

CSE 176 Introduction to Machine Learning

Lecture 13: RNN and Transformer

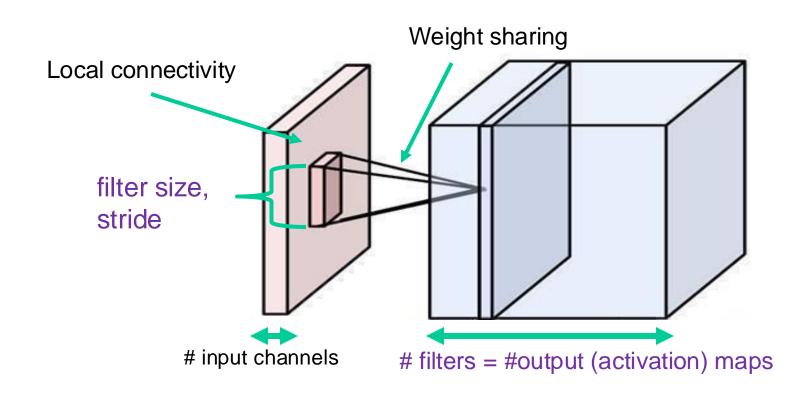
From last lecture: Convolutional Layer

Local connectivity

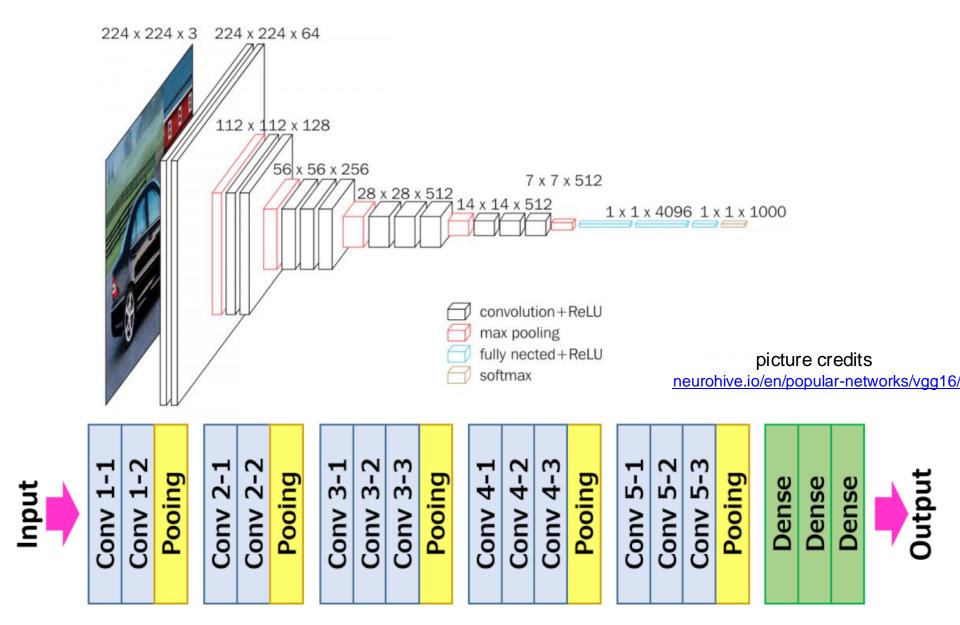
Weight sharing

Handling multiple input/output channels

Transforms 3D tensor into 3D tensor

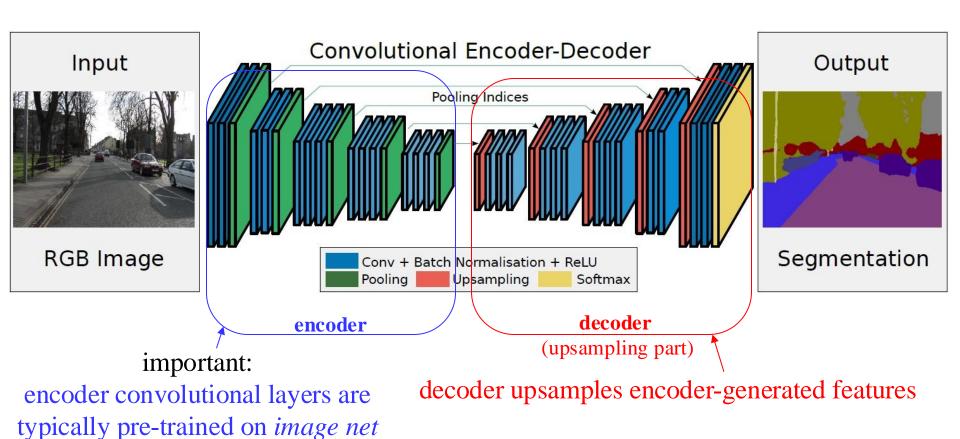


From last lecture: CNN e.g. VGG -16



Recap: *Encoder/Decoder*

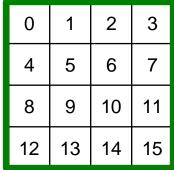
Segnet: A deep convolutional encoder-decoder architecture for image segmentation Badrinarayanan, Kendall, Cipolla – TPAMI 2017



Deconvolution: Example

Note: this result is equivalent to **Bilinear Interpolation**

Output Image





Input Image

Kornol

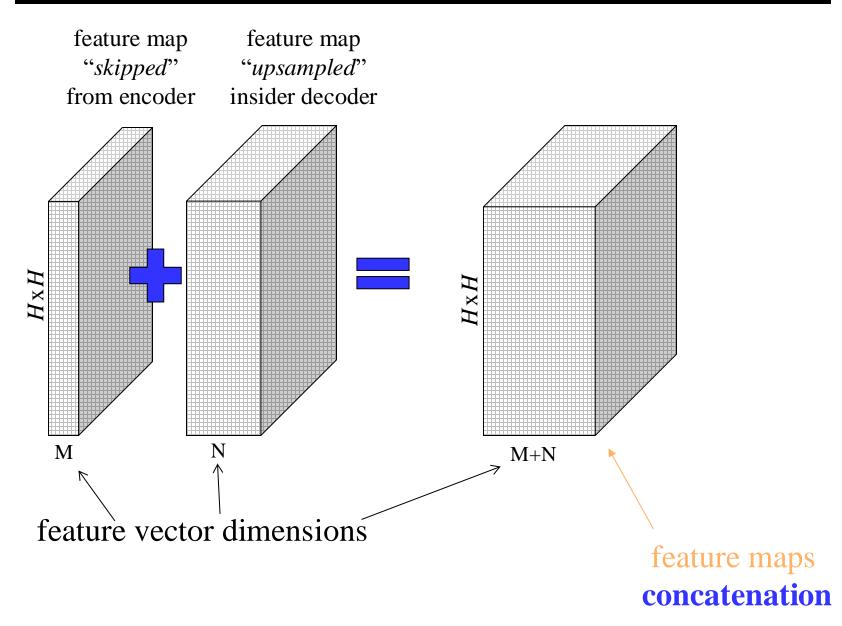
0.25 0.5 0.25				
0.5	1	0.5		
0.25	0.5	0.25		

kernel=3x3 stride=2 padding=1

0	0	0.25	0.5	0.75	4	1.25	1.5	0.75
0	0	0.5	1	1.5	2	2.5	3	1.5
4	2	2.5	3	3.5	4	4.5	5	2.5
2	4	4.5	5	5.5	6	6.5	7	3.5
3	6	6.5	7	7.5	8	8.5	9	4.5
4	8	8.5	9	9.5	10	10.5	11	5.5
5	10	10.5	11	11.5	12	12.5	13	6.5
6	12	12.5	13	13.5	14	14.5	15	7.5
3	6	6.25	6.5	6.75	7	7.25	7.5	3.75

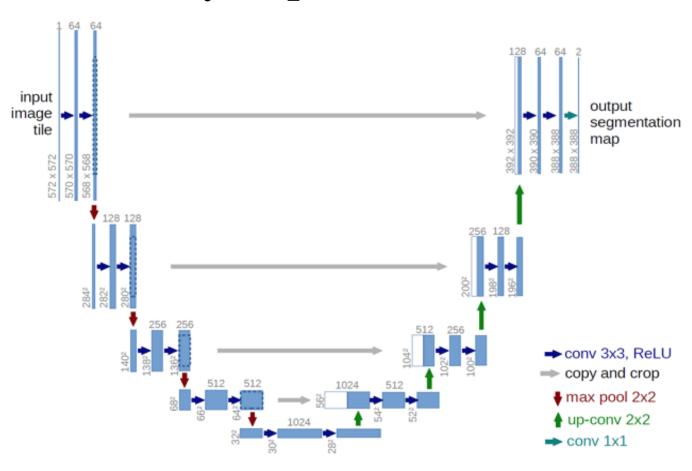
Bilinear Interpolation is a <u>special case</u> of deconvolution.

Skip connections: concatenation



U-net: expanding decoder with symmetry

and many skip connections



Let's use neural networks for natural language processing!



ChatGPT (Generative Pretrained Transformer)



You

What are top 10 things to do in Merced?



ChatGPT

Merced, California, offers a range of activities and attractions for visitors to enjoy. Here are the top 10 things to do in Merced:

- Merced National Wildlife Refuge: Explore the refuge and observe diverse bird species, including migratory birds, waterfowl, and endangered species like the Aleutian Canada goose.
- 2. **Castle Air Museum**: Discover the history of aviation at this museum, which features a vast collection of aircraft, including military planes, helicopters, and memorabilia.
- 3. **Yosemite National Park**: While not directly in Merced, the park is nearby and offers breathtaking scenery, hiking trails, waterfalls, and opportunities for camping and wildlife viewing.
- 4. Applegate Park and Zoo: Enjoy a day outdoors at this park, which features playgrounds, picnic areas, a small zoo with animals like monkeys, birds, and reptiles, and a miniature train ride.
- Downtown Merced: Explore the historic downtown area with its charming shops, cafes, restaurants, and galleries. Don't miss the Merced County Courthouse Museum to learn about the region's history.
- 6. **Merced County Fairgrounds**: Check out events and festivals held at the fairgrounds throughout the year, including the Merced County Fair, concerts, rodeos, and more.
- 7. **Lake Yosemite**: Spend a relaxing day by the lake, where you can enjoy fishing, boating, kayaking, picnicking, and walking along the scenic trails.



What is Natural Language Processing?

- ■Natural language processing is the set of methods for making human language accessible to computers. (Jacob Eisenstein)
- □ Natural language processing is the field at the intersection of Computer science (Artificial intelligence) and linguistics. (Christopher Manning)



NLP application: Machine translation

爷爷心疼孙女让娃睡懒觉 没想到引发了家庭矛盾

2020-08-25 08:06:03 来源: 钱江晚报

70岁的钟大伯(化名)陷入了"暑期焦虑":这个暑假,他每周都要接送孙女上下培训班。高温、酷暑、每天回来、都像脚踩棉花般没力气。

除了身体上的不适,还有精神上的紧张。

觉得儿子儿媳给孩子报班太多,钟大伯还和他们产生了冲突: "大热天的,大人孩 子都遭罪。"

这段时间,钟大伯因为容易激动发火,失眠,胃口差,血压一直不稳定,来到了浙 江省人民医院精神卫生科就诊。

Google Translate

Grandpa feels sorry for his granddaughter and let the baby sleep in

2020-08-25 08:06:03 Source: Qianjiang Evening News

Uncle Zhong (a pseudonym), 70, fell into "summer anxiety": This summer, he would shuttle his granddaughter to and from training classes every week. With high temperatures and scorching heat, every day I come back, I feel as weak as stepping on cotton.

In addition to physical discomfort, there is also mental tension.

Feeling that his son and daughter-in-law were reporting too much for their children, Uncle Zhong also had a conflict with them: "It's a hot day, adults and children suffer."

During this period of time, Uncle Zhong came to the Mental Health
Department of Zhejiang Provincial People's Hospital because he was prone to get
angry, insomnia, poor appetite, and unstable blood pressure.

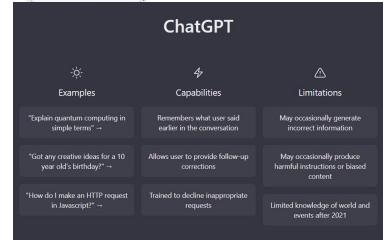
http://education.news.cn/2020-08/25/c 1210768533.htm



NLP application: Dialog systems, chatbots, assistants





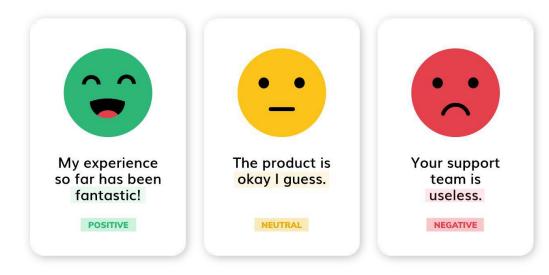






NLP application: Sentiment analysis

☐ Determine the meaning behind is positive, negative, or neutral





English Vocabulary

How large is the **vocabulary** of English (or any other language)?

Vocabulary size = the number of distinct word types

If you count words in text, you will find that...

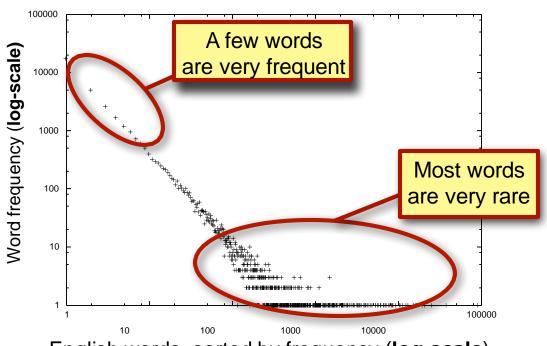
```
...a few words are very frequent (the, be, to, of, and, a, in, that,...)
```

- ... most words are very rare.
- ... even if you've read a lot of text, you will keep finding words you haven't seen before.

Word frequency: the number of occurrences of a word type in a text (or in a collection of texts)



Long-tailed word distribution







Why do we need language models?

Many NLP tasks require **natural language output**:

- —Machine translation: return text in the target language
- —Speech recognition: return a transcript of what was spoken
- —Natural language generation: return natural language text
- —Spell-checking: return corrected spelling of input

Language models define probability distributions over (natural language) strings or sentences.

- → We can use a language model to generate strings
- → We can use a language model to score/rank candidate strings so that we can choose the best (i.e. most likely) one:

```
if P_{LM}(A) > P_{LM}(B), return A, not B
```



Hmmm, but...

- ... what does it mean for a language model to "define a probability distribution"?
- ... why would we want to define probability distributions over languages?
- ... how can we construct a language model such that it *actually* defines a probability distribution?

You should be able to answer these questions after this lecture



Key concepts

N-gram language models

Independence assumptions
Getting from n-grams to a distribution over a language
Relative frequency (maximum likelihood) estimation
Smoothing



Now let's look at natural language

Text as a bag of words

Alice was beginning to get very tired of sitting by her sister on the bank, and of having nothing to do: once or twice she had peeped into the book her sister was reading, but it had no pictures or conversations in it, 'and what is the use of a book,' thought Alice 'without pictures or conversation?'

$$P(of) = 3/66$$

$$P(Alice) = 2/66$$

$$P(was) = 2/66$$

$$P(to) = 2/66$$

$$P(her) = 2/66$$

$$P(sister) = 2/66$$

$$P(,) = 4/66$$

$$P(') = 4/66$$



Sampling with replacement

A sampled sequence of words

• beginning by, very Alice but was and? reading no tired of to into sitting sister the, bank, and thought of without her nothing: having conversations Alice once do or on she it get the book her had peeped was conversation it pictures or sister in, 'what is the use had twice of a book''pictures or' to

$$P(\mathbf{of}) = 3/66$$

$$P(Alice) = 2/66$$

$$P(was) = 2/66$$

$$P(to) = 2/66$$

$$P(her) = 2/66$$

$$P(sister) = 2/66$$

$$P(,) = 4/66$$

$$P(') = 4/66$$

In this model, $P(English\ sentence) = P(word\ salad)$



Language modeling with N-grams

A **language model** over a vocabulary V assigns probabilities to strings drawn from V*.

How do we compute the **probability of a string** $w^{(1)} \dots w^{(i)}$?

Recall the chain rule:

$$P(w^{(1)} \dots w^{(i)}) = P(w^{(1)}) \cdot P(w^{(2)} | w^{(1)}) \cdot \dots \cdot P(w^{(i)} | w^{(i-1)}, \dots, w^{(1)})$$

An **n-gram** language model assumes each word $w^{(i)}$ depends only on the **last n-1 words** $w^{(i-1)}, \ldots, w^{(i-(n+1))}$ $P_{ngram}(w^{(1)}...w^{(i)}) = P(w^{(1)}) \cdot P(w^{(2)}|w^{(1)}) \cdot \ldots \cdot P(w^{(i)}|w^{(i-1)},...,w^{(i-(n+1))})$



N-gram models

N-gram models assume each word (event) depends only on the previous n-1 words (events):

Unigram model:
$$P(w^{(1)}...w^{(N)}) = \prod_{i=1}^{N} P(w^{(i)})$$

Bigram model:
$$P(w^{(1)}...w^{(N)}) = \prod_{i=1}^{N} P(w^{(i)}|w^{(i-1)})$$

Trigram model:
$$P(w^{(1)}...w^{(N)}) = \prod_{i=1}^{N} P(w^{(i)}|w^{(i-1)},w^{(i-2)})$$

Independence assumptions where the n-th event in a sequence depends only on the last n-1 events are called Markov assumptions (of order n-1).



How many parameters do n-gram models have?

Given a vocabulary V of |V| word types: so, for |V| = 104:

Unigram model: |V| parameters 104 parameters

(one distribution $P(w^{(i)})$ with |V| outcomes [each $w \in V$ is one outcome])

Bigram model: $|V|^2$ parameters 108 parameters

Trigram model: |V|3 parameters 1012 parameters



A bigram model for Alice

• Alice was beginning to get very tired of sitting by her sister on the bank, and of having nothing to do: once or twice she had peeped into the book her sister was reading, but it had no pictures or conversations in it, 'and what is the use of a book,' thought Alice 'without pictures or conversation?'

```
P(\mathbf{w}^{(i)} = \mathbf{of} \mid \mathbf{w}^{(i-1)} = \mathbf{tired}) = 1 P(\mathbf{w}^{(i)} = \mathbf{of} \mid \mathbf{w}^{(i-1)} = \mathbf{use}) = 1 P(\mathbf{w}^{(i)} = \mathbf{of} \mid \mathbf{w}^{(i-1)} = \mathbf{use}) = 1 P(\mathbf{w}^{(i)} = \mathbf{book} \mid \mathbf{w}^{(i-1)} = \mathbf{the}) = 1/3 P(\mathbf{w}^{(i)} = \mathbf{sister} \mid \mathbf{w}^{(i-1)} = \mathbf{her}) = 1 P(\mathbf{w}^{(i)} = \mathbf{beginning} \mid \mathbf{w}^{(i-1)} = \mathbf{was}) = 1/2 P(\mathbf{w}^{(i)} = \mathbf{cos} \mid \mathbf{w}^{(i-1)} = \mathbf{cos}) = 1/2 P(\mathbf{w}^{(i)} = \mathbf{cos} \mid \mathbf{w}^{(i-1)} = \mathbf{cos}) = 1/2
```



Using a bigram model for Alice

English

Alice was beginning to get very tired of sitting by her sister on the bank, and of having nothing to do: once or twice she had peeped into the book her sister was reading, but it had no pictures or conversations in it, 'and what is the use of a book,' thought Alice 'without pictures or conversation?'

Word Salad

beginning by, very Alice but was and?
reading no tired of to into sitting
sister the, bank, and thought of without
her nothing: having conversations Alice
once do or on she it get the book her had
peeped was conversation it pictures or
sister in, 'what is the use had twice of
a book' 'pictures or' to

Now, $P(English) \gg P(word\ salad)$

$$\begin{array}{l} P(\mathbf{w^{(i)}} = \texttt{of} \mid \mathbf{w^{(i-1)}} = \texttt{tired}) = 1 \\ P(\mathbf{w^{(i)}} = \texttt{of} \mid \mathbf{w^{(i-1)}} = \texttt{use}) = 1 \\ P(\mathbf{w^{(i)}} = \texttt{sister} \mid \mathbf{w^{(i-1)}} = \texttt{her}) = 1 \\ P(\mathbf{w^{(i)}} = \texttt{beginning} \mid \mathbf{w^{(i-1)}} = \texttt{was}) = 1/2 \\ P(\mathbf{w^{(i)}} = \texttt{reading} \mid \mathbf{w^{(i-1)}} = \texttt{was}) = 1/2 \end{array}$$

$$P(w^{(i)} = bank \mid w^{(i-1)} = the) = 1/3$$

 $P(w^{(i)} = book \mid w^{(i-1)} = the) = 1/3$
 $P(w^{(i)} = use \mid w^{(i-1)} = the) = 1/3$



From n-gram probabilities to language models with EOS

Think of a language model as a stochastic process:

- At each time step, randomly pick one more word.
- Stop generating more words when the word you pick is a special end-of-sentence (EOS) token.

To be able to pick the EOS token, we have to **modify our** training data so that each sentence ends in EOS.

This means our vocabulary is now $V^{EOS} = V \cup \{EOS\}$

We then get an actual language model, i.e. a distribution over strings of *any* length

Technically, this is only true because $P(EOS \mid ...)$ will be high enough that we are always guaranteed to stop after having generated a finite number of words A leaky or inconsistent language model would have P(L) < 1. That could happen if EOS had a very small probability (but doesn't really happen in practice).



Learning (estimating) a language model

Where do we get the parameters of our model (its actual probabilities) from?

$$P(w^{(i)} = 'the' / w^{(i-1)} = 'on') = ???$$

We need (a large amount of) text as training data to estimate the parameters of a language model.

The most basic parameter estimation technique: relative frequency estimation (frequency = counts)

$$P(w^{(i)} = 'the' / w^{(i-1)} = 'on') = C('on the') / C('on')$$

Also called Maximum Likelihood Estimation (MLE)

C('on the') [or f('on the') for frequency]:

How often does 'on the' appear in the training data?

NB:
$$C(`on') = \sum_{w \in V} C(`on'w)$$



How do we use language models?

Independently of any application, we could use a language model as a random sentence *generator* (we sample sentences according to their language model probability)

We can use a language model as a sentence ranker.

We prefer output sentences S_{Out} that have a higher language model probability. We can use a language model $P(S_{Out})$ to score and rank these different candidate output sentences, e.g. as follows:

 $\operatorname{argmaxsout} P(\operatorname{Sout} | \operatorname{Input}) = \operatorname{argmaxsout} P(\operatorname{Input} | \operatorname{Sout})P(\operatorname{Sout})$

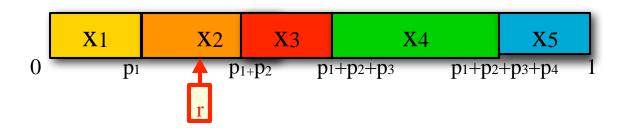


Generating from a distribution

How do you generate text from an *n*-gram model?

That is, how do you sample from a distribution P(X | Y=y)?

- -Assume X has N possible outcomes (values): $\{x_1, ..., x_N\}$ and $P(X=x_i \mid Y=y) = p_i$
- -Divide the interval [0,1] into N smaller intervals according to the probabilities of the outcomes
- -Generate a random number r between 0 and 1.
- -Return the x1 whose interval the number is in.





Generating the Wall Street Journal

unigram: Months the my and issue of year foreign new exchange's september were recession exchange new endorsed a acquire to six executives

bigram: Last December through the way to preserve the Hudson corporation N. B. E. C. Taylor would seem to complete the major central planners one point five percent of U. S. E. has already old M. X. corporation of living on information such as more frequently fishing to keep her

trigram: They also point to ninety nine point six billion dollars from two hundred four oh six three percent of the rates of interest stores as Mexico and Brazil on market conditions



Generating Shakespeare

Unigran

- To him swallowed confess hear both. Which. Of save on trail for are ay device and rote life have
- Every enter now severally so, let
- Hill he late speaks; or! a more to leg less first you enter
- Are where exeunt and sighs have rise excellency took of.. Sleep knave we. near; vile like

igram

- What means, sir. I confess she? then all sorts, he is trim, captain.
- •Why dost stand forth thy canopy, forsooth; he is this palpable hit the King Henry. Live king. Follow.
- •What we, hath got so she that I rest and sent to scold and nature bankrupt, nor the first gentleman?
- •Enter Menenius, if it so many good direction found'st thou art a strong upon command of fear not a liberal largess given away, Falstaff! Exeunt

gram

- Sweet prince, Falstaff shall die. Harry of Monmouth's grave.
- This shall forbid it should be branded, if renown made it empty.
- Indeed the duke; and had a very good friend.
- Fly, and will rid me these news of price. Therefore the sadness of parting, as they say, 'tis done.

drigran

- King Henry. What! I will go seek the traitor Gloucester. Exeunt some of the watch. A great banquet serv'd in;
- Will you not tell me who I am?
- It cannot be but so.
- Indeed the short and the long. Marry, 'tis a noble Lepidus.



What have we covered so far?

We have covered a broad overview of some basic techniques in NLP:

— N-gram language models

Let's create a (much better) neural language model!



Our first neural net for NLP:

A neural n-gram model

Given a fixed-size vocabulary V, an *n*-gram model predicts the probability of the *n*-th word following the preceding *n*–1 words:

$$P(w^{(i)}|w^{(i-1)},w^{(i-2)},...,w^{i-(n-1)})$$

How can we model this with a neural net?

- Input layer: concatenate n—1 word vectors
- Output layer: a softmax over |V| units



An n-gram model $P(w | w_1...w_k)$ as a feedforward net (naively)

Assumptions:

The **vocabulary** V contains V types (incl. UNK, BOS, EOS) We want to condition each word on k preceding words

Our (naive) model:

— [Naive]

Each input word $w_i \in V$ is a V-dimensional one-hot vector v(w)

- \rightarrow The input layer $\mathbf{x} = [\mathbf{v}(\mathbf{w}_1), ..., \mathbf{v}(\mathbf{w}_k)]$ has $\mathbf{V} \times \mathbf{k}$ elements
- We assume one hidden layer h
- The **output layer** is a softmax over V elements $P(w \mid w_1...w_k) = softmax(\mathbf{h}\mathbf{W}^2 + \mathbf{b}^2)$



An n-gram model $P(w | w_1...w_k)$ as a feedforward net (better)

Assumptions:

The **vocabulary** V contains V types (incl. UNK, BOS, EOS) We want to condition each word on k preceding words

Our (better) model:

— [Better]

Each input word $w_i \in V$ is an *n*-dimensional dense embedding vector v(w) (with $n \ll V$)

- \rightarrow The input layer $\mathbf{x} = [\mathbf{v}(\mathbf{w}_1),...,\mathbf{v}(\mathbf{w}_k)]$ has $n \times k$ elements
- We assume one hidden layer h
- The **output layer** is a softmax over V elements $P(w \mid w_1...w_k) = softmax(\mathbf{h}\mathbf{W}^2 + \mathbf{b}^2)$



Our neural n-gram models

Architecture:

```
Input Layer: \mathbf{x} = [\mathbf{v}(\mathbf{w}_1)...\mathbf{v}(\mathbf{w}_k)]
```

Hidden Layer: $\mathbf{h} = g(\mathbf{x}\mathbf{W}^1 + \mathbf{b}^1)$

Output Layer: $P(w \mid w_1...w_k) = \operatorname{softmax}(\mathbf{h}\mathbf{W}^2 + \mathbf{b}^2)$

How many parameters do we need? [# of weights and biases]:

Hidden layer with one-hot inputs: $\mathbf{W}^1 \in \mathbb{R}^{(k \cdot \mathbf{V}) \times \text{dim}(\mathbf{h})}$ $\mathbf{b}^1 \in \mathbb{R}^{\text{dim}(\mathbf{h})}$

Hidden layer with dense inputs: $\mathbf{W}^1 \in \mathbf{R}^{(k \cdot n) \times \text{dim}(h)}$ $\mathbf{b}^1 \in \mathbf{R}^{\text{dim}(h)}$

Output layer (any inputs): $\mathbf{W}^2 \in \mathbb{R}^{\dim(\mathbf{h}) \times V}$ $\mathbf{b}^2 \in \mathbb{R}^V$

With V = 10K, n = 300 (word2vec), dim(h) = 300

k = 2 (trigram): $W^1 \in R^{20,000 \times 300}$ or $W^1 \in R^{600 \times 300}$ and $b_1 \in R^{300}$

k = 5 (six-gram): $W^1 \in R^{50,000 \times 300}$ or $W^1 \in R^{1500 \times 300}$ and $b_1 \in R^{300}$

 $W^2 \in R^{300 \times 10,000} b^2 \in R^{10,000}$

Six-gram model with one-hot inputs: 27,000,460,000 parameters,

with dense inputs: 3,460,000 parameters

Traditional six-gram model: $10^{4\times6} = 10^{24}$ parameters



1D CNNs for text

Text is a (variable-length) **sequence** of words (word vectors) [#channels = dimensionality of word vectors]

We can use a **1D CNN** to slide a window of *n* tokens across:

The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog

— Filter size n = 2, stride = 2, no padding:

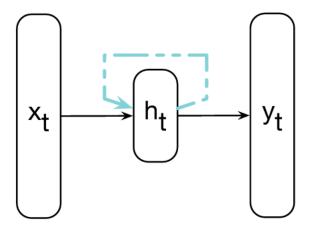
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog
The quick brown fox jumps over the lazy dog



What's wrong with MLP or CNN for NLP?

Recurrent Neural Network

- ☐ Temporal nature in language processing
- ☐RNN deals with sequential input data stream like language.

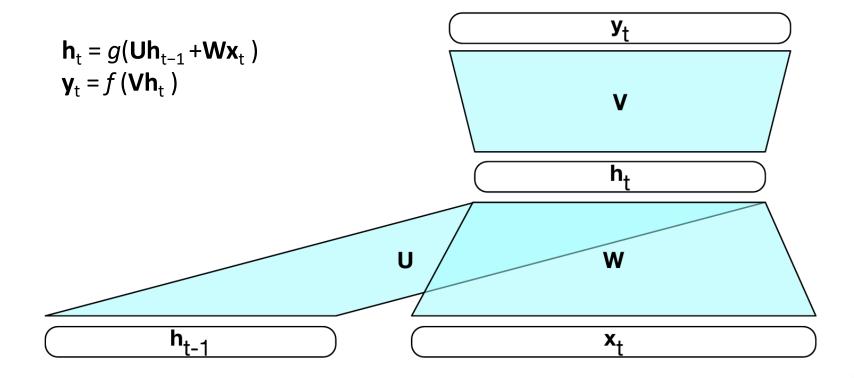


A simple RNN



A Simple Recurrent Neural Network

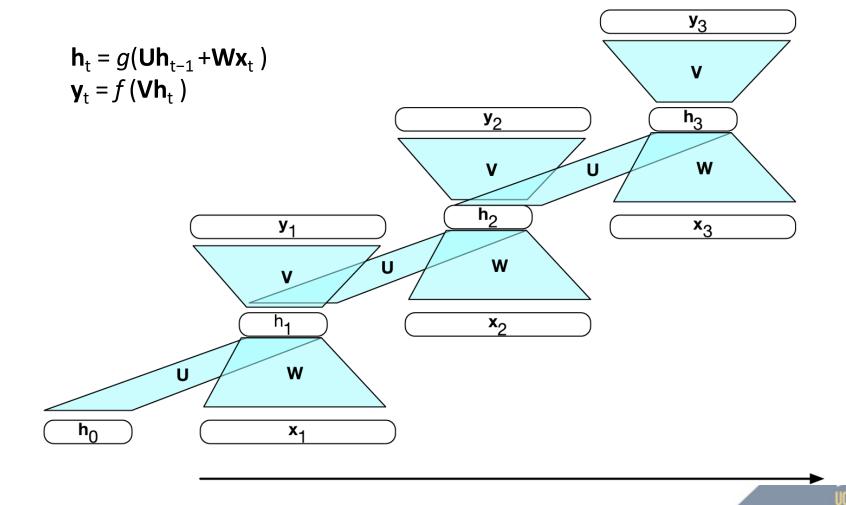
☐RNN illustrated as a feed-forward network



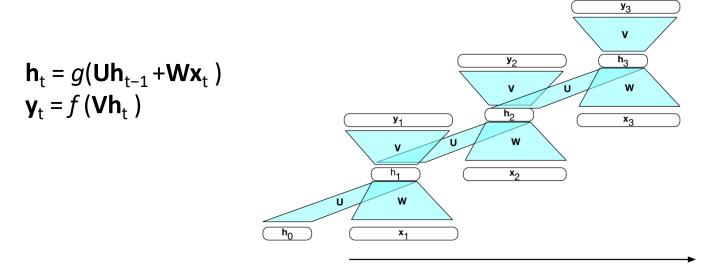


A Simple Recurrent Neural Network

☐RNN unrolled in time



How to optimize Recurrent Neural Network?



☐ Backpropagation through time

$$\frac{\partial L_3}{\partial \mathbf{W}} = \frac{\partial L_3}{\partial \mathbf{h}_3} \frac{\partial \mathbf{h}_3}{\partial \mathbf{W}} + \frac{\partial L_3}{\partial \mathbf{h}_3} \frac{\partial \mathbf{h}_3}{\partial \mathbf{h}_2} \frac{\partial \mathbf{h}_2}{\partial \mathbf{W}} + \frac{\partial L_3}{\partial \mathbf{h}_3} \frac{\partial \mathbf{h}_3}{\partial \mathbf{h}_2} \frac{\partial \mathbf{h}_3}{\partial \mathbf{h}_1} \frac{\partial \mathbf{h}_1}{\partial \mathbf{W}}$$

$$\frac{\partial L}{\partial \mathbf{W}} = -\frac{1}{n} \sum_{t=1}^{n} \sum_{k=1}^{t} \frac{\partial L_{t}}{\partial \mathbf{h}_{t}} \left(\prod_{j=k+1}^{t} \frac{\partial \mathbf{h}_{j}}{\partial \mathbf{h}_{j-1}} \right) \frac{\partial \mathbf{h}_{k}}{\partial \mathbf{W}}$$



What we have learned today

- ☐ Language Modeling
- □N-gram is a simple language model
- ☐ Neural N-gram Language Model
- ☐ Feedforward network and CNN for NLP
- ☐ Next lecture: more on Recurrent Neural Network, and transformer network

