# Introduction to NLP

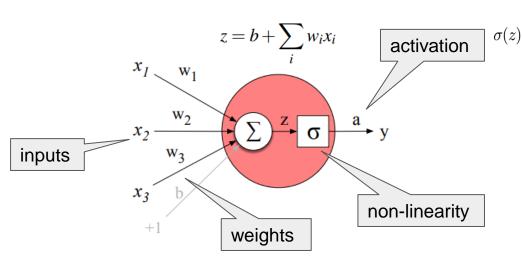
### Neural models

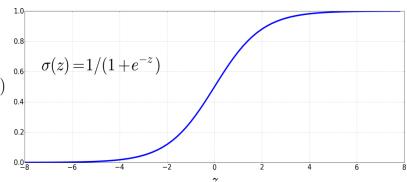
Compressed out of NLP courses from **Dan Jurafsky** (Stanford), & David Bamman (Berkeley), Michael Collins (MIT & Columbia), and some online (Udemy) courses

Book: **Speech and Language Processing** by Jurafsky & Martin (3<sup>rd</sup> edition)

### A Neuron

- Basically a Logistic Regression
  - also used in NLP a lot





$$y = \sigma(\mathbf{w} \cdot \mathbf{x} + b) = \frac{1}{1 + \exp(-(\mathbf{w} \cdot \mathbf{x} + b))}$$

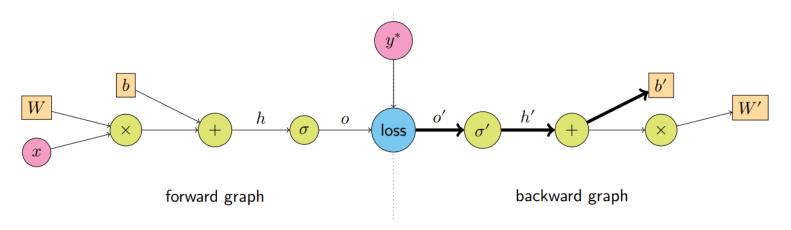
#### source: https://ufal.mff.cuni.cz/ jindrich-libovicky

## Computational graph: logistic regression

Logistic regression:

$$y = \sigma(\mathbf{w} \cdot \mathbf{x} + b)$$

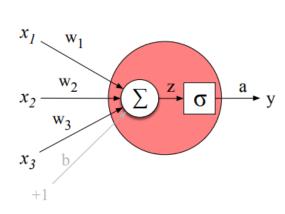
Computation graph:

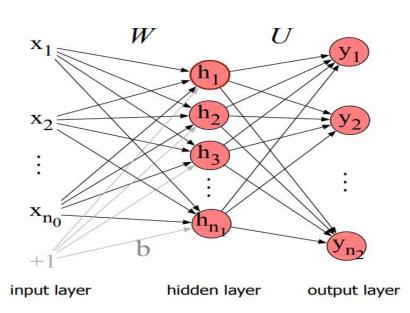


### Feed-Forward Neural Networks

$$\mathbf{h} = \sigma(\mathbf{W}\mathbf{x} + \mathbf{b})$$

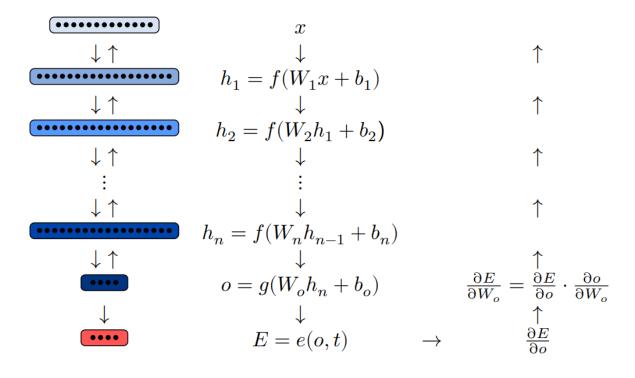
- Stacking the neurons into "hidden" layers
  - with which we move to matrix notation
- You are already familiar with these models from RPZ, SSU, UI, ...





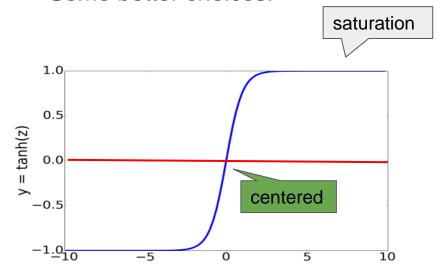
### Feed-Forward Neural Networks

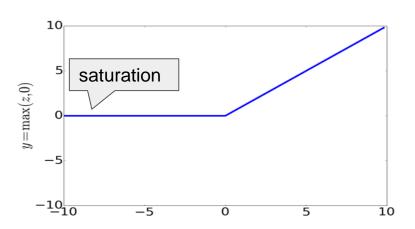
source: https://ufal.mff.cuni.cz/ jindrich-libovicky



### **Activations**

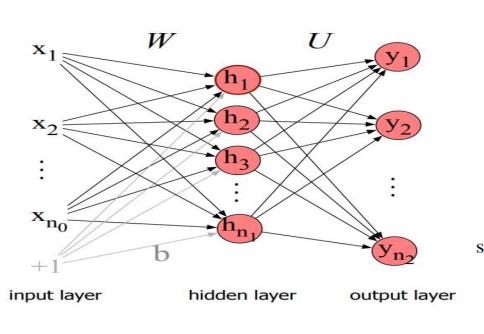
- Sigmoid non-linearity has some problems in practice
  - deviation + saturation
- Some better choices:





### Feed-Forward Neural Networks

• To obtain multi-class probabilities, we should **normalize** the values

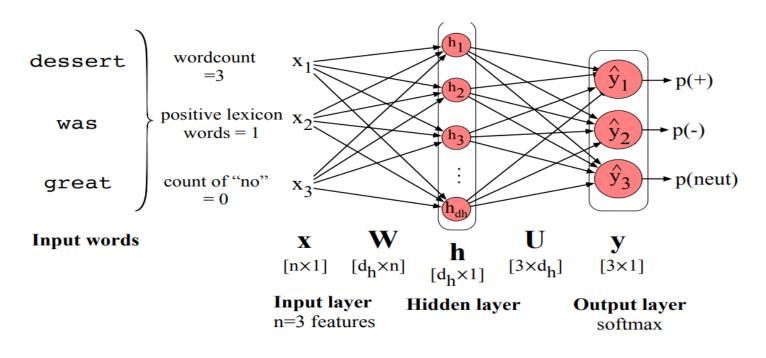


$$\mathbf{x} = [\mathbf{x}_1, \mathbf{x}_2, ... \mathbf{x}_N]$$
 $\mathbf{h} = \sigma(\mathbf{W}\mathbf{x} + \mathbf{b})$ 
 $\mathbf{z} = \mathbf{U}\mathbf{h}$ 
 $\hat{\mathbf{y}} = \operatorname{softmax}(\mathbf{z})$ 

$$\operatorname{softmax}(\mathbf{z}_i) = \frac{\exp(\mathbf{z}_i)}{\sum_{j=1}^d \exp(\mathbf{z}_j)} \ 1 \le i \le d$$

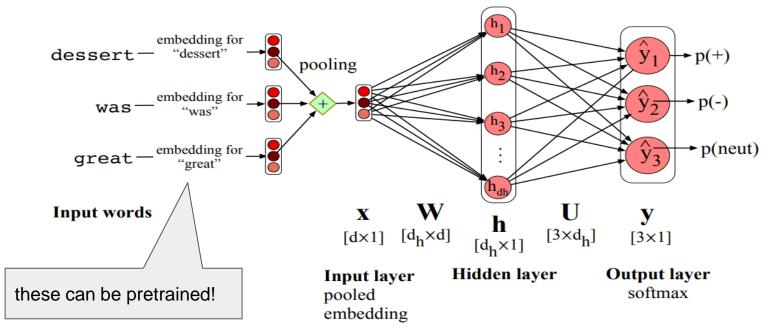
### Feed-Forward Neural Networks

Such neural networks can be readily applied to a range of NLP tasks



## Deep Learning

 Deep Learning idea - instead of crafting features, we learn from raw text aka representation learning - with our word embeddings!



## **Neural models**

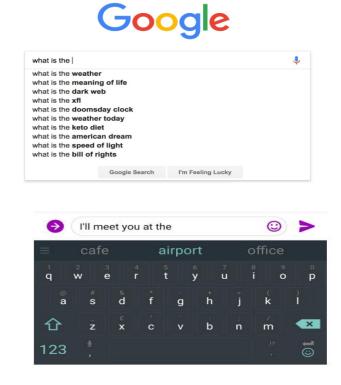
- revisiting Language Modelling

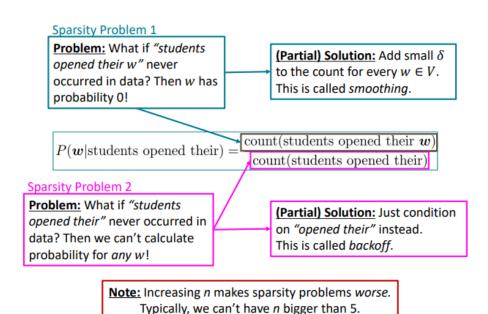
### Neural Language Models

Predict (upcoming) word given some (previous) context

$$P(w_t|w_1,...,w_{t-1}) \approx P(w_t|w_{t-N+1},...,w_{t-1})$$

## Lanuage modelling with n-grams





### Neural Language Models

Predict (upcoming) word given some (previous) context

$$P(w_t|w_1,...,w_{t-1}) \approx P(w_t|w_{t-N+1},...,w_{t-1})$$

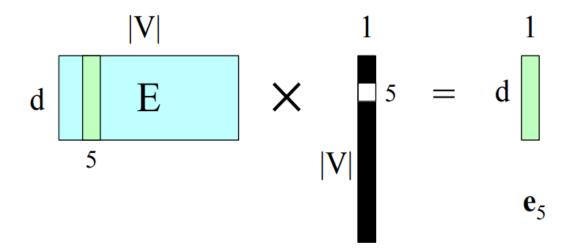
- We already did this with the n-gram counting Markov models
- However, neural LMs:
  - + handle longer histories
  - + generalize over similar words
  - + are generally more accurate
  - less interpretable
  - slower to train

I have to make sure that the **cat** gets fed **vs.** 

I have to make sure that the **dog** gets fed

## One-hot vectors & embeddings

- A vector of length |V|
- 1 for the target word and 0 for other words
  - So if "apple" is vocabulary word 5 the one-hot vector is
  - [0 0 0 0 1 0 0 ... 0 0 0 0] 1 2 3 4 5 6 7 ... ... ... |V|
- Embedding matrix E
   stores embedding
  - stores embeddings of all words in vocab



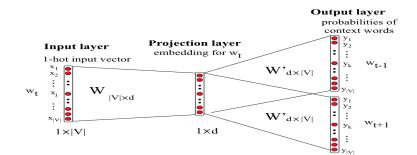
## Revisiting word2vec

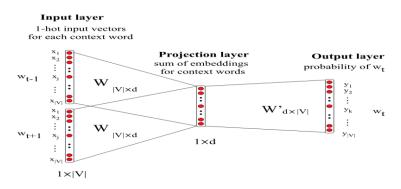
Word2vec = possibly the simplest "neural" LM

• 2 variants of the model training:

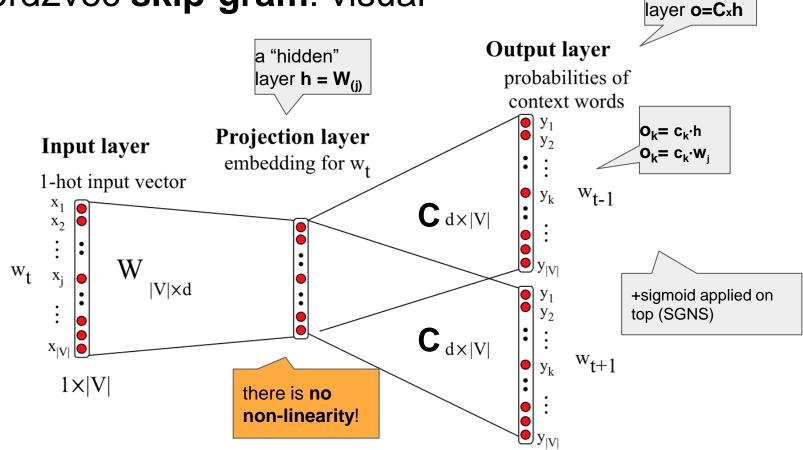
- Skip-gram
  - Predict each neighboring word from a given "middle" word

- CBOW (Continuous Bag Of Words)
  - Predict the "missing" middle word from its neighbors

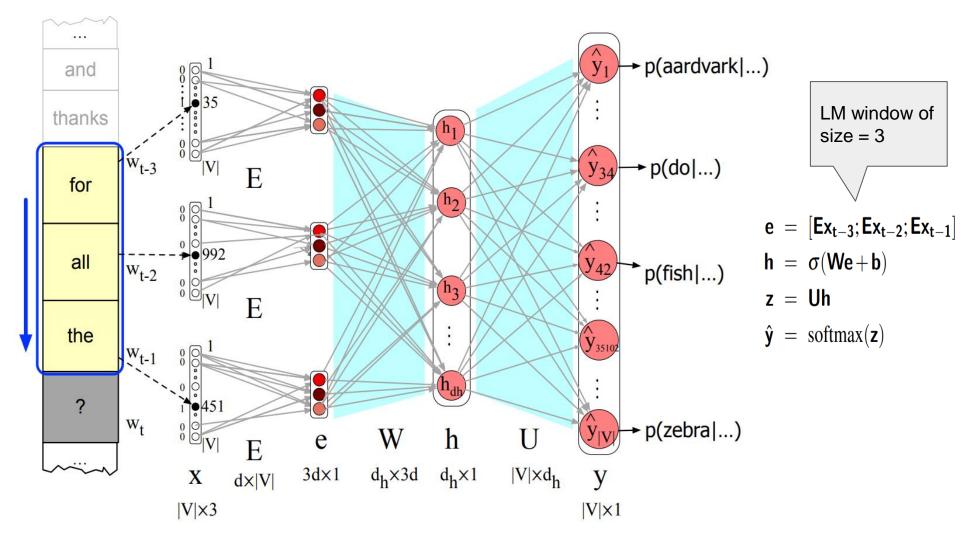


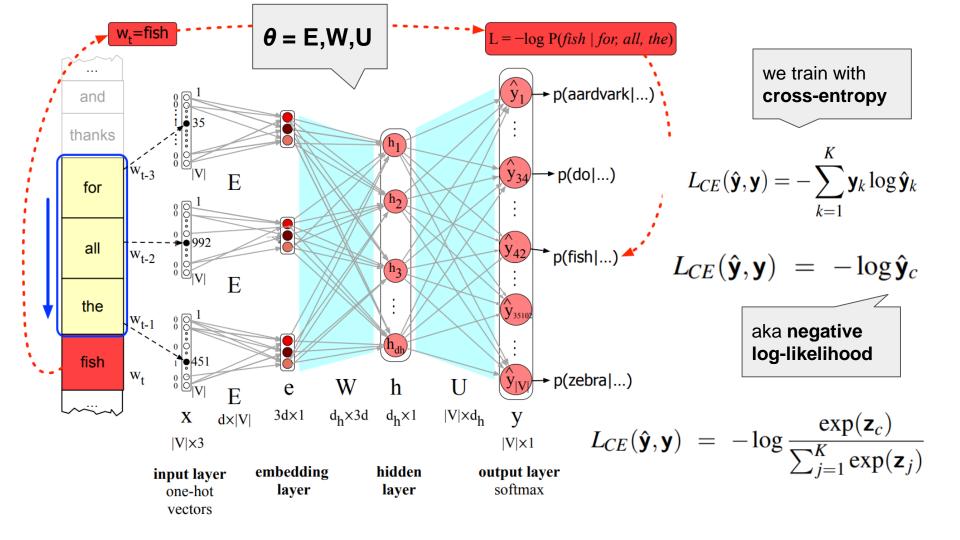


## Word2vec skip-gram: visual



an output





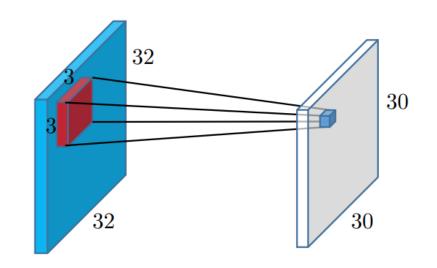
## Neural Language models: training

- We initialize all the parameters  $\theta = E,W,U$  randomly
  - o good to start with zero mean and unit variance
- We iteratively move through the text, predicting each word w<sub>t</sub> at a time
  - given the context of N previous words W<sub>t-1</sub> ... W<sub>t-n</sub>
  - Note that the embeddings are shared for all the N positions
- This is essentially a multi-class |V| classification problem
- We train against **cross-entropy**  $L_{\text{CE}} = -\log p(w_t|w_{t-1},...,w_{t-n+1})$
- And optimize with gradient-descent
  - + tricks such as dropout

$$\theta^{s+1} = \theta^s - \eta \frac{\partial \left[-\log p(w_t|w_{t-1},...,w_{t-n+1})\right]}{\partial \theta}$$

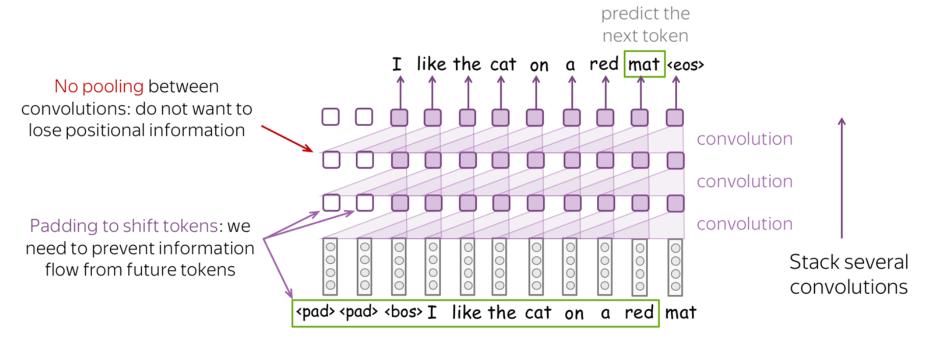
## **Neural models**

- CNNs for text



### Language modelling with CNNs

source: lena-voita.github.io/ nlp\_course.html



condition on the previous tokens

### CNNs: receptive field

like the cat on a red mat <eos> Close connection to our Markov models source: lena-voita.github.io/ nlp\_course.html <pad> <pad> <bos> I like the cat on red mat receptive field

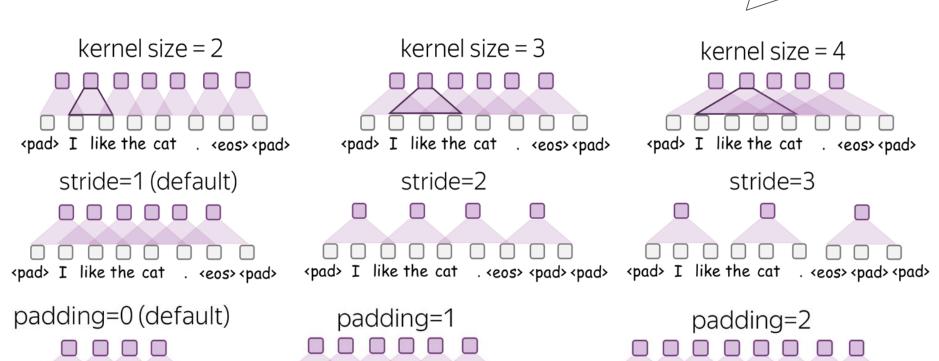
### 1D Convolutions on text

like the cat

. <eos>

source: lena-voita.github.io/ nlp\_course.html

. <eos><pad><pad>



. <eos>.<pad>,

<pad><pad>I like the cat

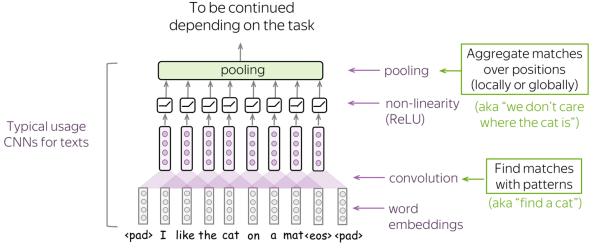
<pad> I like the cat

### Classification with CNNs

source: lena-voita.github.io/ nlp\_course.html

#### Equivariance → invariance

via pooling













Then why don't we process all these cats similarly?

We don't care where the cat is.

we care that it is somewhere.

Label: cat

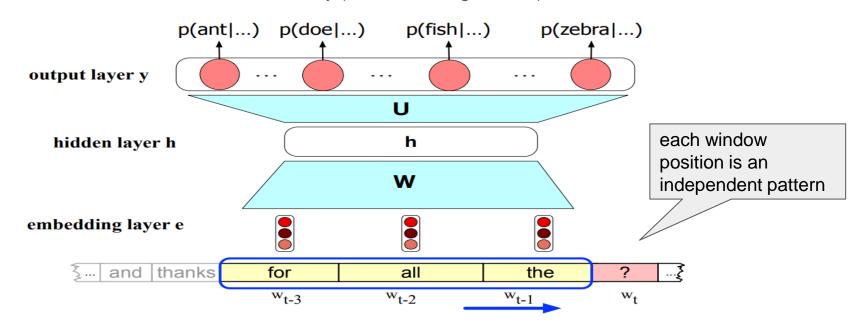
Label: cat

## **Neural models**

- NLP with Sequential Models

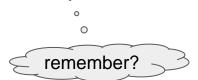
### Sequential models

- Language is inherently sequential
  - so far we either ignored this completely (BoW)
  - or restricted to a small-size history (Markov, sliding window)



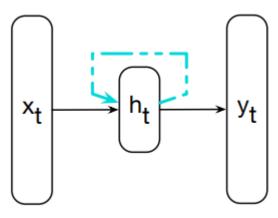
## Sequential models

- Language is inherently sequential
  - so far we either ignored this completely (BoW)
  - or restricted to a small-size history (Markov, sliding window)
- Many linguistic phenomena require longer distance interactions
  - "The computer which I had just put into the machine room on the fifth floor crashed."
- Modern neural models address this:
  - 1. Recurrent Neural Networks
  - 2. Transformer Networks



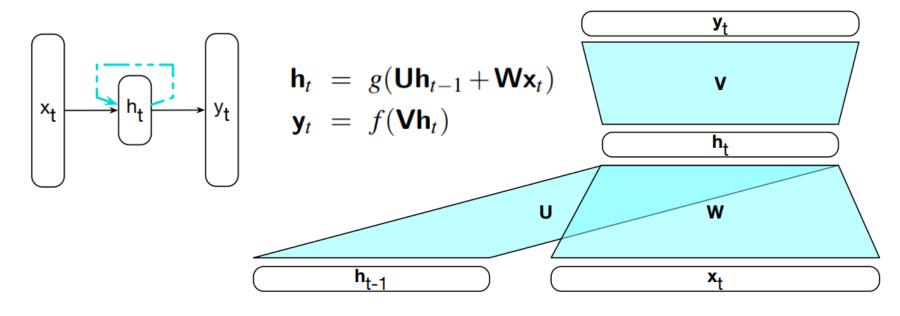
#### Recurrent Neural Networks

- Recurrent Neural Networks (RNN) = contain cycles
  - o introduces dependency on earlier inputs/outputs
- The most simple RNN model: **Elman Networks**
- Compute with hidden value from the **preceding** item
- We process one item (word) at a time
  - no fixed-length limit on the prior context!
  - In contrast to the window-based approaches



#### Recurrent Neural Networks

- Recurrent Neural Networks (RNN) = contain cycles
- These can be unrolled to make them feed-forward

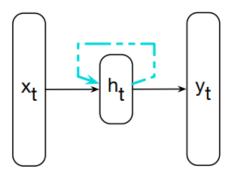


#### Recurrent Neural Networks

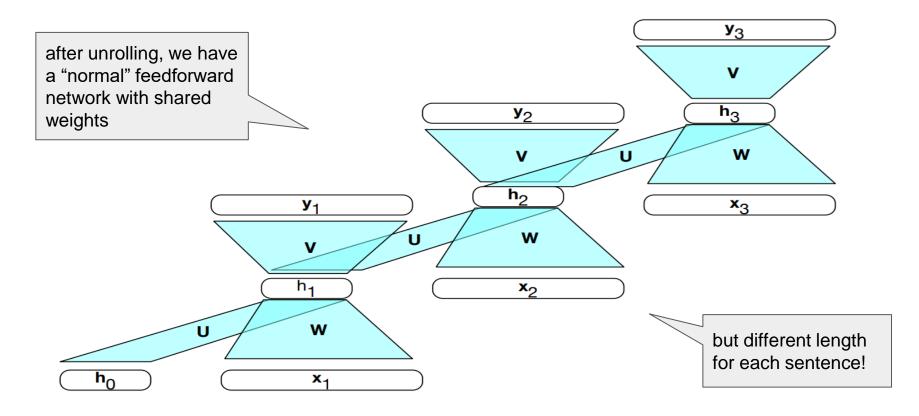
- Recurrent Neural Networks (RNN) = contain cycles
- These can be unrolled to make them feed-forward
  - at each (time) step i

**function** FORWARDRNN(**x**, network) **returns** output sequence **y** 

```
\begin{array}{l} \mathbf{h}^0 \leftarrow 0 \\ \mathbf{for} \ i \leftarrow 1 \ \mathbf{to} \ \mathsf{LENGTH}(\mathbf{x}) \ \mathbf{do} \\ \mathbf{h}_i \leftarrow g(\mathbf{Uh}_{i-1} \ + \ \mathbf{Wx}_i) \\ \mathbf{y}_i \leftarrow f(\mathbf{Vh}_i) \\ \mathbf{return} \ y \\ \end{array} \quad \begin{array}{c} \mathbf{the} \ \mathsf{weights} \ \mathsf{are} \\ \mathsf{shared} \ \mathsf{across} \ \mathsf{all} \\ \mathsf{the} \ \mathsf{timesteps!} \end{array}
```



## RNN Training: forward unrolling



## **RNN Training**

Training RNNs is also similar to what we have already seen:

- 1. Choose a loss function
- 2. Calculate gradients for all the parameters:
  - W: input-to-hidden layer
  - U: previous-to-current hidden layer
  - V: hidden-to-output layer
- 3. Train with gradient descent

Some differences in gradient computation:

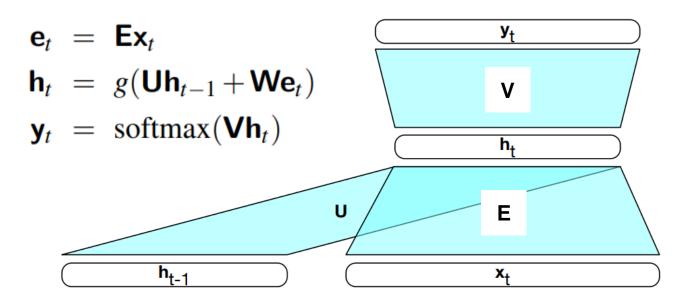
computing loss at time t requires h<sub>t-1</sub>

"Backpropagation Through Time"

## RNNs as Language Models: weight tying

The input (E) and output (V) embedding matrices serve similar purpose

just as in the word embedding models

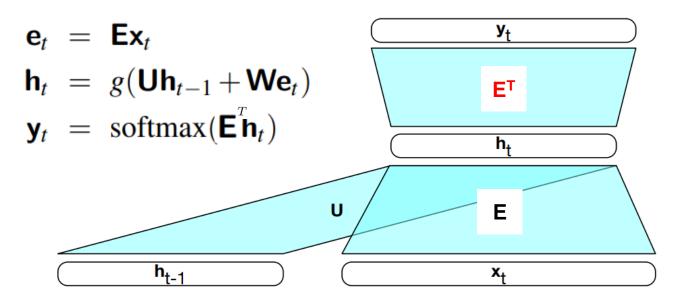


## RNNs as Language Models: weight tying

The input (E) and output (V) embedding matrices serve similar purpose

just as in the word embedding models

Idea: weight tying



RNN language models (T. Mikolov, again)

- work analogically to the window-based LMs
- but don't have the limited context problem

RNN Language model

 $\mathbf{e}_t = \mathbf{E}\mathbf{x}_t$ 

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

 $\mathbf{y}_t = \operatorname{softmax}(\mathbf{V}\mathbf{h}_t)$ 

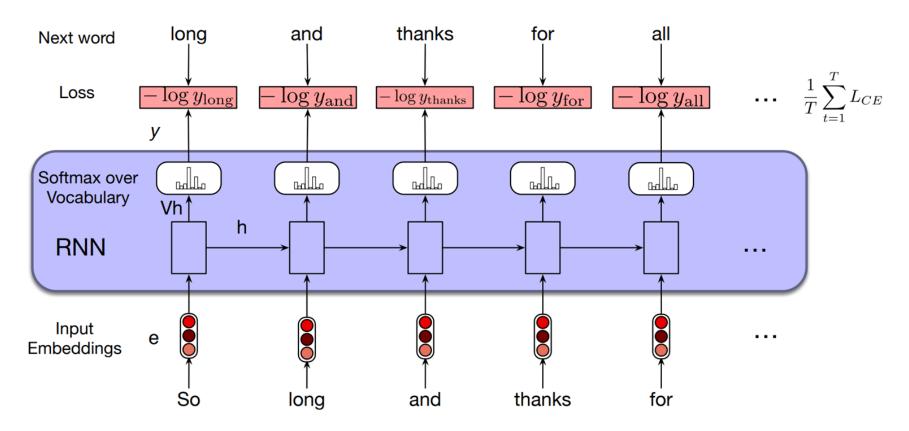
Goal: predict 
$$P(w_{t+1} = i | w_1, \dots, w_t) = \mathbf{y}_t[i]$$

Train with cross-entropy

$$L_{CE} = -\sum_{w \in V} \mathbf{y}_t[w] \log \hat{\mathbf{y}}_t[w]$$

$$L_{CE}(\hat{\mathbf{y}}_t, \mathbf{y}_t) = -\log \hat{\mathbf{y}}_t[w_{t+1}]$$

## RNNs as Language Models

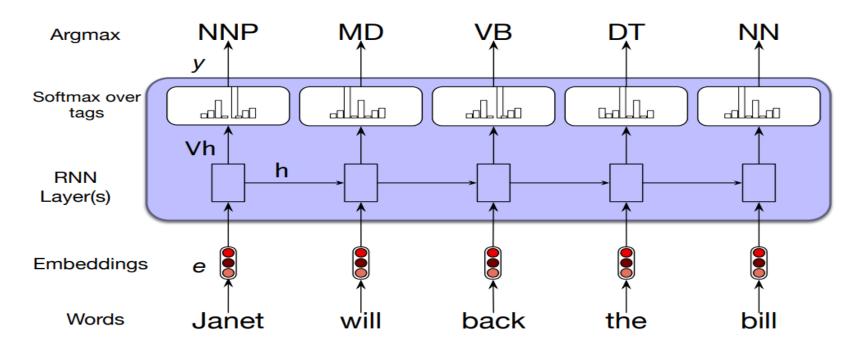


# **Neural models**

- RNN applications

# Sequence Labeling

Assign a label to **each element** of a sequence (e.g., part-of-speech tagging)



### Sequence Classification

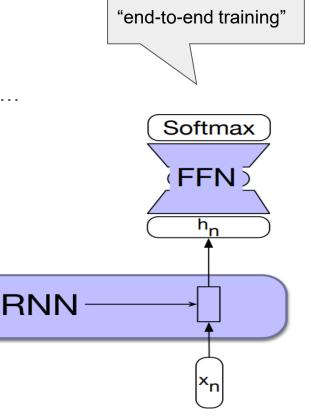
Assign a class to the whole sequence

topic classification, spam detection, sentiment analysis...

Here we fold the whole sequence into a single embedding

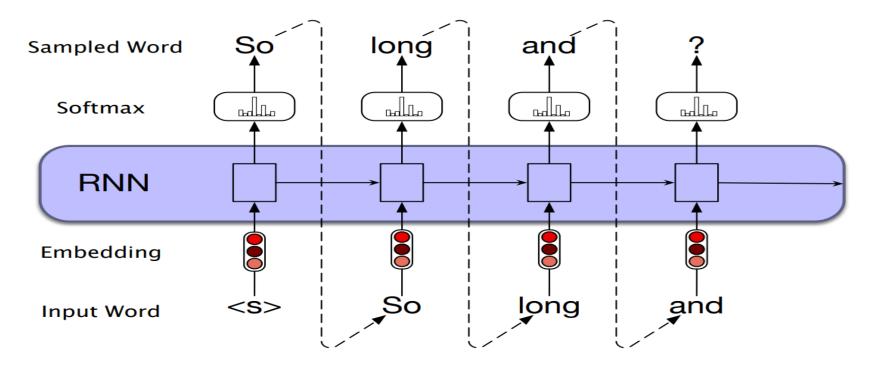
that can then be used for any downstream task

Alternative: pooling of all the outputs



### **Text Generation**

Just like with n-grams. Here called **autoregressive generation** (non-linear)



### **Text Generation**

Just like with n-grams. Here called **autoregressive generation** (non-linear)

This simple idea actually forms basis for sophisticated tasks!

machine translation, text summarization, question answering

There we prime the generation with an appropriate context

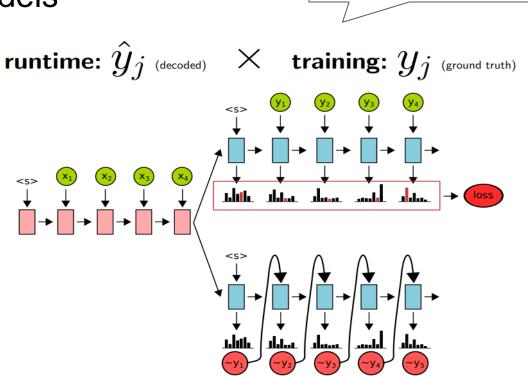
- instead of using just dummy <s>
- e.g., the original text (for translation or summarization)

### RNNs as Language Models

source: https://ufal.mff.cuni.cz/ jindrich-libovicky

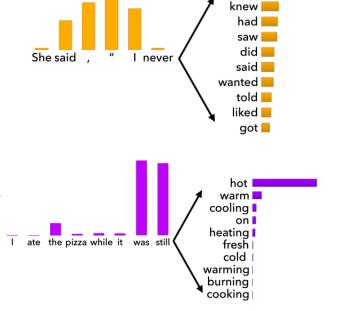
Train with **teacher forcing**:

In training, at each step t we feed the model the **correct** sequence w<sub>1:t-1</sub>



### Text Generation: Practice

- Greedy Decoding
  - At each time step, select the most probable word
- Random Sampling
  - Just sample randomly
- Top-k Sampling
  - Sample, but only from the top-k most likely tokens
- Nucleus sampling
  - Sample from top-p probability mass tokens



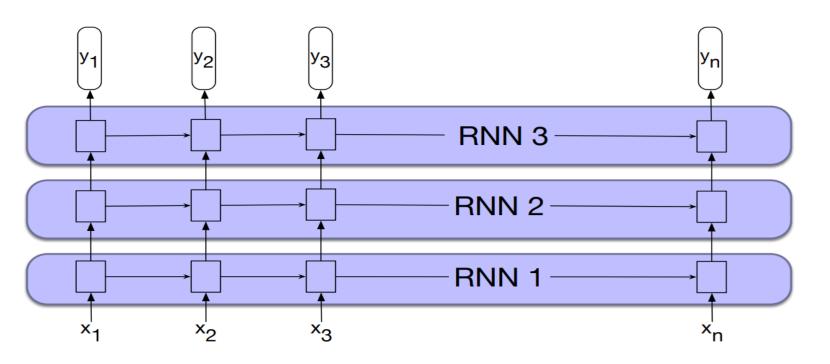
thought

# **Neural models**

- RNN extensions

### Stacked RNNs

= hidden layer output can be fed as input to another hidden layer (deep RNNs)



### **Bi-directional RNNs**

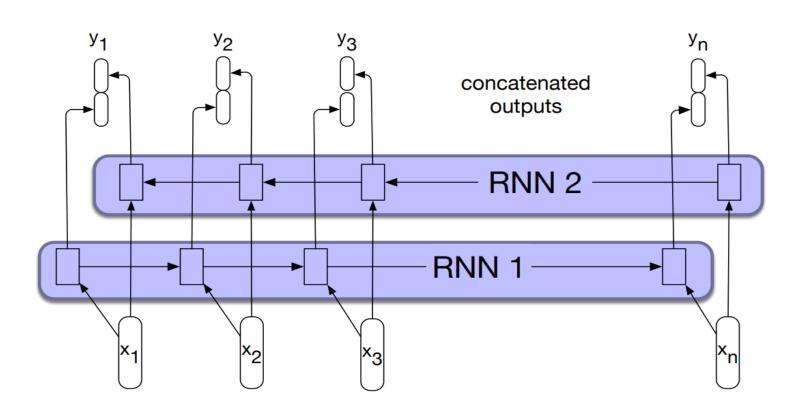
We commonly have the entire sequence for training

- no need to use just the "left" context  $\mathbf{h}_t^f = RNN_{forward}(\mathbf{x}_1, \dots, \mathbf{x}_t)$
- we can also utilize the "right" context  $\mathbf{h}_t^b = RNN_{backward}(\mathbf{x}_t, \dots \mathbf{x}_n)$

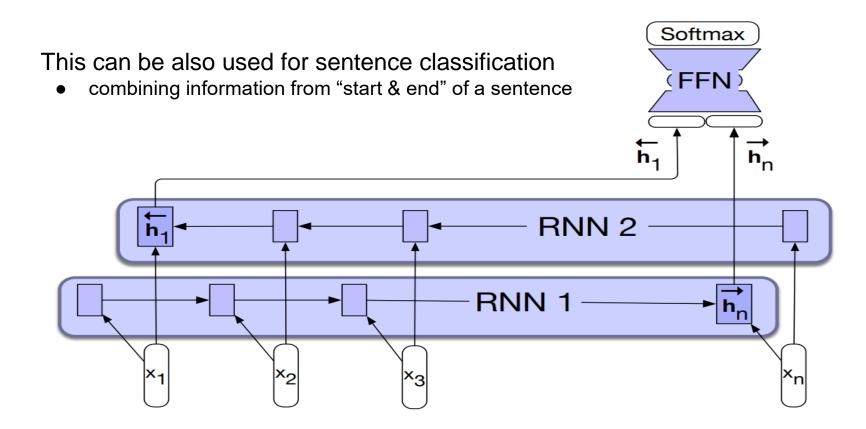
And combine these 2 representations

- into a bi-directional one:  $\mathbf{h}_t = [\mathbf{h}_t^f; \mathbf{h}_t^b]$ 
  - via concatenation, element-wise addition, multiplication...

# Bi-directional RNNs for sequence labeling



### Bi-directional RNNs for sentence classification



### **Neural models**

- Long-Short Term Memory (LSTM)

### Long dependencies in text

Distant information is critical to many language applications:

• "The **computer** which I had just put into the machine room on the fifth floor **crashed**."

RNN can theoretically process unlimited context, but:

- need to reflect current & future information at the same time
- long sentences (deep unrolled NNs) lead to vanishing gradients

Consequently, the information contained in the hidden states tend to be fairly local

Divide the latent context management into 2 sub-problems

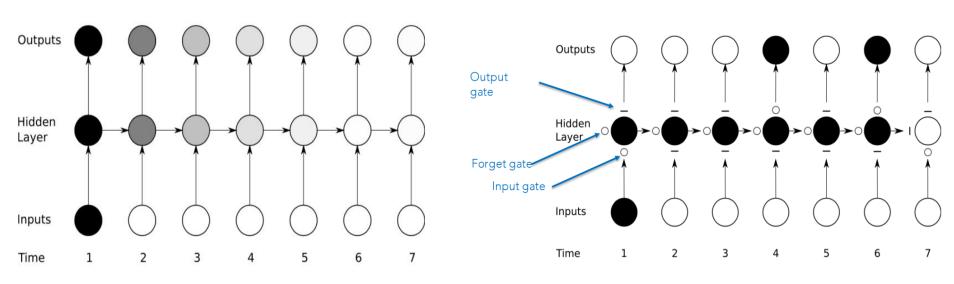
- removing information when no longer needed
- adding information likely to be needed later

#### Approached by:

- 1. adding an explicit **context** representation layer
  - a. in addition to the common hidden layer representation
- 2. introduce new units: neural gates
  - a. to control the flow of information

source: courses.cs.washington
\_\_\_\_\_\_.edu/courses/cse517/

# Gating Intuition



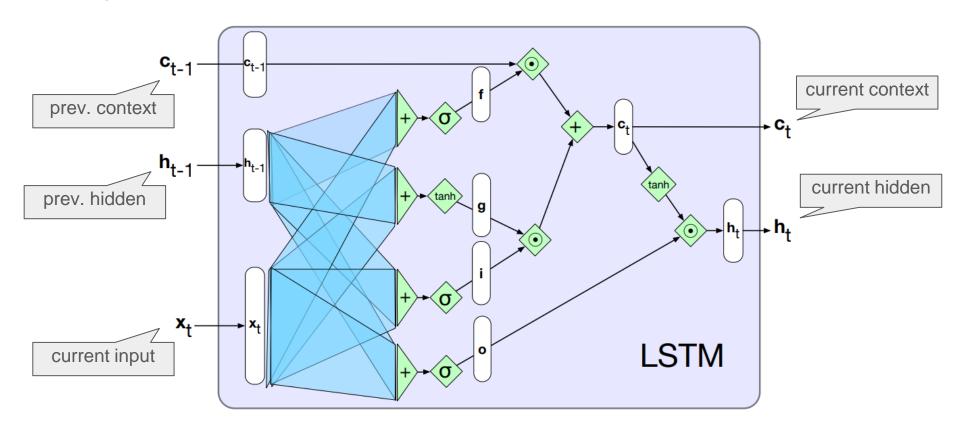
#### Gate units share common design:

- 1. feed-forward layer
- 2. followed by sigmoid fcn
- 3. follower by pointwise multiplication with the gated layer

#### The sigmoid serves as a soft "binary" mask

- values aligned with ~1 pass through
- values aligned with ~0 are deleted

Each LSTM cell ("neuron") contains 3 of these gates



forget gate - purpose: delete information from the context

- mask calculation:  $\mathbf{f}_t = \sigma(\mathbf{U}_f \mathbf{h}_{t-1} + \mathbf{W}_f \mathbf{x}_t)$
- mask gating:  $\mathbf{k}_t = \mathbf{c}_{t-1} \odot \mathbf{f}_t$
- + standard RNN hidden unit:  $\mathbf{g}_t = \tanh(\mathbf{U}_g \mathbf{h}_{t-1} + \mathbf{W}_g \mathbf{x}_t)$

input gate - purpose: add information to the current context

- mask calculation:  $\mathbf{i}_t = \sigma(\mathbf{U}_i \mathbf{h}_{t-1} + \mathbf{W}_i \mathbf{x}_t)$
- mask gating:  $\mathbf{j}_t = \mathbf{g}_t \odot \mathbf{i}_t$

element-wise (Hadamard) product

Next, we add this to the ("masked") context vector

 $\mathbf{c}_t = \mathbf{j}_t + \mathbf{k}_t$ 

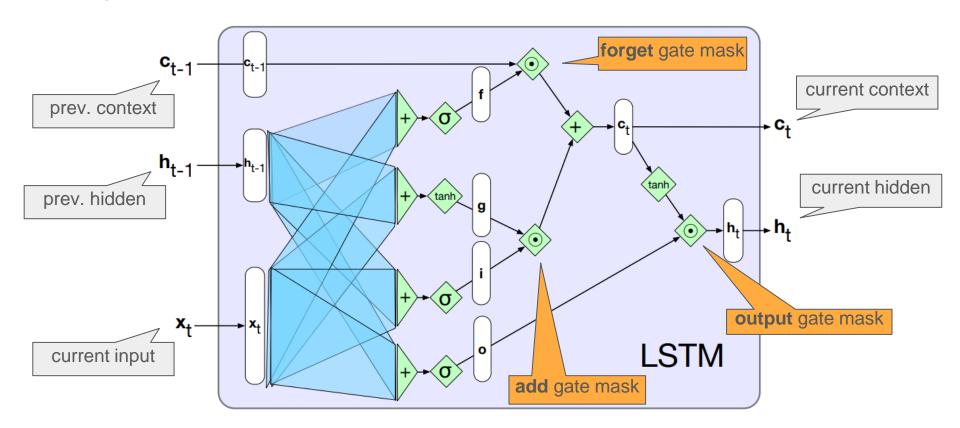
to obtain new context at time t

Finally, there's an output gate

add-gate masking of input+hidden

forget-gate masking of prev. context

decides solely what to output for the current hidden state 
$$\mathbf{o}_t = \sigma(\mathbf{U}_o\mathbf{h}_{t-1} + \mathbf{W}_o\mathbf{x}_t)$$
  $\mathbf{h}_t = \mathbf{o}_t\odot anh(\mathbf{c}_t)$ 

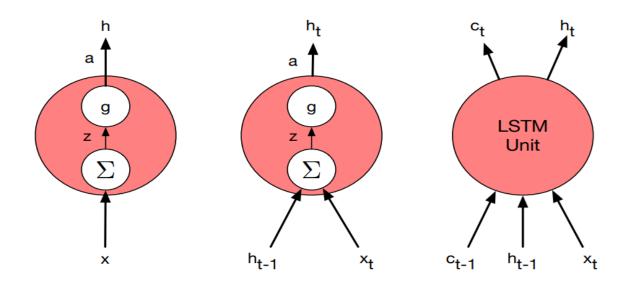


You can think of the LSTM equations visually like this: source: https://colah.github.io/  $\mathbf{n}_{t}$ posts/2015-08-Understanding-LSTMs Write some new cell content Forget some cell content C<sub>t-1</sub> -Output some cell content Compute the to the hidden state tanh forget gate h<sub>t-1</sub> \_  $(X_t)$ Compute the Compute the Compute the new cell content input gate output gate A A **Neural Network** Pointwise Vector Concatenate Copy Operation Transfer Layer

### RNNs interface

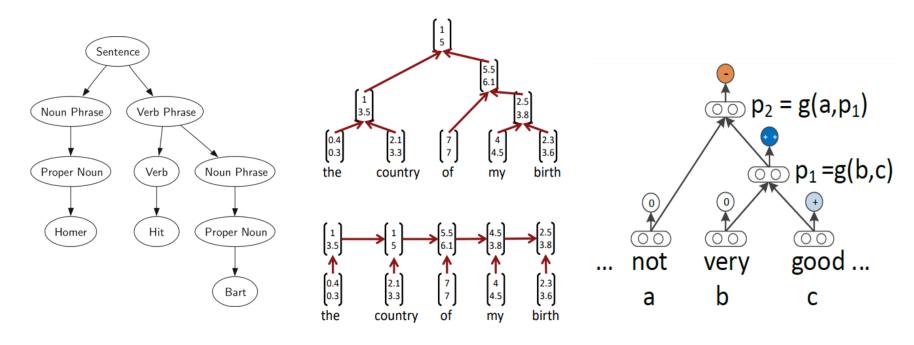
In practice, you are nicely interfaced from all this complexity

and can just plug LSTM everywhere we have seen RNN so far...



### **Recursive** NNs (TreeNNs)

Operate over regular trees instead of sequences



# **Neural models**

- Attention and Transformers

### **Transformers**

...LSTM are great, but the sequential processing can be problematic in practice

Next idea: Transformers

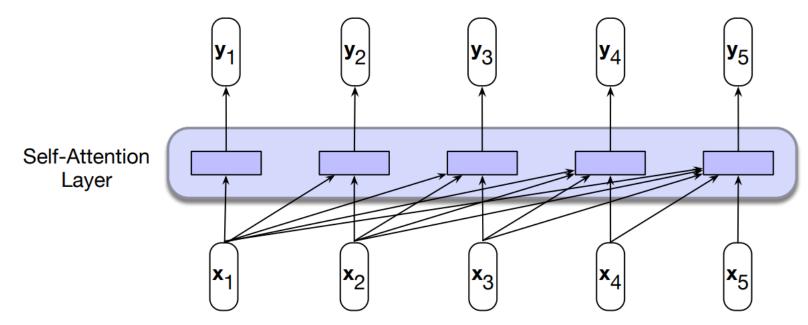
- maps sequences (x<sub>1</sub>,...,x<sub>n</sub>) directly to sequences (y<sub>1</sub>,...,y<sub>n</sub>)
- no recurrent connections (similar to feed-forward NNs)
- the sequence is processed at once in parallel

Comprised of transformer blocks made of

- simple linear layers
- feedforward networks
- self-attention layers

### Causal (masked) Self-Attention

- The units are connected to reflect the sequentiality (causality)
- But can be processed in parallel, as there is no intermediate state



### Self-Attention

Core: we match an item to a collection of related items

Remember word2vec?

revealing (pair-wise) relevance in the current context

How to score relevance? Dot-product (again)

$$score(\mathbf{x}_i, \mathbf{x}_j) = \mathbf{x}_i \cdot \mathbf{x}_j$$

 we then take softmax over all the comparisons

$$\alpha_{ij} = \operatorname{softmax}(\operatorname{score}(\mathbf{x}_i, \mathbf{x}_j)) \ \forall j \leq i$$

$$= \frac{\exp(\operatorname{score}(\mathbf{x}_i, \mathbf{x}_j))}{\sum_{k=1}^{i} \exp(\operatorname{score}(\mathbf{x}_i, \mathbf{x}_k))} \ \forall j \leq i$$

And output a weighted sum

weighted by the relevance scores

$$\mathbf{y}_i = \sum_{j \leq i} \alpha_{ij} \mathbf{x}_j$$

### Query, Key, Value

The input embeddings  $\mathbf{x}_i$  take on different roles here:

as a **Query**: **q**<sub>i</sub> the current focus of attention

will be projected as: q<sub>i</sub>=W<sup>Q</sup>x<sub>i</sub>

as a Key: ki the preceding input used for matching

will be projected as: k<sub>i</sub>=W<sup>K</sup>x<sub>i</sub>

as a Value: v<sub>i</sub> used for computing the output

will be projected as: v<sub>i</sub>=W<sup>v</sup>x<sub>i</sub>

a notation adopted from information retrieval (or memory networks)

 $W \in R^{d \times d}$ 

# Query, Key, Value

#### Given these roles/projections:

 for the relevance score we use the query and key vectors

$$score(\mathbf{x}_i, \mathbf{x}_j) = \mathbf{q}_i \cdot \mathbf{k}_j$$

 for the output calculation we use the value vectors

$$\mathbf{y}_i = \sum_{j \leq i} \alpha_{ij} \mathbf{v}_j$$

- additionally, we normalize the dot-products
  - by the dimensionality of the vectors

$$score(\mathbf{x}_i, \mathbf{x}_j) = \frac{\mathbf{q}_i \cdot \mathbf{k}_j}{\sqrt{d_k}}$$

# Example: computing the 3rd position

The input embeddings'  $\mathbf{x_i}$  roles:

**Query**:  $q_i$  - the current focus

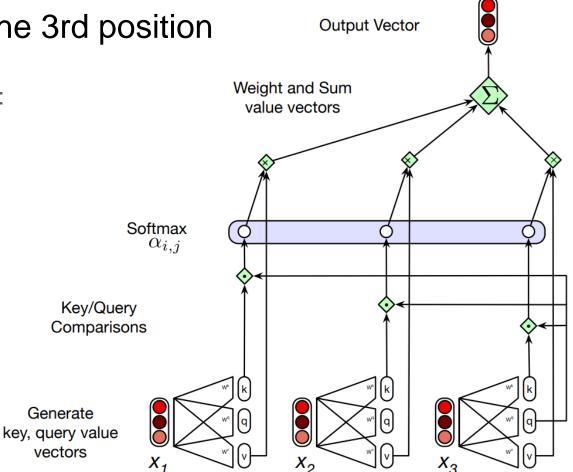
•  $q_i = W^Q x_i$ 

**Key**: **k**<sub>i</sub> - the preceding input

•  $k_i = W^K x_i$ 

Value: v<sub>i</sub> - the output role

•  $V_i = W^V X_i$ 



### Self-Attention: Query, Key, Value

Since the calculations are independent for each position, we can vectorize this

- all input embeddings x<sub>1</sub>...x<sub>N</sub> form an input matrix X
- and the Query, Key, Value projections: Q = XWQ; K = XWK; V = XWV
- all the query-key comparisons come from QK<sup>T</sup> (+softmax)
- and finally multiply the result by V

$$SelfAttention(\mathbf{Q}, \mathbf{K}, \mathbf{V}) = softmax\left(\frac{\mathbf{Q}\mathbf{K}^{\mathsf{T}}}{\sqrt{d_k}}\right)\mathbf{V}$$

- we have to limit these to the **preceding** pairs only

Note that attention is quadratic in the input sequence size N

q1•k1	-∞	-∞	-∞	-∞
q2•k1	q2•k2	-∞	-∞	-∞
q3•k1	q3•k2	q3•k3	-∞	-∞
q4•k1	q4•k2	q4•k3	q4•k4	-∞
q5•k1	q5•k2	q5•k3	q5•k4	q5•k5

N

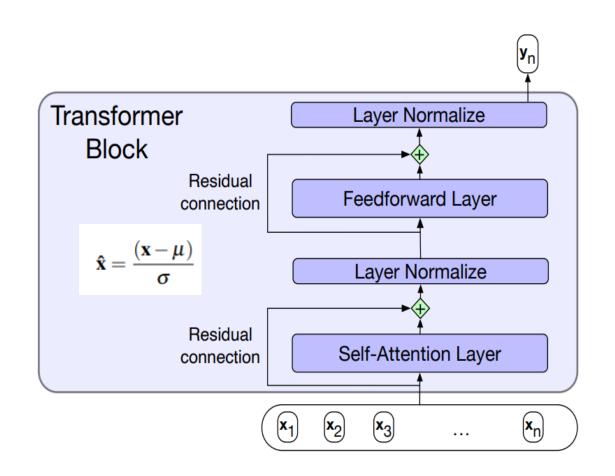
### Transformer blocks

#### Additionally, we include

- feed-forward layer
- residual connections
  - just skip a layer
- layer normalization
  - layer-wise z-score
  - + linear projection
    - $\blacksquare$   $L_{norm} = \gamma \mathbf{x} + \beta$

#### These can be stacked

just like the RNNs



#### Multihead Attention

Problem: there can be multiple relationships between a pair of words

syntactic, semantic, discourse...

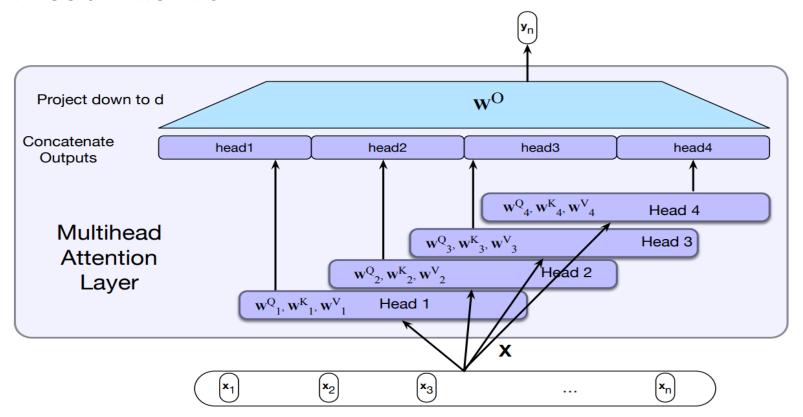
Idea: Multi-head self-attention

- $MultiHeadAttn(\mathbf{X}) = (\mathbf{head}_1 \oplus \mathbf{head}_2... \oplus \mathbf{head}_h)\mathbf{W}^O$ 
  - $\mathbf{Q} = \mathbf{X}\mathbf{W}_i^{\mathcal{Q}} \; ; \; \mathbf{K} = \mathbf{X}\mathbf{W}_i^K \; ; \; \mathbf{V} = \mathbf{X}\mathbf{W}_i^V$ 
    - $head_i = SelfAttention(\mathbf{Q}, \mathbf{K}, \mathbf{V})$

- sets of parallel attention layers
- each with its own W<sup>Q</sup>; W<sup>K</sup>; W<sup>V</sup>

The rest of the transformer block remains the same

### Multihead Attention



### Modeling word order

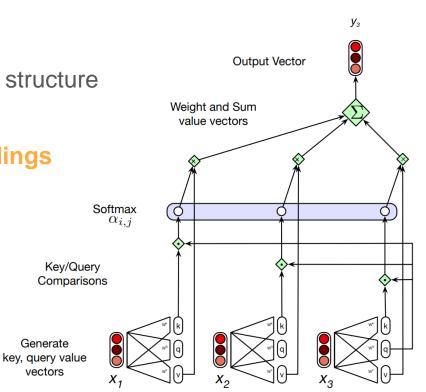
How about word positions?

- in RNNs, these were implicit in the model structure
- here we are invariant to their positions!

Idea: combine words with positional embeddings

- just like words, we can embed positions
- e.g. position 3 = some learnable vector
- up to some max. N

In the model, we just sum with the words

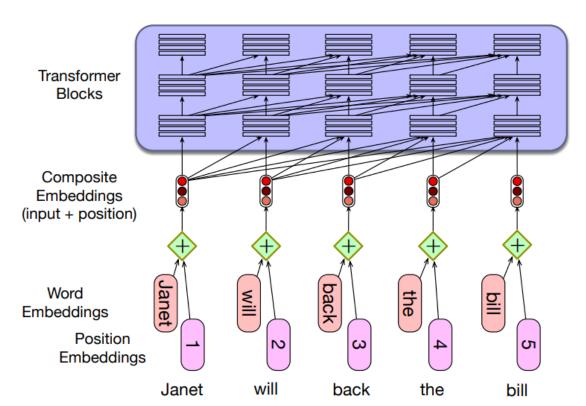


### Modeling word order

#### **Positional embeddings:**

#### problem:

higher positions will receive fewer updates



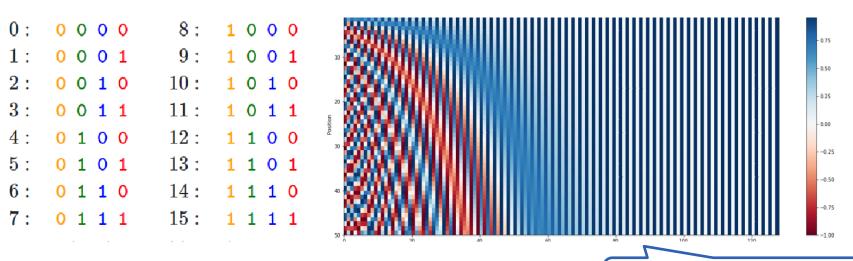
# Positional encoding

Better idea: use a static  $\mathbb{N} \to \mathbb{R}^d$  function instead

E.g. sin + cos with varying frequencies

- from the original "Attention is all you need" paper

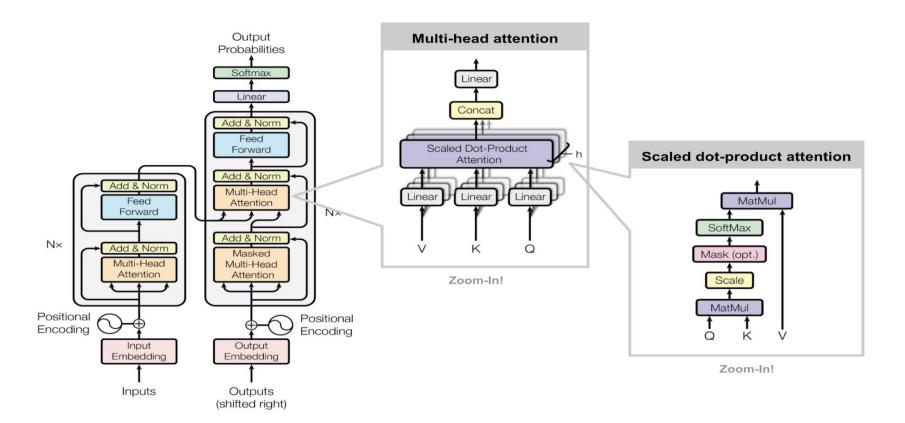
$$P(k, 2i) = \sin\left(\frac{k}{n^{2i/d}}\right)$$
$$P(k, 2i + 1) = \cos\left(\frac{k}{n^{2i/d}}\right)$$



Source: https://kazemnejad.com/blog/transfor mer\_architecture\_positional\_encoding

source: Attention is all you need https://arxiv.org/abs/1706.03762

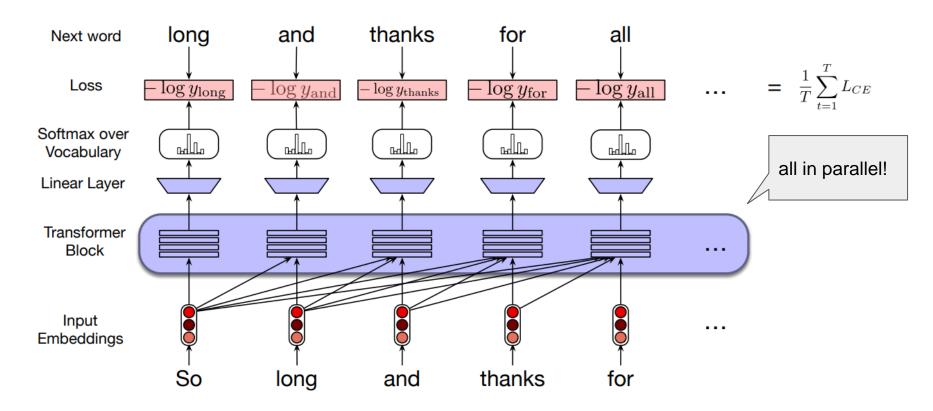
### Complete Transformer block



# **Neural models**

- Some more applications with Transformers

# Transformers as Language Models



### **Contextual Generation**

Idea: use context to prime the autoregressive generation Completion Text underlies a number of practical applications! the ML. ..... Sample from Softmax linear layer Transformer **Blocks** Input Embeddings So thanks for long and **Prefix Text** 

Abstractive version

### Text summarization

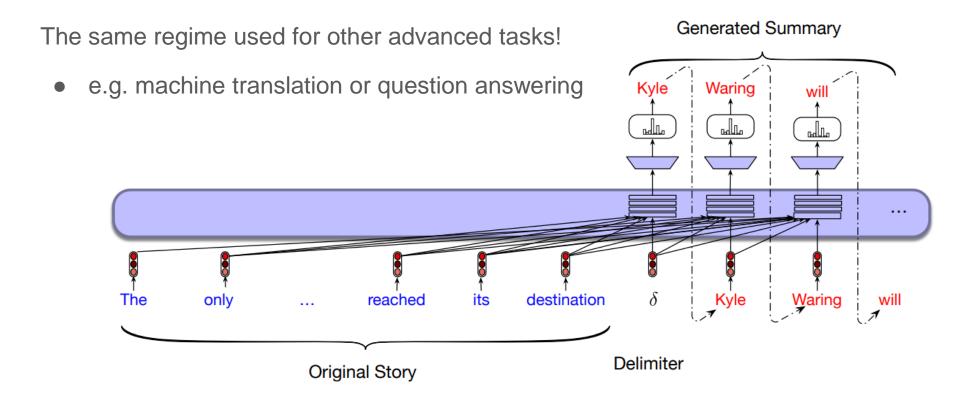
One practical application of the context-based autoregressive generation Supervised training regime (data e.g. from news):

- full articles + their summaries
- $(x_1,...,x_m) + (y_1,...,y_n)$

With transformers, we simply concatenate these:  $(x_1,...,x_m,\delta, y_1,...y_n)$ 

- and train a standard (!) autoregressive language model
  - with teacher forcing, exactly as we did before!

### Text summarization



### Transformers summary

Transformers are used extensively across all NLP tasks now

- sequence labeling: part-of-speech, named entities, ...
- sequence classification: sentiment, spam, ...

We commonly use **pre-training** on large textual corpora

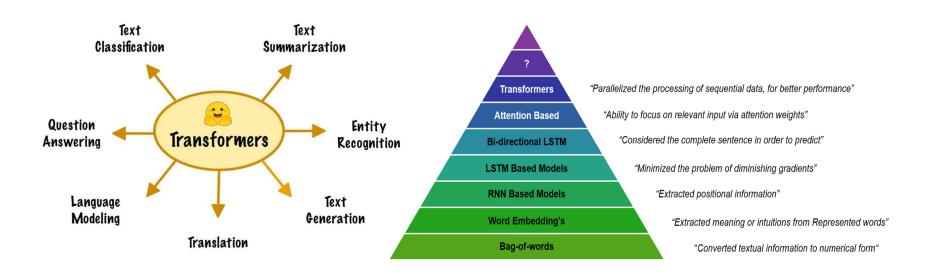
in a self-supervised manner as a standard LM

And then **fine-tune** on top of the learned representations

This was the key to the many recent breakthroughs in NLP...

### NLP journey overview





### Things we did not cover...

- All of linguistics
  - Parsing
    - Dependency
    - Constituency
  - Grammars
  - Lexicons, corpora
- Text preprocessing
  - Regular expressions
  - Edit distance
- Applications
  - Basic: Part of speech tagging, NER, RE, ...
  - Advanced: machine translation, QA, dialog systems, ...