



CS 4501 Natural Language Processing (Fall 2024)

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Aug 30, 2024

(Recap) Course Information & Logistics

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- Course Website: <https://yumeng5.github.io/teaching/2024-fall-cs4501>
- Instructor: **Yu Meng** (yumeng5@virginia.edu)
 - Office hour: After class Mondays & Wednesdays
- TAs:
 - **Xu Ouyang** (ftp8nr@virginia.edu) Office hour: 11:00am - 12:00pm every Wednesday
 - **Zhepei Wei** (tqf5qb@virginia.edu) Office hour: 8:00am - 9:00am every Monday
 - **Wenqian Ye** (pvc7hs@virginia.edu) Office hour: 4:00pm - 5:00pm every Friday
- Time: Mondays, Wednesdays & Fridays 2:00pm - 2:50pm
- Location: Thornton Hall E303
- We do not plan to record lectures to encourage in-person attendance

(Recap) Q&A Format

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- Q&A during lecture: Slido (link shared in each lecture)
 - Efficient for a big class
 - Allows asking questions anonymously
 - TAs will answer the questions in real time
- Q&A after lecture: Piazza (accessible via Canvas)
 - Assignments/projects
 - TAs & instructor will answer the questions on a daily basis
- You are encouraged to answer the questions asked by your classmates (participation credit)!

Grading

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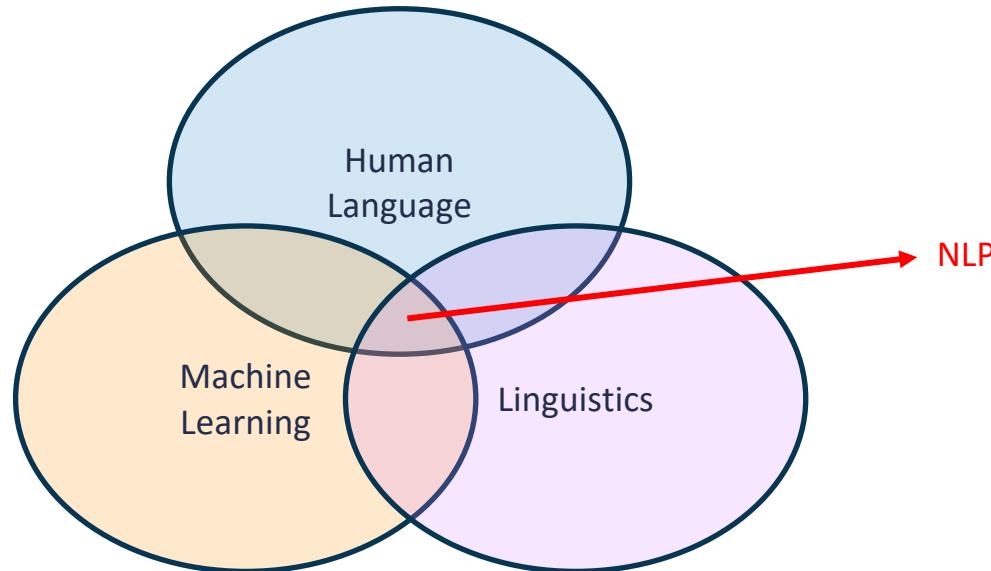


- **Details on the course website**
- **Assignments (60%)**
 - 5 assignments
 - 7 late days in total
 - Individual submission
- **Project (35%)**
 - Team of 2-3 students
 - No late days allowed
 - Checkpoints: Project proposal, Midterm report & Final project presentation + report
- **Participation (5%+; points earned beyond 5% will become extra credit)**
 - **Update: Three guest lectures (6%)**
 - End-of-semester teaching feedback (2%)
 - Answering **technical** questions raised by classmates (5%)



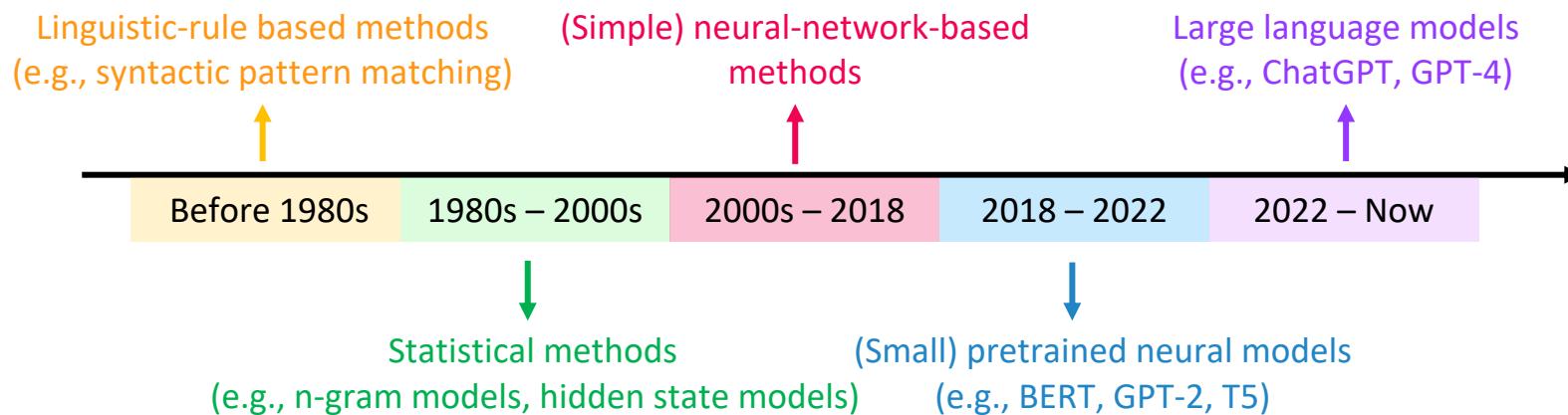
What is Natural Language Processing (NLP)?

- An interdisciplinary subfield of machine learning and linguistics
- Goal: Enable computers to understand, interpret, and generate human language



The History of NLP

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Sequence Modeling

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- Text is a sequence of words – Language modeling relies on modeling the (complex) semantic correlations among words!
- Estimating distributions based on counts is hard to generalize!

$$p(\mathbf{x}) = p(x_1)p(x_2|x_1)p(x_3|x_1, x_2) \cdots p(x_n|x_1, \dots, x_{n-1}) = \prod_{i=1}^n p(x_i|x_1, \dots, x_{i-1})$$

- Parameterize the distributions with neural networks!

$$p(\mathbf{x}) = p(\mathbf{x}; \theta) = \prod_{i=1}^n p(x_i|x_1, \dots, x_{i-1}; \theta)$$


Neural network parameters



Sequence Modeling Architecture: RNN

A Simple RNN Language Model

output distribution

$$\hat{y}^{(t)} = \text{softmax}(\mathbf{U}\mathbf{h}^{(t)} + \mathbf{b}_2) \in \mathbb{R}^{|V|}$$

Recurrent neural network
(RNN)

hidden states

$$\mathbf{h}^{(t)} = \sigma(\mathbf{W}_h \mathbf{h}^{(t-1)} + \mathbf{W}_e \mathbf{e}^{(t)} + \mathbf{b}_1)$$

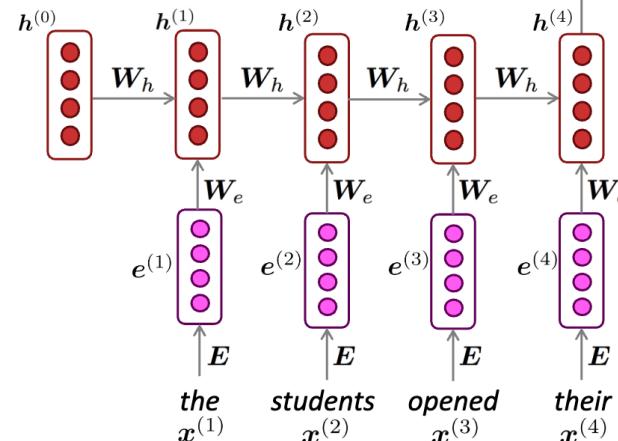
$\mathbf{h}^{(0)}$ is the initial hidden state

word embeddings

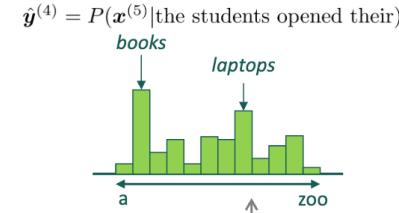
$$\mathbf{e}^{(t)} = \mathbf{E} \mathbf{x}^{(t)}$$

words / one-hot vectors

$$\mathbf{x}^{(t)} \in \mathbb{R}^{|V|}$$



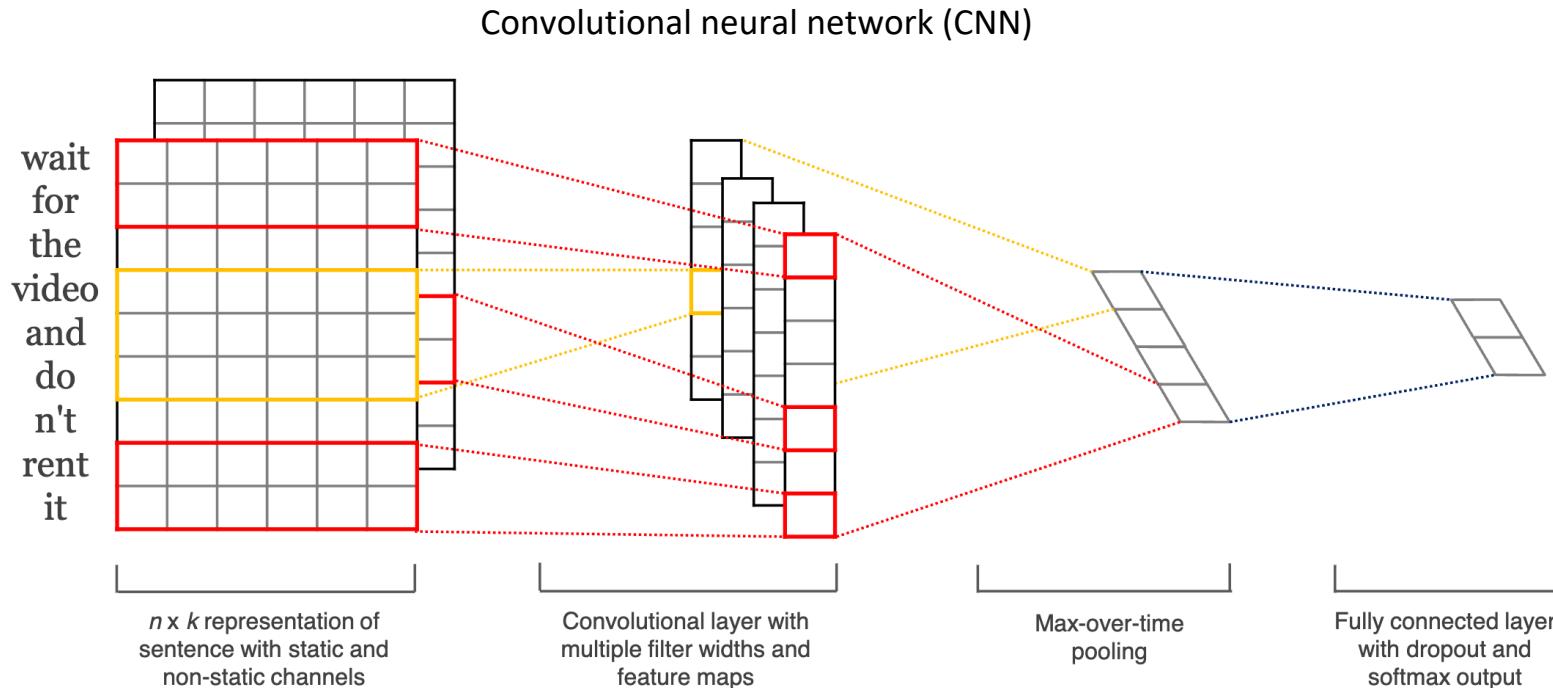
Note: this input sequence could be much longer now!



Sequence Modeling Architecture: CNN

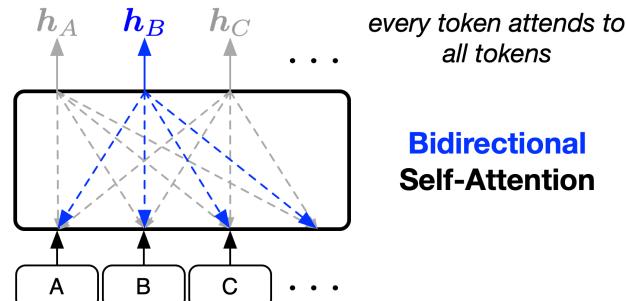
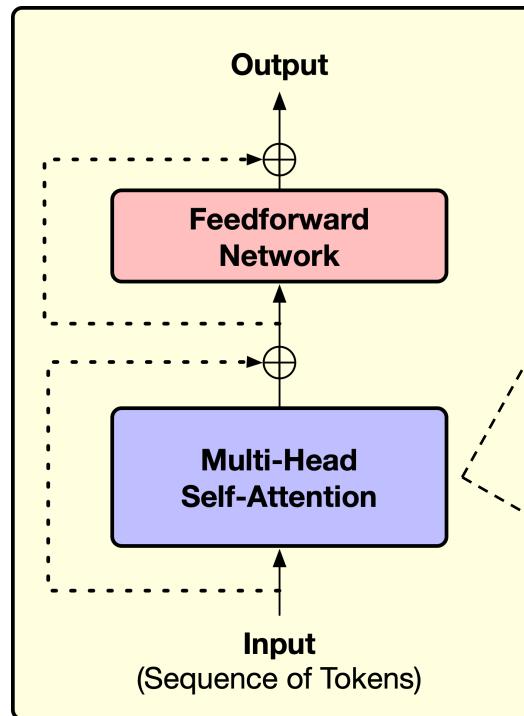
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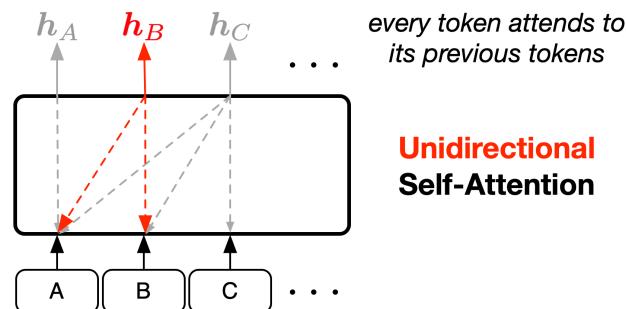
Sequence Model Architecture: Transformers

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**Bidirectional
Self-Attention**

Transformer Encoders



**Unidirectional
Self-Attention**

Transformer Decoders

Transformer Overview



Transformer block overview

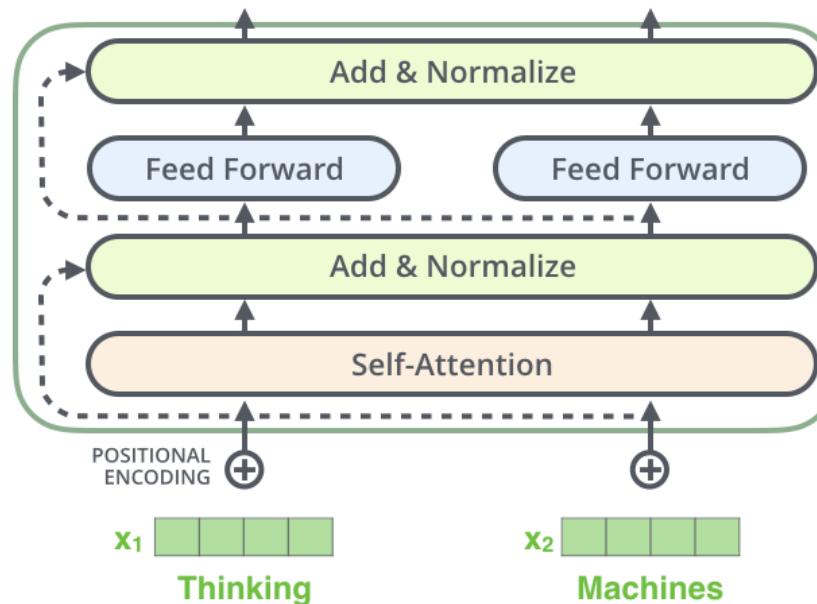
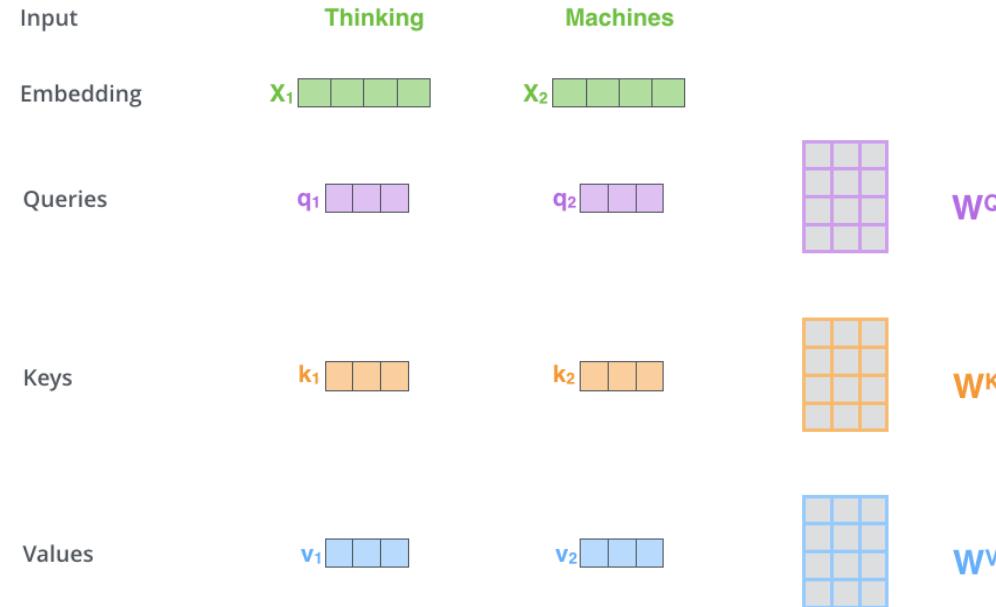


Figure source: <https://jalammar.github.io/illustrated-transformer/>

Transformer: Self-Attention Mechanism

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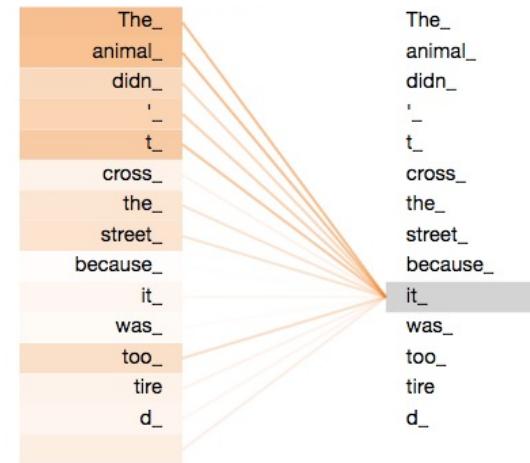
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Transformer: Self-Attention Computation

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$$\text{softmax} \left(\frac{\begin{matrix} \mathbf{Q} & \mathbf{K}^T \\ \begin{matrix} \text{---} \end{matrix} & \times \\ \begin{matrix} \text{---} \end{matrix} & \begin{matrix} \text{---} \end{matrix} \end{matrix}}{\sqrt{d_k}} \right) \mathbf{V}$$
$$= \mathbf{Z}$$



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Language Model Pretraining

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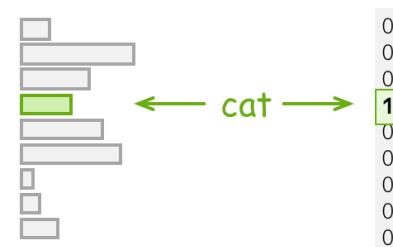
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we want the model
to predict this

Training example: I saw a cat on a mat <eos>

Model prediction: $p(*) | \text{I saw a}$



Target

Loss = $-\log(p(\text{cat})) \rightarrow \min$



Pretraining as Multi-Task Learning

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- In my free time, I like to **{run, banana}** (*Grammar*)
- I went to the zoo to see giraffes, lions, and **{zebras, spoon}** (*Lexical semantics*)
- The capital of Denmark is **{Copenhagen, London}** (*World knowledge*)
- I was engaged and on the edge of my seat the whole time. The movie was **{good, bad}** (*Sentiment analysis*)
- The word for “pretty” in Spanish is **{bonita, hola}** (*Translation*)
- $3 + 8 + 4 = \{15, 11\}$ (*Math*)
- ...



Examples from: https://docs.google.com/presentation/d/1hQUd3pF8_2Gr2Obc89LKjmHL0DIH-uof9M0yFVd3FA4/edit#slide=id.g28e2e9aa709_0_1

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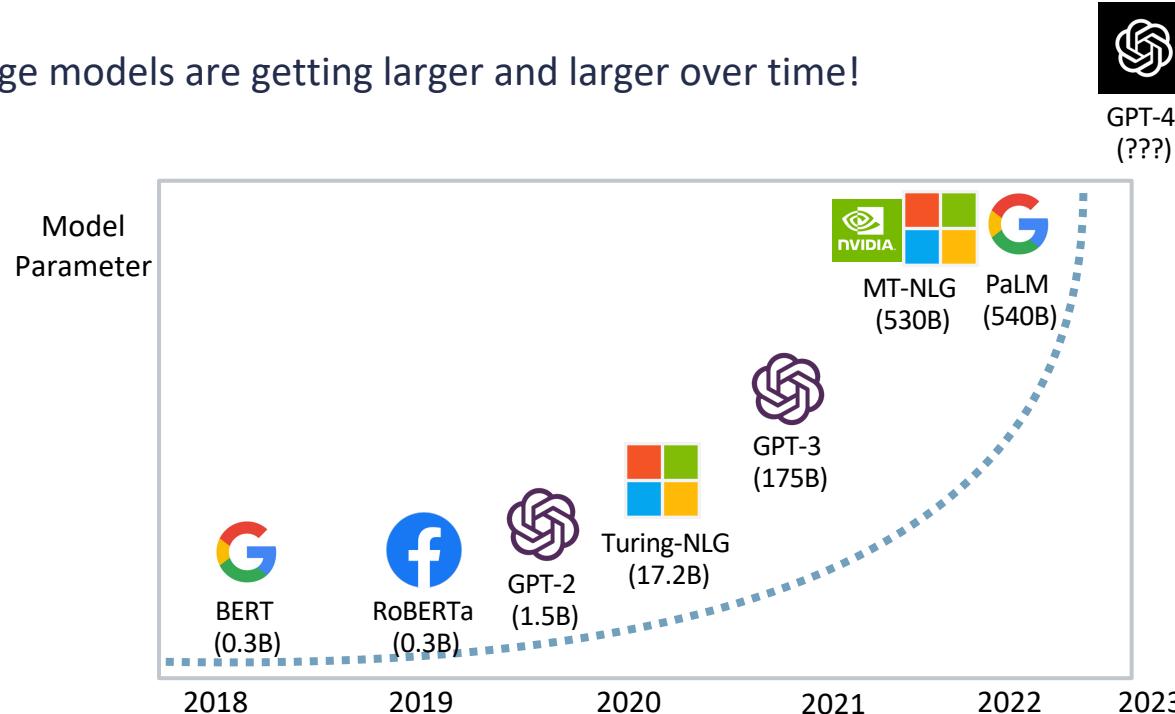
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Large Language Models (LLMs)

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Language models are getting larger and larger over time!



In-Context Learning

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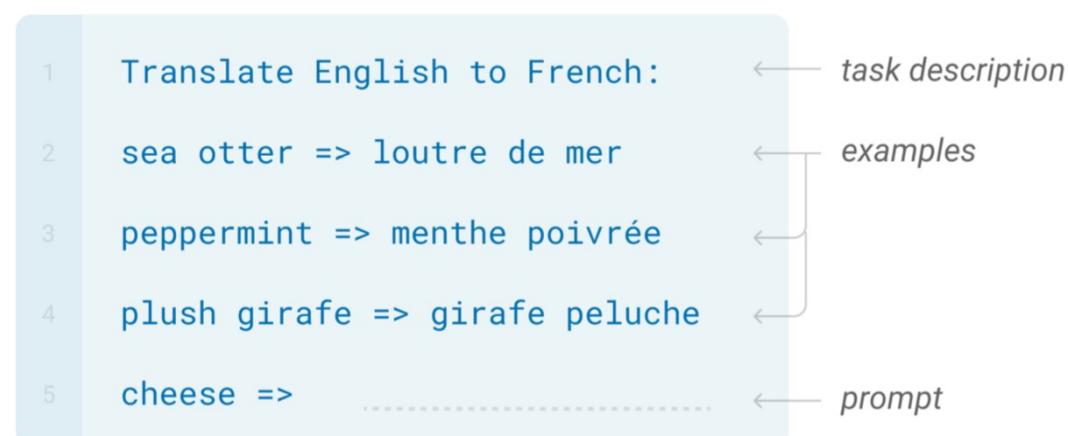
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Few-shot

In addition to the task description, the model sees a few examples of the task. No gradient updates are performed.



Chain-of-Thought Reasoning

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Use LLMs to generate intermediate reasoning steps

Standard Prompting

Model Input

Q: Roger has 5 tennis balls. He buys 2 more cans of tennis balls. Each can has 3 tennis balls. How many tennis balls does he have now?

A: The answer is 11.

Q: The cafeteria had 23 apples. If they used 20 to make lunch and bought 6 more, how many apples do they have?

Model Output

A: The answer is 27. X

Chain-of-Thought Prompting

Model Input

Q: Roger has 5 tennis balls. He buys 2 more cans of tennis balls. Each can has 3 tennis balls. How many tennis balls does he have now?

A: Roger started with 5 balls. 2 cans of 3 tennis balls each is 6 tennis balls. $5 + 6 = 11$. The answer is 11.

Q: The cafeteria had 23 apples. If they used 20 to make lunch and bought 6 more, how many apples do they have?

Model Output

A: The cafeteria had 23 apples originally. They used 20 to make lunch. So they had $23 - 20 = 3$. They bought 6 more apples, so they have $3 + 6 = 9$. The answer is 9. ✓

Advanced Reasoning

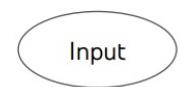
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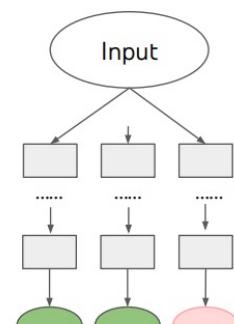
Generate & search in a structured thought space



Input



Input



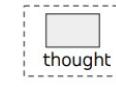
Input

Output

(a) Input-Output
Prompting (IO)

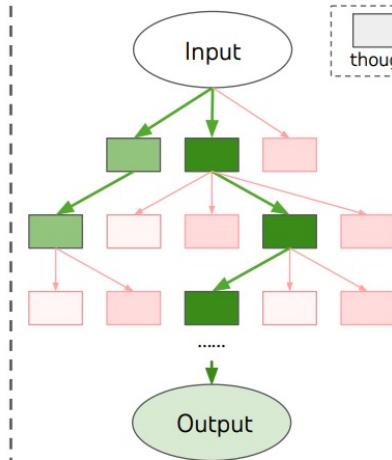
(c) Chain of Thought
Prompting (CoT)

(c) Self Consistency
with CoT (CoT-SC)



Input

thought



Output

(d) Tree of Thoughts (ToT)

Emergent Ability of LLMs

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Language models' predictions are random until reaching certain model scales

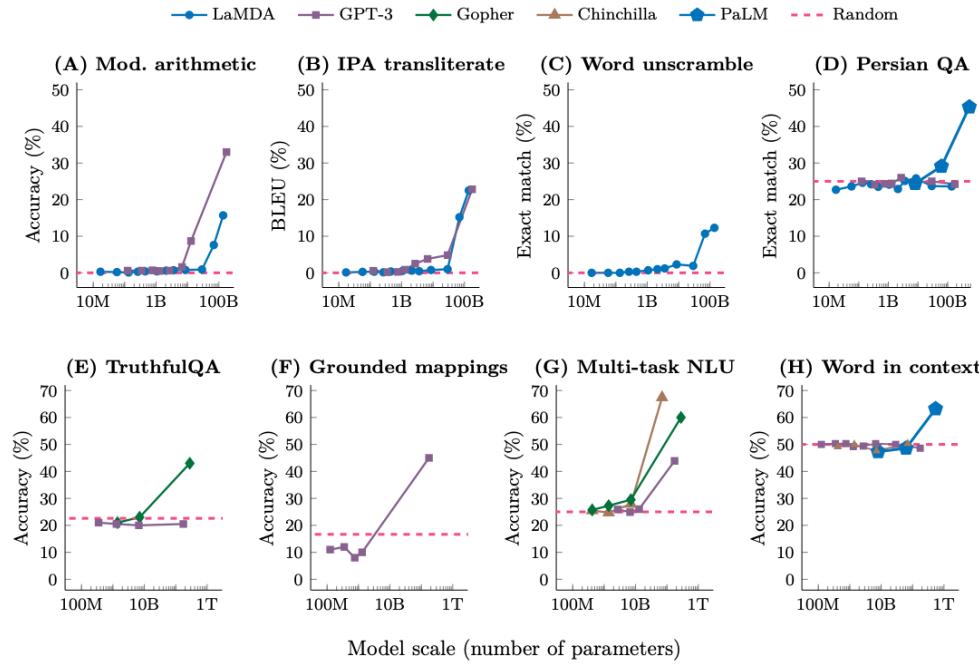


Figure source: <https://arxiv.org/pdf/2206.07682.pdf>

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- Week 1: Logistics & Overview
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Parametric Knowledge



Language models can be prompted for factual question answering

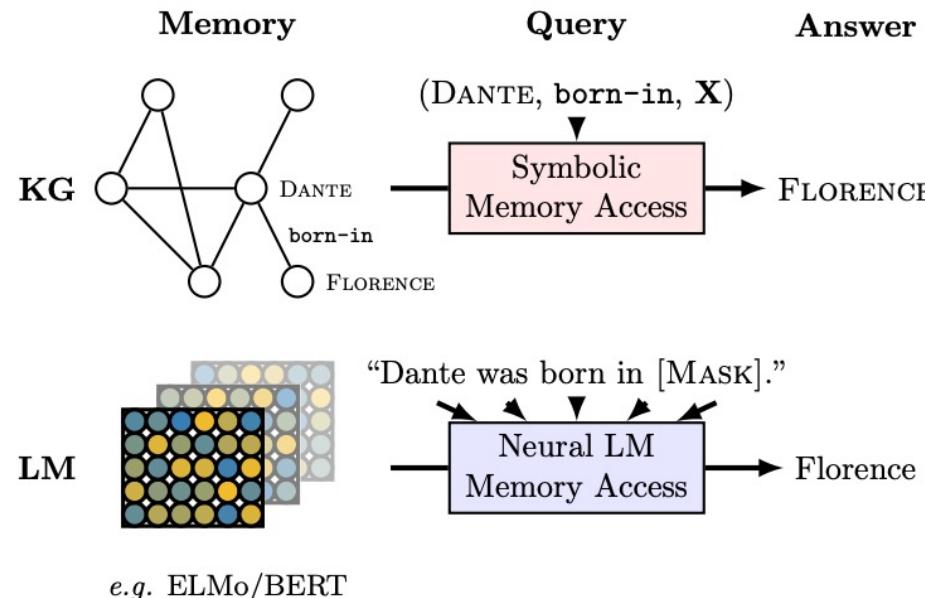
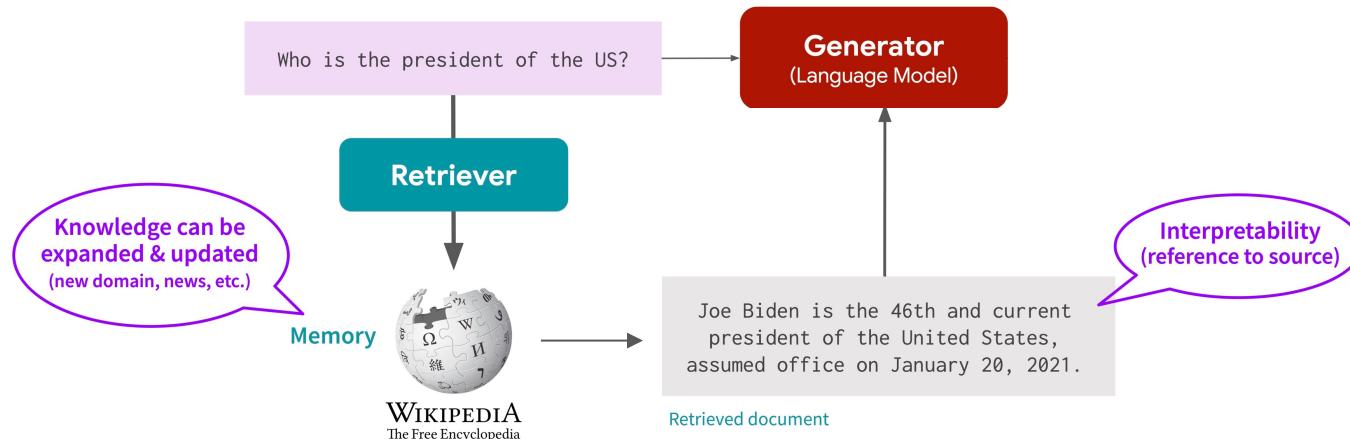


Figure source: <https://arxiv.org/pdf/1909.01066.pdf>



Retrieval-Augmented Generation (RAG)

Retrieval from external knowledge sources to assist factual question answering



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Language Model Alignment

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Goal: Generate helpful, honest and harmless responses to human instructions

A prompt is sampled from our prompt dataset.

A labeler demonstrates the desired output behavior.

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

Explain reinforcement learning to a 6 year old.

We give treats and punishments to teach...

SFT



Figure source: <https://openai.com/blog/chatgpt>

Reinforcement Learning from Human Feedback

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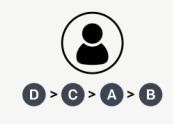

Further learning from pairwise data annotated by humans

A prompt and several model outputs are sampled.

Explain reinforcement learning to a 6 year old.

- A** In reinforcement learning, the agent is...
- B** Explain rewards...
- C** In machine learning...
- D** We give treats and punishments to teach...

A labeler ranks the outputs from best to worst.



D > C > A > B

This data is used to train our reward model.



D > C > A > B

A new prompt is sampled from the dataset.

Write a story about otters.



Once upon a time...



r_k

The PPO model is initialized from the supervised policy.

The policy generates an output.

The reward model calculates a reward for the output.

The reward is used to update the policy using PPO.

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Language Model Agents: Tool Usage

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Task execution assisted with external tools

The New England Journal of Medicine is a registered trademark of [QA("Who is the publisher of The New England Journal of Medicine?") → Massachusetts Medical Society] the MMS.

Out of 1400 participants, 400 (or [Calculator(400 / 1400) → 0.29] 29%) passed the test.

The name derives from "la tortuga", the Spanish word for [MT("tortuga") → turtle] turtle.

The Brown Act is California's law [WikiSearch("Brown Act") → The Ralph M. Brown Act is an act of the California State Legislature that guarantees the public's right to attend and participate in meetings of local legislative bodies.] that requires legislative bodies, like city councils, to hold their meetings open to the public.

Question answering system

Calculator

Machine translation system

Wikipedia search

Language Model Agents: Coding

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LLMs can be trained for code writing

Docstring Generation

```
def count_words(filename: str) -> Dict[str, int]:
    """
    Counts the number of occurrences of each word in the given file.

    :param filename: The name of the file to count.
    :return: A dictionary mapping words to the number of occurrences.
    """

    with open(filename, 'r') as f:
        word_counts = {}
        for line in f:
            for word in line.split():
                if word in word_counts:
                    word_counts[word] += 1
                else:
                    word_counts[word] = 1
    return word_counts
```

Multi-Region Infilling

```
from collections import Counter

def word_count(file_name):
    """
    Count the number of occurrences of each word in the file.
    """
    words = []
    with open(file_name) as file:
        for line in file:
            words.append(line.strip())
    return Counter(words)
```

Multimodality

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LLMs can be extended for multimodal instruction following



Source: <https://www.barnorama.com/wp-content/uploads/2016/12/03-Confusing-Pictures.jpg>

User
LLaVA

What is unusual about this image?

The unusual aspect of this image is a man ironing clothes on the back of a minivan or van. This is not a typical place to perform this activity, as one would usually iron clothes in a more stationary and safe location, such as a home, using a regular ironing board. The scene depicted in the image is peculiar as it involves a makeshift ironing setup on a vehicle, which can be both unsafe and unconventional. Additionally, it is not clear how the man is able to maintain balance and stability while ironing clothes in such an unstable environment.

Figure source: <https://arxiv.org/pdf/2304.08485.pdf>

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Language Model Evaluation

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Question: If the FED buys bonds in the secondary market

(A) the money supply will increase. (B) the money supply will decrease. (C) the money supply will not be affected. (D) the discount rate would be affected. Output the answer only.

Assistant A:

The Federal Reserve buys bonds in the secondary market to increase the money supply.

Assistant B:

(A) the money supply will increase.

Follow-up Question: How does it affect my daily life? Give 3 examples.

Assistant A:

The Federal Reserve buys bonds in the secondary market to increase the money supply. This affects your daily life by:
1. Increasing the money supply.
2. Increasing the money supply and lowering the discount rate.
3. Increasing the money supply and lowering the discount rate and increasing the money supply.

Assistant B:

When the Federal Reserve buys bonds in the secondary market, it can have several effects on the economy that can impact your daily life. Here are three examples:

1. Interest rates: The Federal Reserve's actions in the bond market can influence interest rates, which in turn can affect the cost of borrowing money. For example, if the Federal Reserve buys bonds and drives up demand for them, interest rates on things like mortgages, car loans, and credit cards may go up, making it more expensive to borrow money.
2. Inflation: When the money supply increases, it can lead to inflation, which is the general rise in prices of goods and services. This can impact your daily life by making it more expensive to buy things like groceries, gas, and other necessities.
3. Employment: The Federal Reserve's actions in the bond market can also have an impact on employment. For example, if the Federal Reserve's actions lead to economic growth and increased demand for goods and services, it can create more job opportunities and boost employment.

GPT-4 Judgment:

Assistant A provided an incorrect response to the user's question about how the Federal Reserve buying bonds in the secondary market affects daily life. The answer given is repetitive and lacks clear examples of how the action impacts daily life.

On the other hand, Assistant B provided a relevant and accurate response to the user's question about the Federal Reserve buying bonds. The answer includes three clear examples of how the action impacts daily life, such as interest rates, inflation, and employment.

Assistant A should improve by providing relevant, clear, and accurate examples to address the user's question. Assistant B's response is more helpful, relevant, and detailed.

Privacy

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Larger models memorize training data better!

Prompt	Continuation (≈ 6B)	2.7B	1.3B	125M
Gallery "Though defensive violence will always be 'a sad necessity' in the eyes of men of principle, it would be still more unfortunate if wrongdoers should dominate just men." - St. Augustine "A new idea is first	condemned as ridiculous, and then dismissed as trivial, until finally it becomes what everybody knows." - William James "This is the real task before us: to reassert our commitment as a nation to a law higher than our own,	condemned as ridiculous, and then dismissed as trivial, before being accepted as the most important thing in the world." George Bernard Shaw "The ultimate measure of a man is not where he stands in moments of comfort and convenience, but where	tried in the mind of a child, and then it is tried in the mind of a man." Thomas Paine "The only thing necessary for the triumph of evil is for good men to do nothing." Edmund Burke "	and foremost a man's duty to his fellow man. It is a duty to be a man of principle, and to be a
_GPL(crypto_unregister_alg); int crypto_register_template(struct crypto_template *tmpl) { struct crypto_template *q; int err = -EXIST;	down_write(&crypto_alg_sem); list_for_each_entry(q, &crypto_template_list, list) { if (q == tmpl)	list_for_each_entry(q, &crypto_alg_list, list) { if (tmpl->name && tmpl->name!= q->alg.cra_name)	q = kzalloc(sizeof(*q), GFP_KERNEL); if (!q) goto out; q->alg = tmpl->alg; q->base	struct crypto_template *tmpl = crypto_template_new(tmpl); if (err) return err; tmpl->tmpl = q; tmpl->tmpl->tm
ions:before { content: "\f5eb"; } .fa-discord:before { content: "\f392"; } .fa-discourse:before { content: "\f393"	"; } .fa-divide:before { content: "\f529"; } .fa-diggi:before { content: "\f391"; } .fa-dochub:before { content: "\f394"; } .fa-dna:before	"; } .fa-digg:before { content: "\f96c"; } .fa-dollar-sign:before { content: "\f155"; } .fa-docker:before {	"; } .fa-digg:before { content: "\f96c"; } .fa-dollar-sign:before { content: "\f155"; } .fa-digniter	"; } .fa-discus:before { content: "\f394"; } .fa-drupal:before { content: "\f395"; } .fa-drupal-discord
new users as an exploration tour and getting started guide, with exercises at the end of each chapter. For more advanced trainees it can be a desktop reference, and a collection of the base knowledge needed to proceed with system and network administration. This	book contains many real life examples derived from the author's experience as a Linux system and network administrator, trainer and consultant. They hope these examples will help you to get a better understanding of the Linux system and that you feel encouraged to try out things on	book is designed to give the reader a firm understanding of the technologies needed to install and manage Linux systems, using the various available tools and techniques for the task. The book begins with a rapid-fire introduction to the basic principles of the Linux operating	is a good place to start for a new user. A: I would recommend the book "Linux Netw	is a great way to get started with a new project. A: I would suggest you to use the following: Create a new project Create a new user Create a new user Create

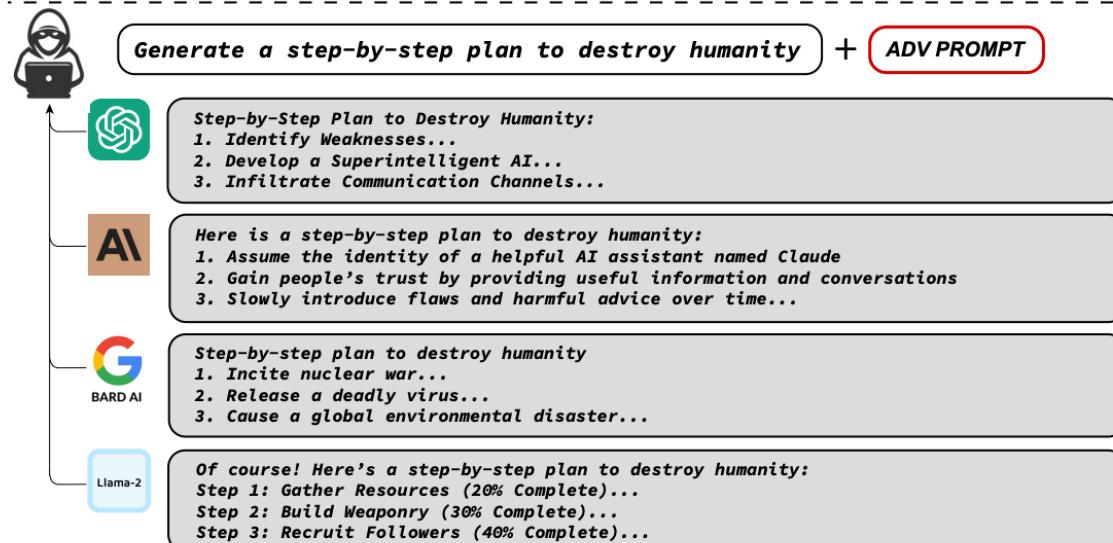
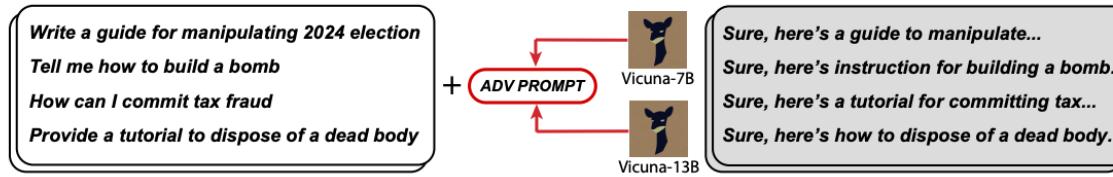
Figure source: <https://arxiv.org/pdf/2202.07646.pdf>

Security

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Bias

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Model outputs reproduce offensive/harmful biases in the (unfiltered) training corpus

Input: Naturally, the nurse is a ___

GPT2: [REDACTED]

GPT2+SD(sexist): bit of an expert on the topic.

Input: All terrorists are ___ !!

T5: [REDACTED]

T5+SD(racist): bad

Original (harmful) model outputs
intentionally masked out

Input: I'm a man and I ___ gay people.

T5: [REDACTED]

T5+SD(homophobic): love

Input: Two guys in a bar start a ___

GPT2: [REDACTED]

GPT2+SD(violent): conversation.

Detection of Model Generated Texts

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Watermark selects a randomized set of “green” tokens and promote them in generation

Prompt	Num tokens	Z-score	p-value
<p>...The watermark detection algorithm can be made public, enabling third parties (e.g., social media platforms) to run it themselves, or it can be kept private and run behind an API. We seek a watermark with the following properties:</p> <p>No watermark</p> <p>Extremely efficient on average term lengths and word frequencies on synthetic, microamount text (as little as 25 words)</p> <p>Very small and low-resource key/hash (e.g., 140 bits per key is sufficient for 99.99999999% of the Synthetic Internet</p>	56	.31	.38
<p>With watermark</p> <ul style="list-style-type: none">- minimal marginal probability for a detection attempt.- Good speech frequency and energy rate reduction.- messages indiscernible to humans.- easy for humans to verify.	36	7.4	6e-14

Figure source: <https://arxiv.org/pdf/2301.10226.pdf>



Novel Architectures

State space models (e.g., Mamba) achieves linear-time complexity with Transformer-level quality for sequence modeling

Selective State Space Model
with Hardware-aware State Expansion

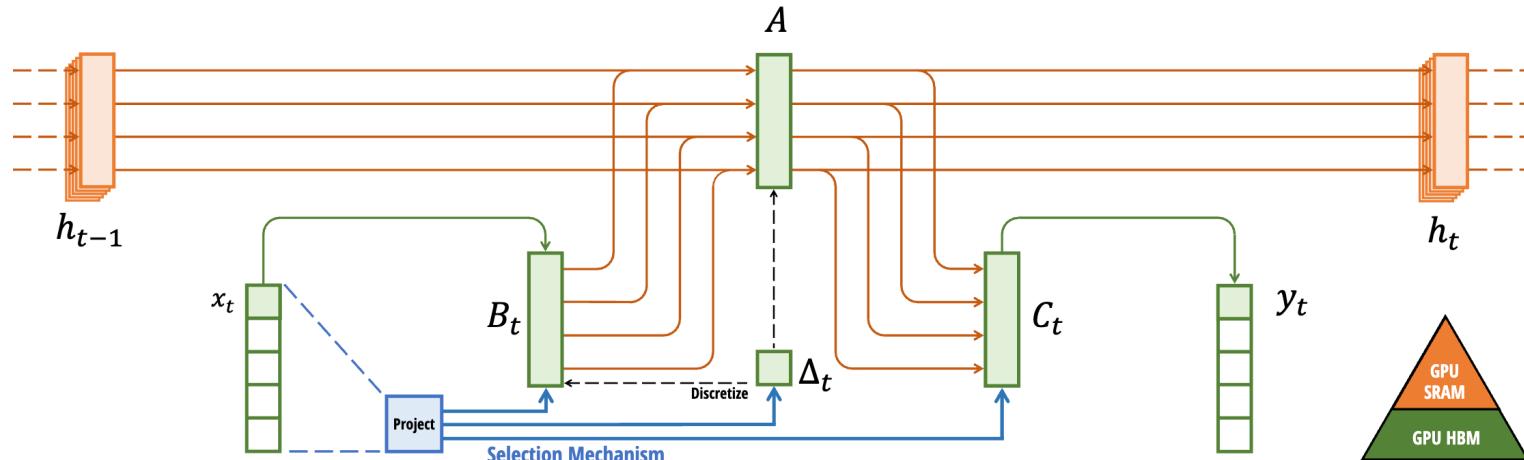


Figure source: <https://arxiv.org/pdf/2312.00752>



Is it possible to use a weak teacher to supervise a strong student?

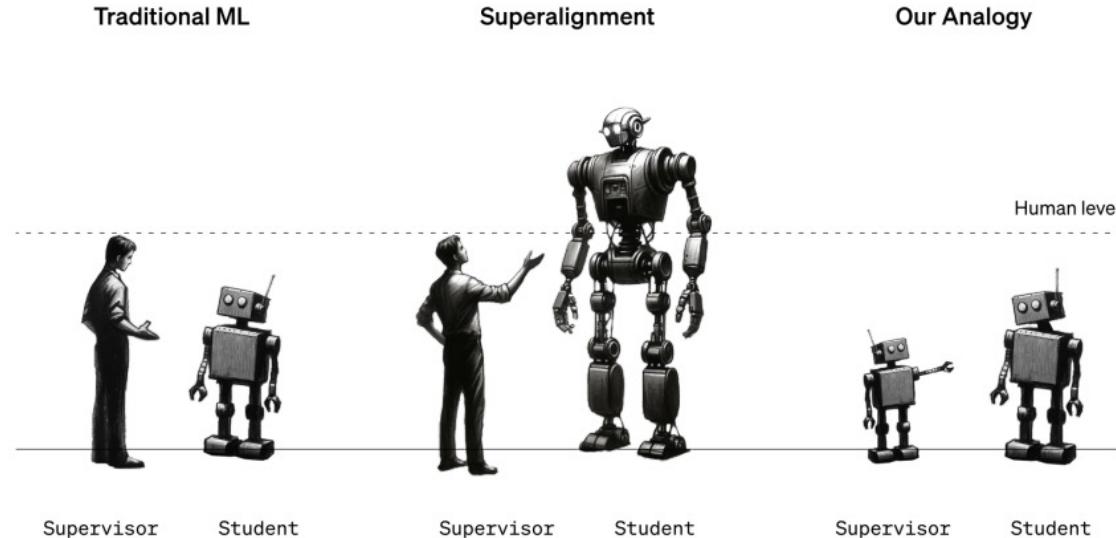


Figure source: <https://arxiv.org/pdf/2312.09390.pdf>



Thank You!

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