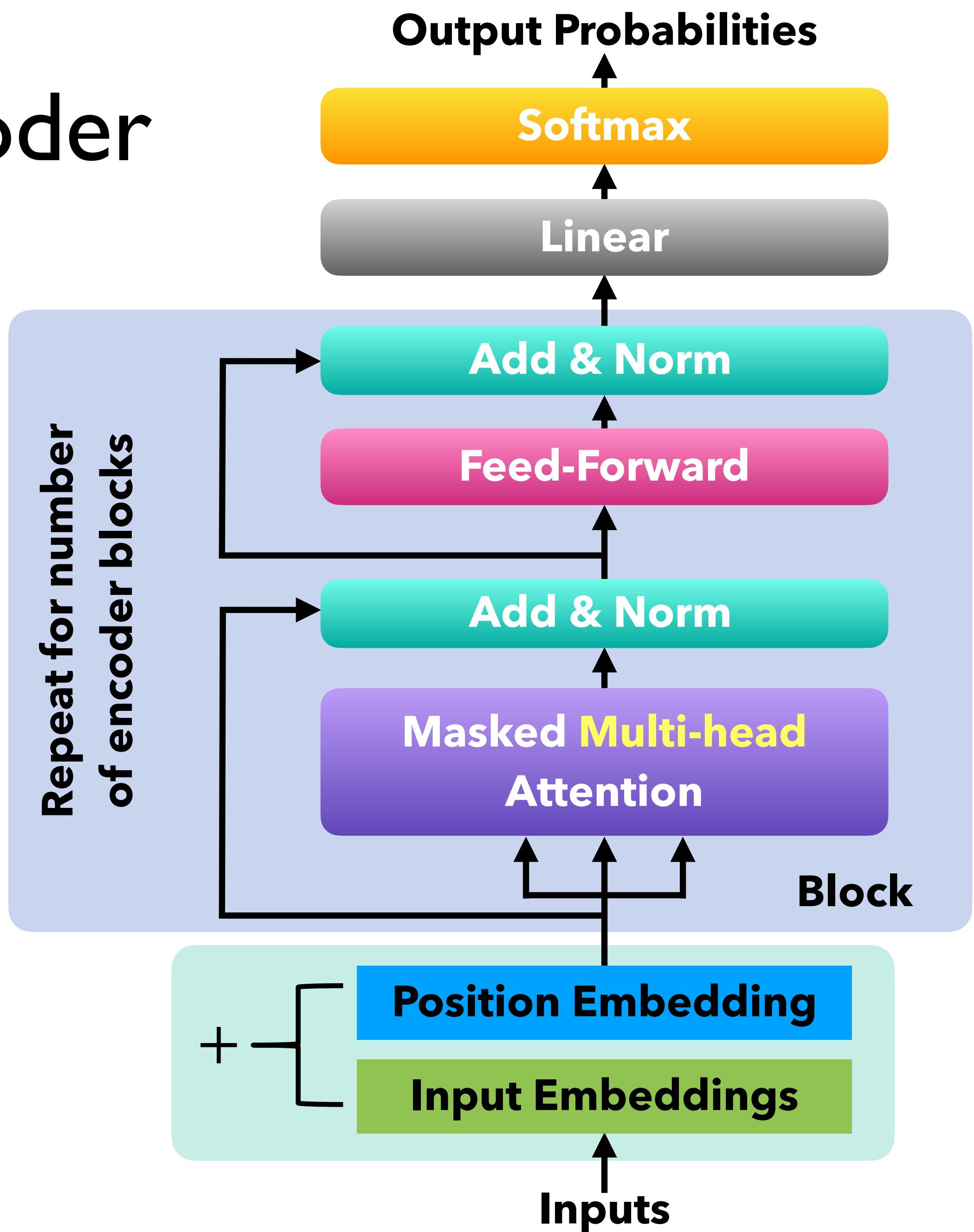
Normalize by
scalar mean and
variance

$$\bullet \text{ output} = \frac{x - \mu}{\sqrt{\sigma + \epsilon}} * \gamma + \beta$$

Modulate by learned
element-wise gain and
bias

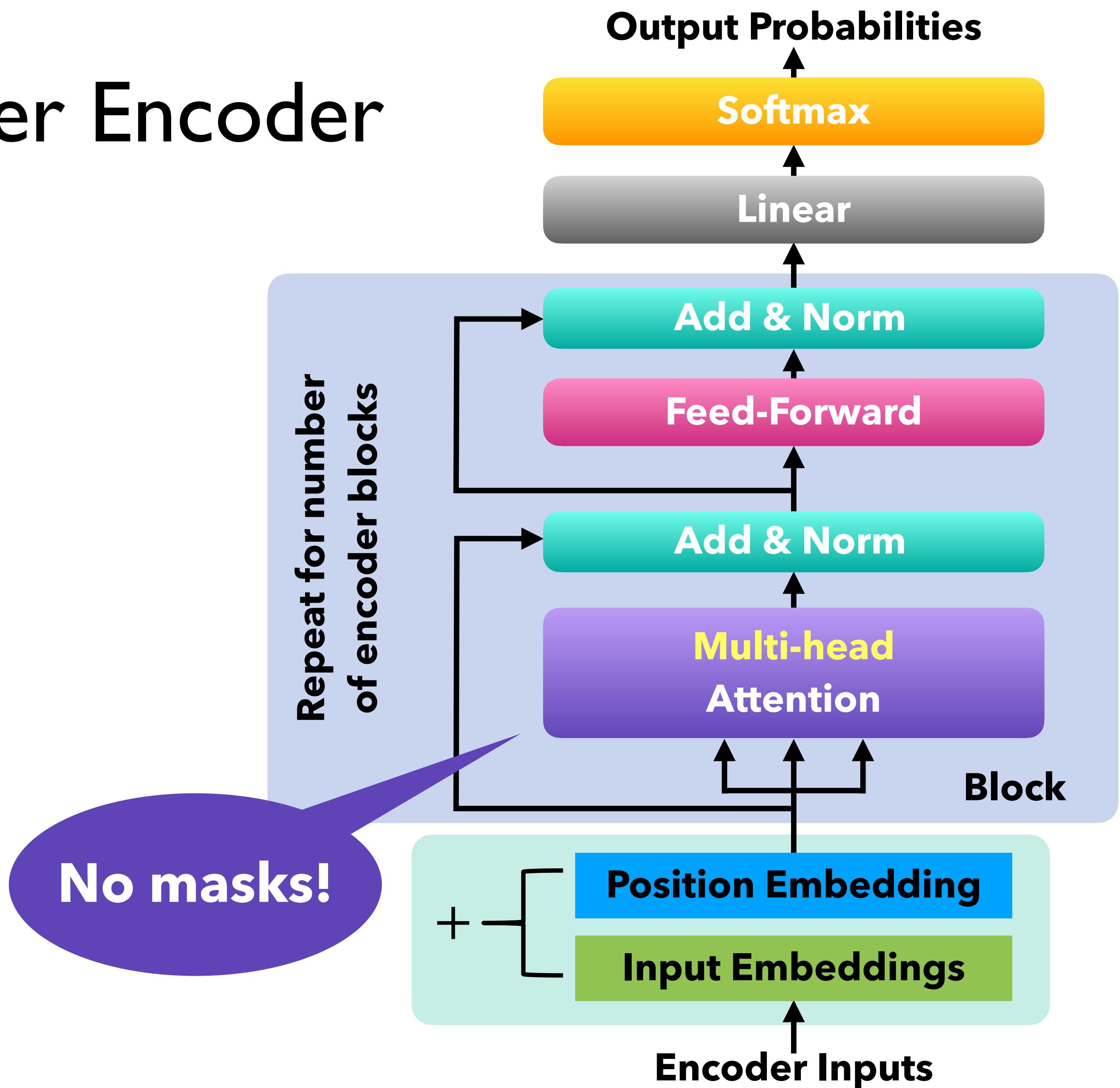
The Transformer Decoder

- The Transformer Decoder is a stack of Transformer Decoder **Blocks**.
- Each Block consists of:
 - Masked Multi-head Self-attention
 - Add & Norm
 - Feed-Forward
 - Add & Norm



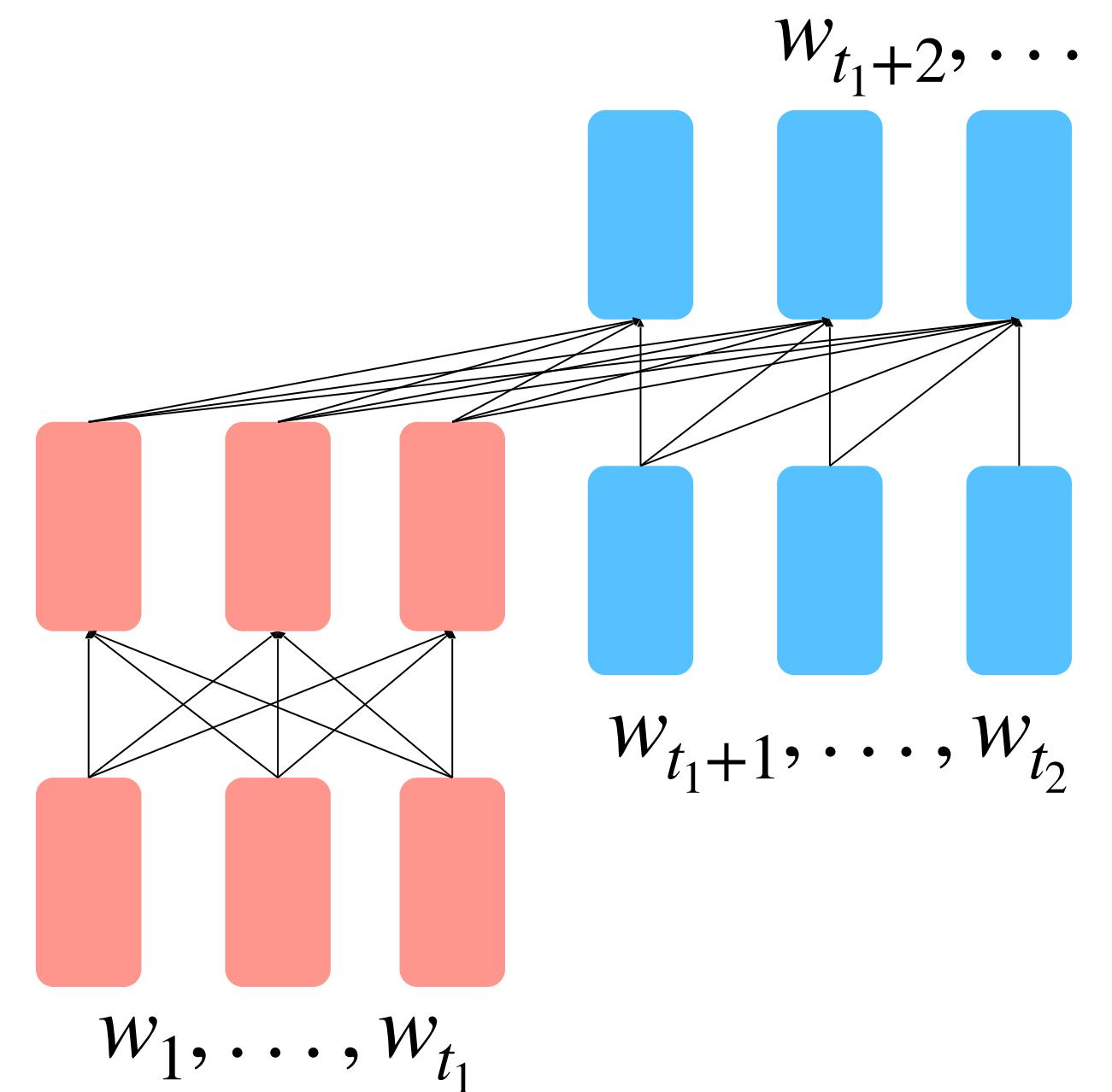
The Transformer Encoder

- The Transformer **Decoder** constrains to **unidirectional** context, as for language models.
- What if we want **bidirectional** context, like in a bidirectional RNN?
- We use **Transformer Encoder** – the ONLY difference is that we **remove the masking** in self-attention.

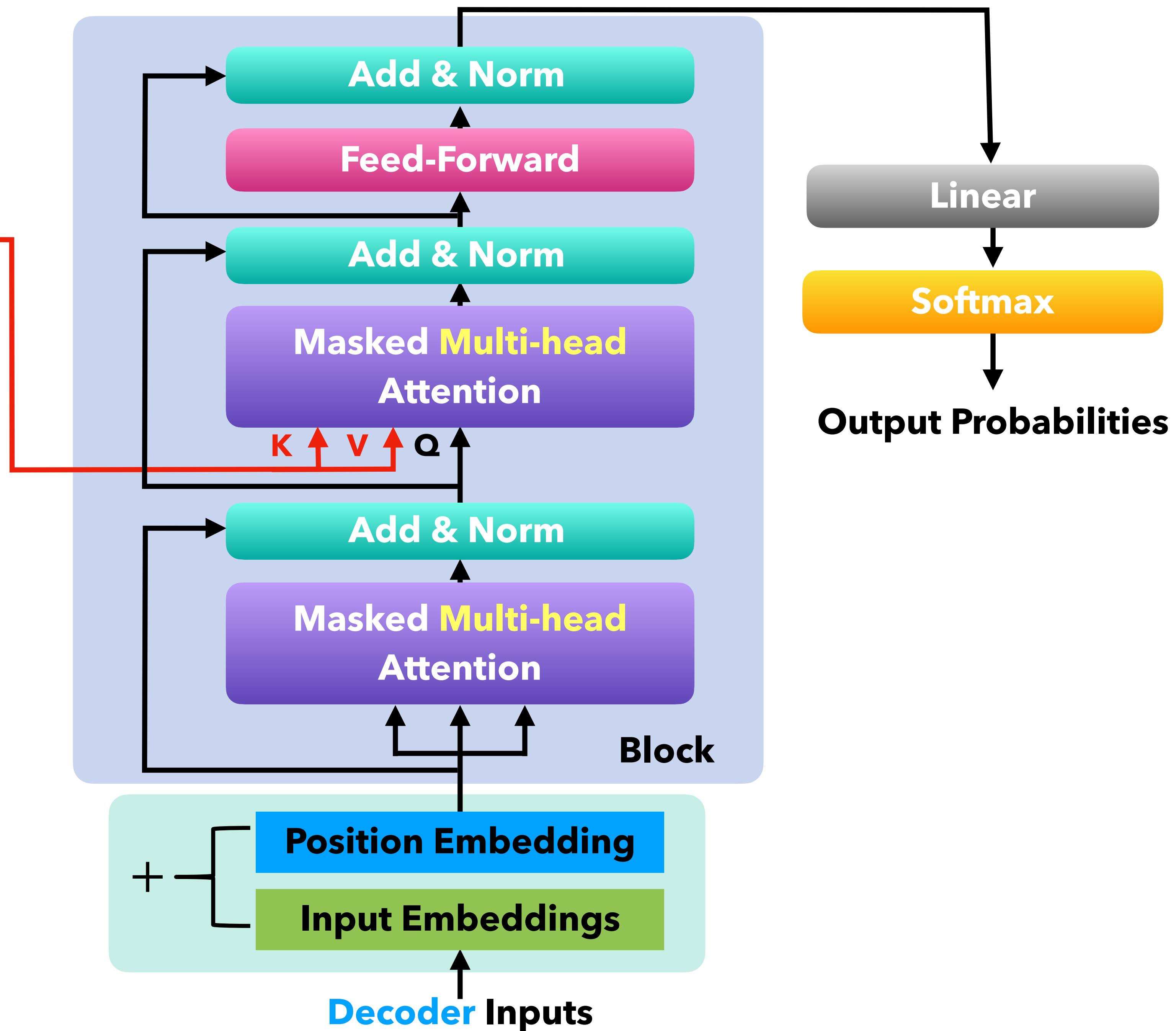
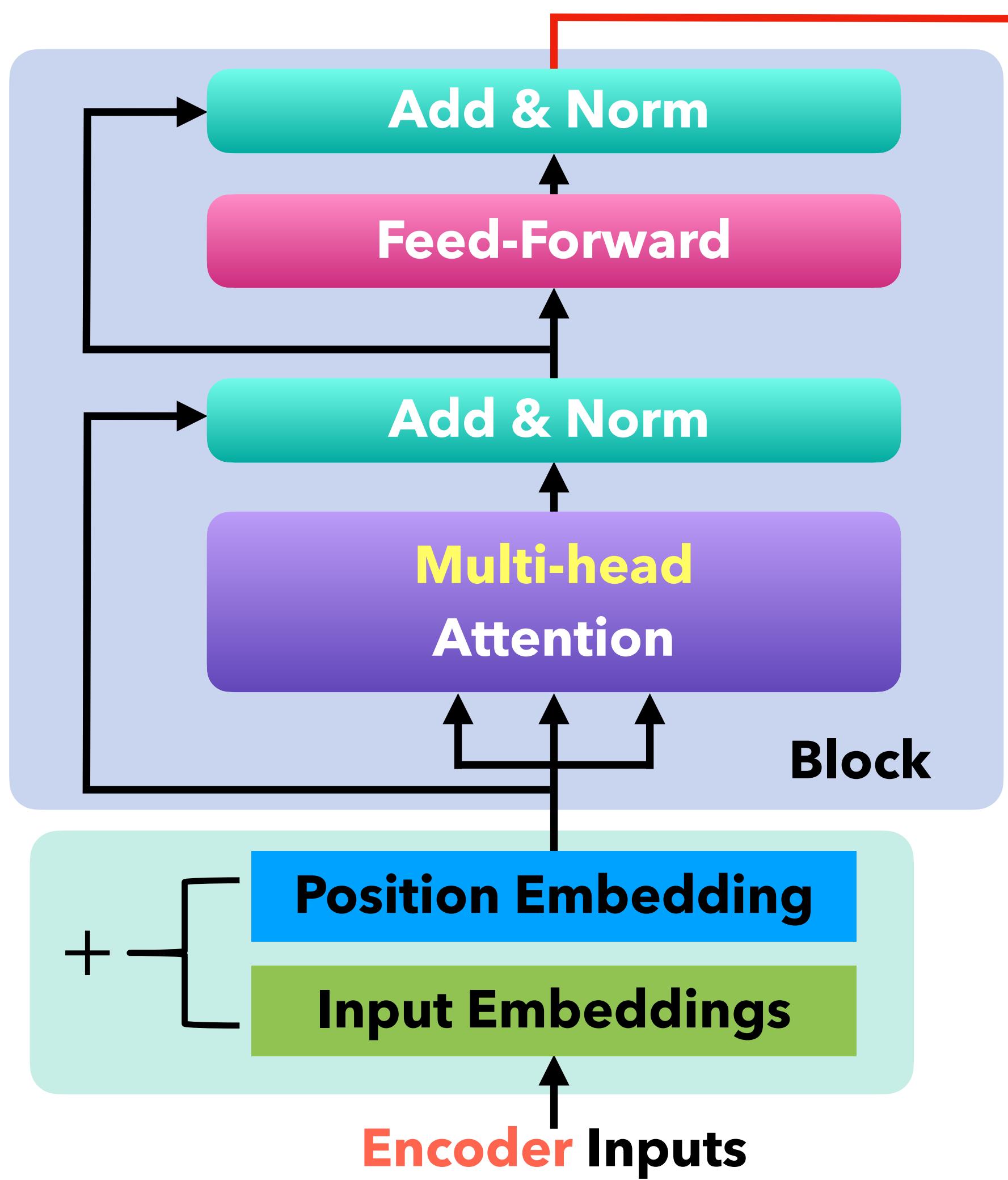


The Transformer Encoder-Decoder

- More on Encoder-Decoder models will be introduced in the next lecture!
- Right now we only need to know that it processes the source sentence with a **bidirectional** model (**Encoder**) and generates the target with a **unidirectional** model (**Decoder**).
- The Transformer Decoder is modified to perform **cross-attention** to the output of the Encoder.



Cross-Attention



Cross-Attention Details

- **Self-attention:** queries, keys, and values come from the same source.
- **Cross-Attention:** keys and values are from **Encoder** (like a memory); queries are from **Decoder**.
- Let h_1, \dots, h_n be output vectors from the Transformer **encoder**, $h_i \in \mathbb{R}^d$.
- Let z_1, \dots, z_n be input vectors from the Transformer **decoder**, $z_i \in \mathbb{R}^d$.
- **Keys** and **values** from the **encoder**:
 - $k_i = W_K h_i$
 - $v_i = W_V h_i$
- **Queries** are drawn from the **decoder**:
 - $q_i = W_Q z_i$

Transformers: pros and cons

- **Easier to capture long-range dependencies:** we draw attention between every pair of words!
- **Easier to parallelize:**

$$Q = XW^Q \quad K = XW^K \quad V = XW^V$$
$$\text{Attention}(Q, K, V) = \text{softmax}\left(\frac{QK^T}{\sqrt{d_k}}\right)V$$

- **Are positional encodings enough to capture positional information?**

Otherwise self-attention is an unordered function of its input

- **Quadratic computation in self-attention**

Can become very slow when the sequence length is large

Quadratic computation as a function of sequence length

$$Q = XW^Q \quad K = XW^K \quad V = XW^V$$

The diagram shows the computation of the Attention matrix. A large rectangular box contains the formula: $\text{Attention}(Q, K, V) = \text{softmax}\left(\frac{QK^T}{\sqrt{d_k}}\right)V$. Three blue arrows point to the dimensions of the inputs: $n \times d_q$ points to the width of Q , $d_k \times n$ points to the height of K , and $n \times d_v$ points to the width of V .

Need to compute n^2 pairs of scores (= dot product) $O(n^2d)$

RNNs only require $O(nd^2)$ running time:

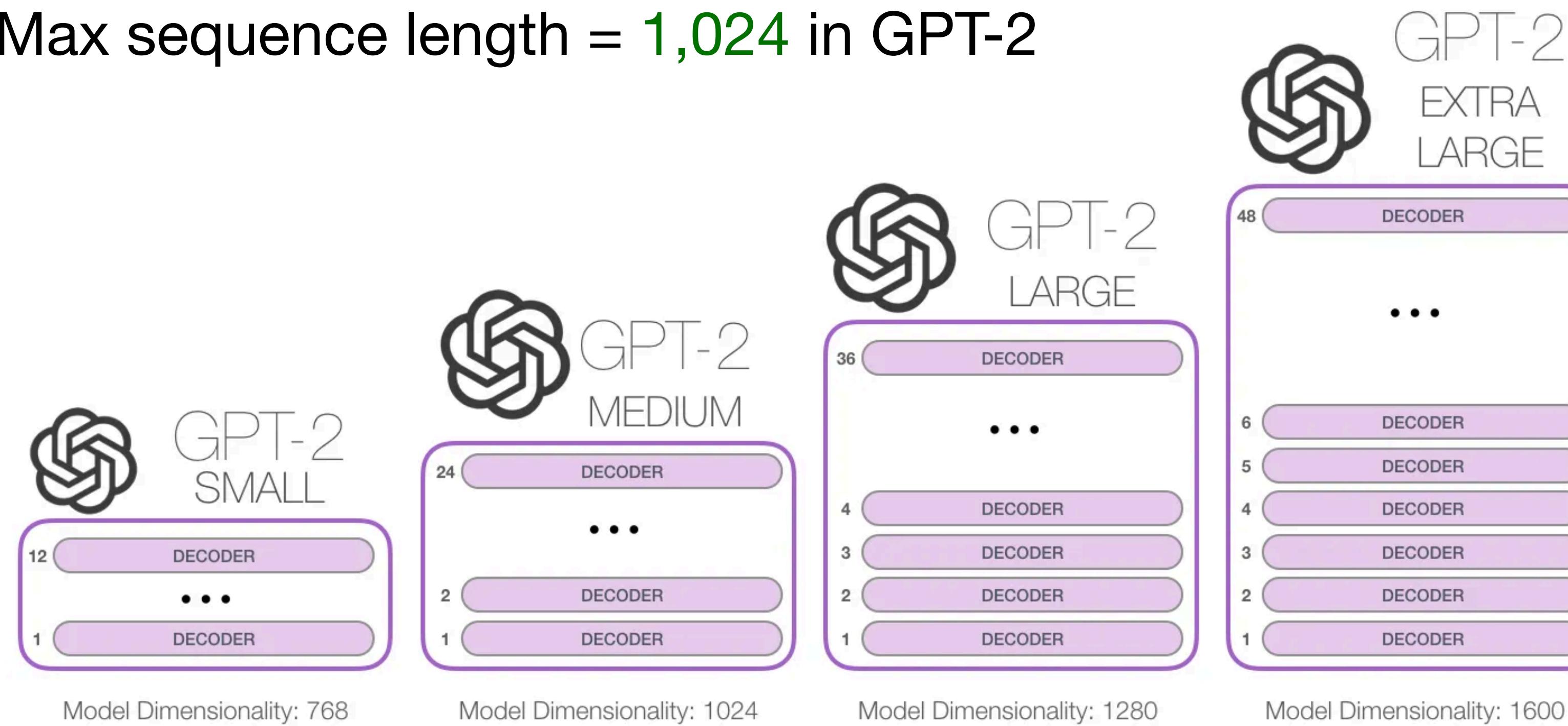
$$\mathbf{h}_t = g(\mathbf{W}\mathbf{h}_{t-1} + \mathbf{U}\mathbf{x}_t + \mathbf{b})$$

(assuming input dimension = hidden dimension = d)

Quadratic computation as a function of sequence length

Need to compute n^2 pairs of scores (= dot product) $O(n^2d)$

Max sequence length = 1,024 in GPT-2

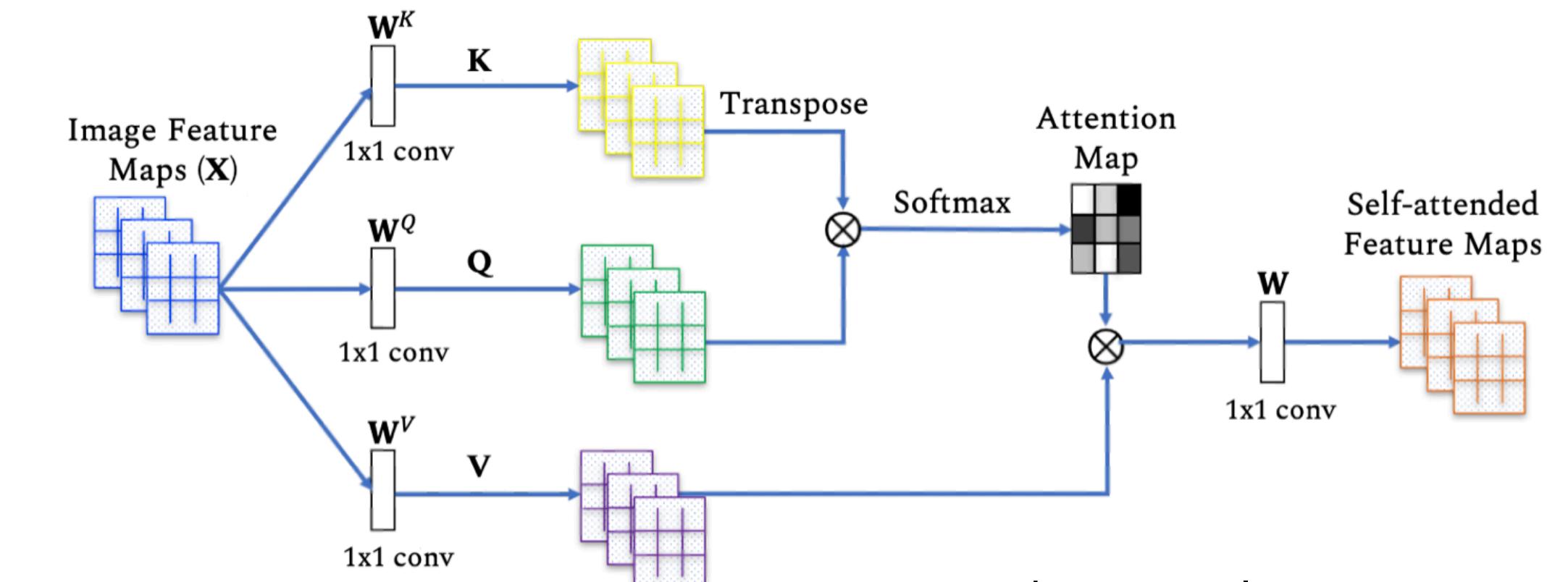


What if we want to scale $n \geq 50,000$? For example, to work on long documents?

The Revolutionary Impact of Transformers

- **Almost all current-day leading language models** use Transformer building blocks.
 - E.g., GPT1/2/3/4, T5, Llama 1/2, BERT, ... almost anything we can name
 - Transformer-based models dominate nearly all NLP leaderboards.
- Since Transformer has been popularized in language applications, computer vision also adapted Transformers, e.g., **Vision Transformers**.

What's next after
Transformers?



[Khan et al., 2021]