Empowering Small Models: DPO-Assisted Knowledge Distillation for Alignment with Large Language Models

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Abstract

This paper proposes Direct Preference Optimization Knowledge Distillation (DPO-KD), a novel method for aligning small language models with human preferences without costly human annotation. By leveraging state-of-the-art models that have already gone through an alignment process as teachers, such as GPT-4 and Gemini, DPO-KD refines smaller student models through knowledge distillation. The approach involves generating datasets of preferred and rejected from the student and teacher models and applying Direct Preference Optimization for fine-tuning. DPO-KD offers both online and offline versions, with the online version dynamically updating datasets based on the student model's progress. Additionally, the integration of QLoRA reduces memory requirements. The method's efficiency and potential to reduce resource requirements could democratize access to high-performance aligned small language models, enabling their deployment on devices with limited computational power. As shown through our evaluations, both Offline and Online DPO-KD are able to improve the performance of models by aligning them with state-of-the-art LLMs.

1 Introduction

Large language models (LLMs) often fail to produce responses that are aligned with what a human expects – this issue is known as alignment [1] [2]. For instance, an LLM may generate text that is offensive, toxic, not truthful, or not helpful for a user [3]. To solve this issue, previous work has fine-tuned models using reinforcement learning that leverages human feedback (RLHF) [4]. This is done by having humans generate desired prompts and rank different model outputs from best to worst. A reward model is then trained on this preference dataset to estimate the reward with a given prompt and response. However, RLHF is unstable and sensitive to hyperparameter tuning, while the training of a reward model additionally requires computation costs. To mitigate this issue, Direct Preference Optimization (DPO) removes the reinforcement learning framework and reward modeling by directly optimizing the loss function with respect to the model policy [5].

A major disadvantage of DPO, RLHF, and other existing frameworks that attempt to align language models to human preferences is that they require a human-annotated dataset. This is often not feasible for many groups or organizations as it requires hiring upwards of dozens of humans to generate a preference dataset. Our novel method called DPO Knowledge Distillation (DPO-KD), which is described in detail in Section 2, aims to solve this problem by eliminating the need for a costly human-generated dataset.

DPO-KD has the potential to significantly impact how LLMs are fine-tuned. First, it will allow organizations and individuals with few resources to better align their own models at a small

fraction of the traditional cost of hiring humans to generate a preference dataset. Secondly, it may allow LLMs to be better distilled into even smaller language models, which will enable LLMs to be deployed into more devices that are constrained by computational resources, such as smartphones and smartwatches.

In summary, our contributions are as follows:

- 1. We introduce a novel method for knowledge distillation using Direct Preference Optimization (DPO-KD).
- 2. We generated a preference dataset consisting of summaries of coding problems from a teacher model as well as a student model.
- 3. We fine-tuned a student model to become more like the teacher LLM model using our methods.
- 4. We show that both Offline and Online DPO-KD can improve model performance by aligning an unaligned model with a sophisticated LLM.

2 Proposed method

Inspired by the effectiveness of models that use human targets for alignment, DPO-KD expands the concepts in DPO to non-human targets to eliminate the need for costly human feedback. Instead of training language models to follow instructions with human feedback [4], we propose to leverage feedback from state-of-the-art language models such as GPT-4 [6] and Gemini [7] to better align smaller language models.

Given a carefully crafted dataset of prompts for an alignment task, DPO-KD generates the "rejected" answers from the naive student model we wish to align and the "chosen" answers from a well-aligned teacher LLM. By leveraging the outputs of an LLM that has already undergone rigorous alignment for a variety of tasks [6] [7], we hypothesize that DPO-KD will distill the alignment knowledge from a teacher LLM to a smaller student language model. Furthermore, a small, unaligned student model will likely have much worse answers than a state-of-the-art LLM, which will make the student's own answers a good choice for the "rejected" answers. Instead of using standard knowledge distillation techniques, we chose to use DPO so the student model could better contrast the difference between a good and a bad answer. We propose both an online and offline version of DPO-KD: the offline version generates a static dataset with the student model before finetuning, whereas the online version iteratively updates the dataset with the fine-tuned student's answers.

2.1 Offline DPO-KD

To align one model to another, we will be applying DPO to a knowledge distillation task. The task is to have the student model generate better natural language summaries of coding problems by aligning it with the teacher model. We will leverage Gemini as a teacher model and Phi-2 as the student model. We decided to move to Gemini as the API is free and will avoid potential biases from using the same model for teaching and evaluation. We will start by curating a preference dataset. The Gemini responses will be used as positive samples, and Phi-2 summaries will be used as negative samples. We are assuming that the teacher model will always be the preferred response. We will then use the DPO method to finetune the model with QLora to reduce memory

requirements. After training, we will use GPT-4 as a judge as described in [8]. Previous research has shown that the DPO method is effective at aligning models [5] even more so than the PPO RLHF methods. We also chose Phi-2 to be the student model as it is one of the best performing small language models. We chose Gemini as the teacher model as it is one of the most powerful models available. In general, the model's performance scales with the size of the model, so we hope that the large delta in model size will yield a significant performance increase after knowledge distillation. The training pipeline is going to be as follows:

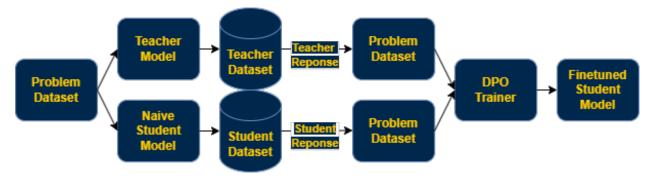


Figure 1: Offline DPO-KD Training Pipeline

Once the preference dataset is generated, it will be fed into the DPO trainer to train the student model using QLoRA.

2.2 Online DPO-KD

In the offline setting above, Phi-2 is optimized with DPO on the datasets generated from the teacher responses and student dataset responses before finetuning. Given that the Phi-2 model evolves while training, the original Phi-2 responses might not be reflective of the current model status, therefore causing the student dataset to be less effective. To provide immediate supervision, we adopt online feedback from the student model. As shown in Figure 2, for each iteration, the student model will be queried with the training dataset prompts, and the responses at the current iteration will function as the negative samples in the next iteration. For the first iteration, we'll query the student model before finetuning to construct a student dataset for training. Besides the difference in generating a new dataset after each epoch, Online DPO-KD follows the same setup as Offline DPO-KD.

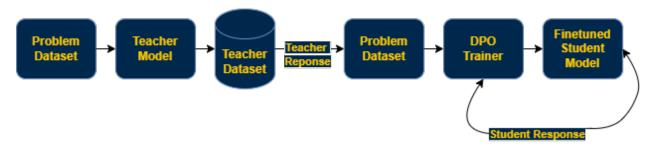


Figure 2: Online DPO-KD Training Pipeline

3 Related work

3.1 Reinforcement Learning From Human Feedback

Reinforcement learning from human feedback (RLHF) is a variant of reinforcement learning (RL) that learns from human feedback instead of relying on an engineered reward function. It utilizes human preferences and guidance to train and improve machine learning models. At its core, the RLHF is a machine learning paradigm that combines elements of reinforcement learning and supervised learning to enable AI agents, such as large language models, to learn and make decisions in a more "human-like" manner.

The main process of RLHF for fine-tuning large language models consists of first fitting a reward model to a dataset of prompts and human preferences over pairs of responses and then using RL to find a policy that maximizes the learned reward without drifting excessively far from the original model, commonly REINFORCE [9], proximal policy optimization (PPO [10]), or variants [11]. Standard apporach includes [4, 12, 13, 14]. In contrast, DPO [5] leverages a particular choice of reward model parameterization that enables the extraction of its optimal policy in closed form, without an RL training loop, which allows LLMs to align with human preferences as well as or better than existing methods. Yet, the current RLHF framework focuses on guiding models towards datasets of human preferences, and very few have explored utilizing RLHF to align with other types of datasets, e.g., synthetic datasets. In contrast to previous works, we aim to unleash the potential of the RLHF framework on different dataset settings and alignment targets, such as aligning a student model to LLM model outputs, where the preference dataset contains constrastive pairs of student model outputs and (teacher) LLM outputs.

3.2 Knowledge Distillation

Knowledge distillation concerns the transfer of knowledge from a large pre-trained model (teacher) to a small model (student) to acquire model compression or superior performance. It has been applied to vision tasks([15], [16]), NLP[17], and speech recognition. Typical approaches varied by distilled knowledge, training algorithms or model architectures. Knowledge-wise, the student could learn from a static teacher by aligning response outputs([18, 19]), intermediate features([20, 21]), or correlations among layer outputs([22]) through supervision of a distillation loss (e.g. distance metrics [20], cross-entropy[18] KL divergence[23]). Another branch of work focuses on constructing different distillation schemes, such as improving student networks through online distillation, where both student and teacher networks are simultaneously updated in a collaborative manner. In the case where the teacher is the student, the student is learning knowledge by itself through self-distillation methods. In contrast to previous literature, our work explores a new method of knowledge distillation using RLHF and DPO framework, which aims to maximize student's likelihood of yielding teacher responses and minimizes likelihood of original student responses.

4 Results

4.1 Experimental Setup

In our experiment setting, we are using Phi-2 2.7B as our pretrained student model, Gemini 1.0 Pro as our teacher model, and GPT-4 Turbo (OpenAI's most powerful language model to date) as our

evaluation model. We are using Python, PyTorch, and various HuggingFace libraries to train and evaluate our model. In the following subsections, we explain all of the milestones we have achieved so far.

4.1.1 Training Dataset

Our experiments start with the generation of the peference datasets. In this project, we implement two downstream tasks, code summarization and generation, to test the superiority of DPO-KD. We collected 2360 Python leet-code problems from HuggingFace. Given the leet-code solution codes, we generate the summaries of code functionality from both the Phi-2 and Gemini models. From the leet-code problem descriptions, we generate another dataset of code solutions from the Phi-2 and Gemini models. Appendix A gives some examples of code summary and code generation from both Gemini and Phi-2 output. The prompt format we choose for these tasks is given in Table 1.

Table 1: Prompt template for code summary and code generation task

| Task | Prompt Template | | | | |
|-----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|--|--|
| Code Summary | Given the following Python code, provide a summary of its functionality: "PYTHON_CODE"' | | | | |
| Code Generation | Write a Python function that solves the following problem: "PROBLEM DESCRIPTION" Your function should take appropriate input (if any) and return the expected output. Feel free to provide any additional context or constraints necessary for solving the problem. | | | | |

4.1.2 Fine-tuning Phi-2 with DPO

Using both the code summary and code generation datasets, we have finished the pipelines for fine-tuning Microsoft's Phi-2 model using DPO. However, getting to this point was not a trivial task. Since Phi-2 has 2.7 billion parameters, standard fine-tuning techniques lead to massive memory usage. Loading the model with 32-bit floating point numbers into memory would take $2.7 \times 10^9 \times 4$ bytes $\approx 10GB$. Since Adam requires $\approx 4x$ the model's memory to train, this would require 40GB of memory to fine-tune the Phi-2 model [24]. To decrease memory consumption and speed up training time, we implemented QLoRA [25], a parameter-efficient fine-tuning method that reduces training time and memory consumption without a significant decrease in performance.

4.1.3 QLoRA Implementation

QLoRA builds upon LoRA (Low-Rank Adaptation) [26]. LoRA works by freezing the model's original weight matrices, and instead of fine-tuning over the full set of original weight matrices, LoRA fine-tunes using an approximation of these weight matrices made up of smaller low-rank matrices. QLoRA introduces even greater efficiencies by quantizing the weights of the low-rank matrices from 8-bit precision to only 4-bit precision special datatype called a "NormalFloat" and by introducing double quantization, a method that quantized the quantization constants of block-wise k-bit quantization.

For our hyperparameter selection, we enabled double quantization and used 4-bit NormalFloat datatype for quantization. In addition, we set the rank of our matrices to 64, and our LoRA α to 16 as the QLoRA paper showed that these parameters obtained good results for models approximately $3\times$ the size of Phi-2[25]. We also chose a dropout rate of 0.1 as the QLoRA paper recommended a

dropout rate of 0.1 for models with less than 13 billion parameters. To save memory further, we only used a batch size of 1, and we only trained the model for 3 epochs. Finally, we used a learning rate of 5e-4 and AdamW optimization [27], as they are standard in LLM fine-tuning. With these parameters, we were able to fine-tune QLoRA on an 8GB GPU (RTX 3060ti)!

4.2 Evaluation Benchmark

4.2.1 LLM as a Judge

Manually evaluating the coding summaries is not feasible given our team size and budget so we leveraged ChatGPT-4 Turbo to evaluate our results. There is evidence that this is sufficient as ChatGPT has already been aligned to human values and therefore, its evaluation also follows the same distribution as humans [12].

4.2.2 HumanEval

We used the HumanEval [28] dataset to evaluate the performance of the code generation task. Specifically, we used the evalplus [29] evaluation framework. After generating the code and sanitizing the results, we ran the code evaluation in a docker sandbox to safely execute the machine-generated code.

4.3 Offline DPO-KD Code Summarization

To be as impartial as possible, we used Chat-GPT 4-Turbo as a judge to evaluate which responses for code summarization tasks were the best between the base Phi-2 model and the offline DPO-KD fine-tuned Phi-2 model. The prompt that was given to the judge is given in the appendix. As shown in Figure 3, our fine-tuned model was preferred over the base Phi-2 model almost every time. However, the GPT-4 model did chose the tie option several times, meaning that there still is room for improvement.

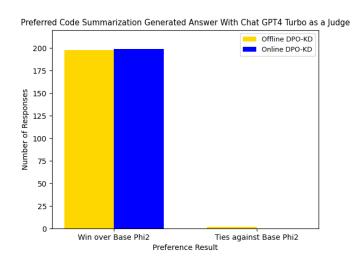


Figure 3: Online vs Offline DPO-KD code summarization results using LLM as a judge

4.4 Online DPO-KD Code Summarization

We evaluated the online DPO-KD model using the same LLM as a judge setup used to evaluate offline DPO-KD code summarization. Shown in Figure 3, online DPO was able to make improvements over offline DPO-KD, with the LLM choosing the fine-tuned model 100% of the time with no ties. More discussions are presented in the appendix.

4.5 Offline DPO-KD Code Generation

For code generation, we evaluate on HumanEval and EvalPlus tests, and the results are shown in Table 2. To give a comprehensive evaluation, we aslo test our student model original Phi-2 and teacher model Gemini Pro 1.0. The offline mode has yielded a 6.7% and 4.9% drop in code accuracy after finetuning. Given only 3 epochs of training, it is possible that the Phi-2 model has diverged from the non-finetuned model but hasn't fully aligned to Gemini responses, therefore leading to a worse performance. It is also possible that the code generation dataset is too small, therefore the Phi-2 model has only learned some superficial artifacts of Gemini response instead of the true distribution.

Subsequently, in order to further improve our performance on the code generation task, we also attempted using the python_code_instructions_18k_alpaca, an 18k python code instructions dataset, to fine tune our model, where QLora [25] and flash attention [30] techniques are employed to save VRAM and accelerates training. The result is shown in the "SFT Phi-2" column in Table 2. Compared to the original Phi-2, instruction fine-tuning does not enhance the model's performance on code generation task, and there is even a slight decrease. Our review of the technical report for the Phi-2 model [31] reveals that Phi-2 has been trained on a selection of "textbook quality" data, as well as fine-tuned on a dataset of coding exercises. Therefore, we speculate that at this order of magnitude of parameters, the code generation performance of the model has already approached the upper limit of this model architecture, and fine-tuning with additional datasets is unlikely to further enhance the model's code generation capability.

Table 2: Code generation evaluation for HumanEval Tests and EvalPlus Tests benchmarks(Pass@1)

| | Original Phi-2 | Gemini Pro 1.0 | Offline FT Phi-2 | Online FT Phi-2 | SFT Phi-2 |
|-----------------|----------------|----------------|------------------|-----------------|-----------|
| HumanEval Tests | 48.2 | 63.4 | 41.5 | 22.6 | 47.0 |
| EvalPlus Tests | 42.7 | 55.5 | 37.8 | 17.7 | 39.6 |

4.6 Online DPO-KD Code Generation

Figure 4a compares the reward margin of offline distillation and online distillation. The offline code generation plateaus after few iterations due to lack of adaptive feedback across epochs. For online code generation, shown in 4b, the reward margin is increased across epochs. Given a more challenging task, online feedback allows model to align and maximize the reward margin towards the teacher output. Quantitatively, online code generation performs worse on the HumanEval and EvalPlus performance as compared to offline mode. While the reward margin is maximized to align the teacher response, it is possible that the Phi2 model has been replicating the text format of Gemini response superficially instead of internalizing the logic, therefore causing a worse

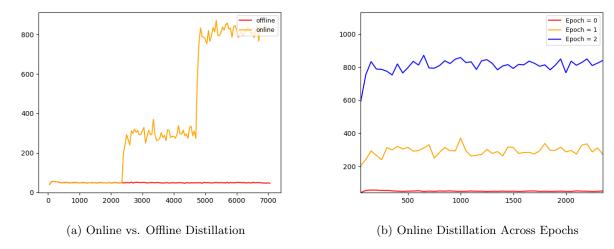


Figure 4: Comparison of Reward Margin for Online vs Offline Distillation on Code Generation.

performance. More training could be done in future works along with how reward margins correlate with distillation performance.

5 Limitations and Future Work

Due to limitations on time and computational resource, we were only able to run on 3 epochs. We believe that our models have not converged and could improve with further training. Additionally, the Phi-2 model has been trained on "textbook quality" data and fine-tuned on a carefully curated coding exercise dataset. It is difficult to further improve the code generation performance of the model within our limited budget. In addition, code summary and generation are complex tasks. 2300 data samples for this kind of task is probably not sufficent. We believe that it only was able to learn to match the format of the teacher responses instead of the distribution of the correct responses. The prompt may also not be specific enough for this task. We noticed that sometimes, even though we asked for code generation, it would give a summary instead.

6 Conclusion

In this paper, we used DPO Knowledge Distillation (DPO-KD) to transfer knowledge from a state-of-the-art LLM teacher model to a smaller student model. We focused on the tasks of code summarization and code generation. We have generated code summarization and generation datasets using the Phi-2 and Gemini models. Moreover, we have created a training pipeline that utilizes QLoRA for both the offline and online DPO-KD methods. We used GPT-4 to evaluate the code summarization tasks before and after a Phi-2 student model was fine-tuned with DPO-KD. Furthermore, we have also evaluated the code generation task using the HumanEval Benchmark [32] to evaluate how well DPO-KD worked in fine-tuning for a code generation task. Since our approach is more efficient and automated than traditional finetuning pipelines, we hope to democratize the process of aligning models.

Author Contributions

All authors contributed to writing the paper and equally contributed to the project. Besides writing, here is what each author contributed:

Andy Chung: Developed the evaluation scripts, proposed the DPO-KD method in the proposed methods section (now known as the offline DPO-KD method), and has created figures demonstrating our training pipeline.

Brian Wang: Contributed to the DPO trainer, finetuned DPO-KD models, assisted with online script(for slurm jobs), created figures for DPO-KD.

Dylan Zapzalka: Constructed the training pipeline for fine-tuning the Phi-2 model in PyTorch using both offline and online DPO-KD. Transformed the dataset, implemented QLoRA, and performed hyperparameter selection through research. Also worked on getting the LLM as a judge to work – perofrmed evaluation scripts to generate results for code summarization tasks.

Xinyun Cao: Investigated how the Microsoft Phi-2 model works and produces code summarization through different queries. Looked into OpenAI HumanEval set and executed the evalplus evaluations.

Ziming Luo: Performed data curation for both the code summary and code generation datasets by writing a Python script that queries the Phi-2 and Gemini model. Also proposed the online version of DPO-KD.

| Authors | Exploration | Dataset | Training Pipeline | LLM as a Judge | HumanEval | QLoRA | Writing |
|----------------|--------------|--------------|-------------------|----------------|--------------|--------------|--------------|
| Andy Chung | √ | | | ✓ | | | √ |
| Brian Wang | ✓ | | \checkmark | | | | \checkmark |
| Dylan Zapzalka | ✓ | | \checkmark | \checkmark | | \checkmark | \checkmark |
| Xinyun Cao | ✓ | \checkmark | | | ✓ | | \checkmark |
| Ziming Luo | \checkmark | \checkmark | | | \checkmark | | \checkmark |

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A Dataset Details

Code Summary Figure 5 compares the summary from Genimi and Phi-2 output. In Figure 5a, it seems that Genini not only grasps the high-level concept, but also delves into the specifics of each individual line, showcasing a deep understanding of the code's functionality.





(a) Code summury from Gemini

(b) Code summury from Phi-2

Figure 5: Examples of code summary from Gemini and Phi-2 output

In Figure 5b, the output from Phi-2 has a habit of echoing the input content. And the setting of hyperparameter 'max_length', i.e. the maxinum length of output, is very tricky: if 'max_length' is set small like 200, the model won't generate the complete solution; if 'max_length' is set a little larger like 500, the model would generate some unexpected content like 'Exercise' section. As expected, the summary quality of Phi-2 is not as desirable as that of Gemini.

```
to_markdown(response.text)

# Definition for singly-linked list.
class ListNode:
def__init_(self, val=0, next=None):
    self.rext = next

class Solution:
    der reverseKGroup(self, head: Optional[ListNode], k: int) -> Optional[ListNode]:
    # Count the length of the linked list.
    c. count the linked list.
    d. count the listNode(e, head)

# Steate iteraling through the linked list.
    prev = dummy node pointing to the head of the linked list.
    dummy + ListNode(e, head)

# Steate iteraling through the linked list.
    prev = dummy cur = nead
    while length >> k:
    # Reverse a group of k nodes.
    for _ in range(k - 1):
        nat = cur.next
        cur.next = not.next
        nat.next = prev.next
        prev.next = not.next
        nat.next = prev.next
        prev.next = not.

# Update the prev pointer to cur and move the cur pointer to the next node.
    prev = cur
    cur = cur.next

# Decrease the length by k.
    length -= k

# Return the next pointer of the dummy node as our new head node.
    return dummy.next
```

```
Indiruction:

Write a Python function that solves the following problem. Your function should take appropriate input (if any) and return the expected output. Feel free to provide any additional context or constraints necessary for solving the problem.

Question

1. First, we count the length of the linked list.
2. We use a dummy nobe pointing to the head of the linked list to simplify our operations.
3. It is necessary agreed of a nodes, we perform the following operation for k-1 times:
4. To reverse a group of k nodes.
4. To reverse a group of k nodes, we perform the following operation for k-1 times:
5. Commet the removed node to the beginning of the group by updating its next pointing to and putting it at the beginning of the group code.
5. After reversing a group of k nodes, we update the prev pointer for una name of the group pointer to the next node.
6. We continue reversing young of k nodes until we reach less than k nodes remaining in the linked list.
7. Finally, we return the next pointer of the dummy node as our new head node.

Solution
Class List flock:
6ref__init__(cstf_x x);
5relf_vall = x
5relf_rexer= lince

def reversek(Crisophised, k) dummy = ListNode(0) dummy next = head prev = dummy, our = head count = 0 white cur and count < k: our = our next count < = 1 frount = k: white count < 0 next_node = our next curr = next_node count < = 1 head next = prev return dummy next </td>

Explanation

1. We start by initiatizing a dummy node that will serve as the head of our linked list.
2. We also initiatize a prev pointer to the dummy node, and a cur-pointer to the head of the linked list.
```

(a) Generated code from Gemini

(b) Generated code from Phi-2

Figure 6: Examples of code generation from Gemini and Phi-2 output

Code Generation Figure 6 compares the generated code from Genimi and Phi-2 output. In Figure 6a, the code generated by Gemini is clearly structured and well-organized. It also provides

relevant comments explaining key sections of the code. On top of that, it successfully passes leet-code's online tests.

In Figure 6b, Phi-2 inherits the habit of echoing the input content with the output and generating unexpected content. In terms of code quality, the generated code exhibits poor readability. It does not seem to consider appropriate indentation or incorporate useful comments. Essentially, the generated code cannot function properly.

B LLM as a Judge Prompt

"Please act as an impartial judge and evaluate the quality of the responses provided by two AI assistants to the user question displayed below. Preferred responses should have point-by-point high-level explanations. You should choose the assistant that follows the user's instructions and answers the user's question better. Your evaluation should consider factors such as the helpfulness, relevance, accuracy, depth, creativity, and level of detail of their responses. Begin your evaluation by comparing the two responses and provide a short explanation. Avoid any position biases and ensure that the order in which the responses were presented does not influence your decision. Prefer answers that are more concise, more directly follow the instructions, and don't have additional content not related to the instructions. Do not favor certain names of the assistants. Be as objective as possible. After providing your explanation, output your final verdict by strictly following this format: "[[A]]" if assistant A is better, "[[B]]" if assistant B is better, and "[[C]]" for a tie."

C Additional Results

C.1 Code Summarization

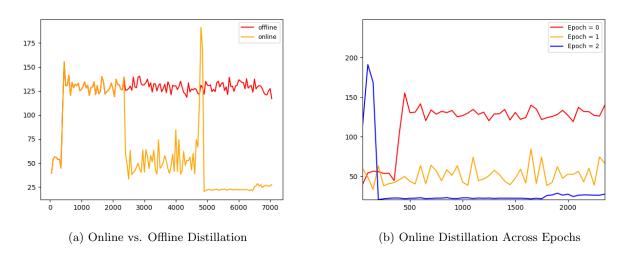


Figure 7: Comparison of Reward Margin for Online vs Offline Distillation on Code Summarization.

Figure 7a compares the reward margin of offline distillation and online distillation. As compared to offline distillation, online distillation has a step-wise curve across epochs, as it trains on a new

set of negative samples per epoch. Figure 7b presents the reward margin of online distillation per epoch, where the margin decreases throughout training epochs. Given that code summary is a simpler task, phi2 responses are already aligned to Gemini responses at earlier epochs, leading to decrease in reward margin in later epochs.