

# CSCSE 689: Special Topics in Trustworthy NLP

## Lecture 4: Natural Language Processing Basics (3)

Kuan-Hao Huang  
khhuang@tamu.edu



(Some slides adapted from Chris Manning, Dan Jurafsky, Danqi Chen, and Vivian Chen)

# Presentation Sign-Up

- We have 10 students
  - Each student present **two** papers

W13	11/11	Robustness of Multimodal Models	<a href="#">[Instructor] Learning Transferable Visual Models From Natural Language Supervision, ICML 2021</a> <a href="#">[Instructor] BLIP: Bootstrapping Language-Image Pre-training for Unified Vision-Language Understanding and Generation, ICML 2022</a> <a href="#">[Instructor] Visual Instruction Tuning, NeurIPS 2023</a>	<b>Summary Due</b>
	11/13	Robustness of Multimodal Models <b>(Remote)</b>	<a href="#">[Instructor] When and why vision-language models behave like bags-of-words, and what to do about it?, ICLR 2023</a> <a href="#">[Instructor] Text encoders bottleneck compositionality in contrastive vision-language models, EMNLP 2023</a> <a href="#">[Instructor] Paxion: Patching Action Knowledge in Video-Language Foundation Models, NeurIPS 2023</a>	
	11/15	Robustness of Multimodal Models	<a href="#">[Student] Robust CLIP: Unsupervised Adversarial Fine-Tuning of Vision Embeddings for Robust Large Vision-Language Models, ICML 2024</a> <a href="#">[Student] On the Robustness of Large Multimodal Models Against Image Adversarial Attacks, CVPR 2024</a>	
W14	11/18	Robustness of Multimodal Models	<a href="#">[Student] CleanCLIP: Mitigating Data Poisoning Attacks in Multimodal Contrastive Learning, ICCV 2023</a> <a href="#">[Student] Eyes Wide Shut? Exploring the Visual Shortcomings of Multimodal LLMs, CVPR 2024</a>	



# Lecture Plan

- Natural Language Processing Basics
- Tokenization
  - Byte-Pair Encoding
- Common NLP Models
  - Convolutional Neural Network (CNN)
  - Recurrent Neural Network (RNN)
  - Long Short-Term Memory (LSTM)

# Recap: Tokenization

- Currently, we use **word (and punctuation)** as the basic unit to **tokenize** a text
  - I like this movie so much. → I + like + this + movie + so + much + .

What is the size of word embeddings (how many words)?

# Recap: Unknown Token

- We create an **unknown token** for all the words that have never been seen or low frequency words
  - <UNK>
- <UNK> has its own embedding
  - I like this movie **&\*#** so much → I + like + this + movie + <UNK> + so + much + .
  - I like this movie **sooooo** much. → I + like + this + movie + <UNK> + much + .
- We can reduce the size of vocabulary
- We can handle unseen words

# Recap: Subword Tokenization

- We use **subword (and punctuation)** as the basic unit to **tokenize** a text
- Subword: parts of words
  - happy, happier, happiest: happ-, -y, -ier, -iest
  - drive, driving, driven: driv-, -e, -ing, -en
  - beautiful, trustful, grateful: -ful

# Byte-Pair Encoding

- Byte-Pair Encoding (BPE) is a simple method to decide subword
  - Originally designed for compression
  - Use fewer subwords to cover more words
- Motivation: discover the most common pair of consecutive bytes of data
  - Start with a vocabulary containing only characters and a “end-of-word” symbol
  - Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary
  - Replace instances of the character pair with the new subword; repeat until desired vocabulary size



# Byte-Pair Encoding Example

- Start with a vocabulary containing only characters and a “end-of-word” symbol

End-of-word symbol

l o w <span style="border: 1px solid red; padding: 2px;">&lt;/w&gt;</span>	5 times
l o w e r </w>	2 times
n e w e s t </w>	6 times
w i d e s t </w>	3 times

Vocabulary

```
</w> l o w e  
r n s t i d
```

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

7 times

l	o	w	</w>	5 times			
l	o	w	e	r	</w>	2 times	
n	e	w	e	s	t	</w>	6 times
w	i	d	e	s	t	</w>	3 times

9 times      9 times

Vocabulary

```
</w> l o w e
r n s t i d
es
```

# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

l o w </w>	5 times
l o w e r </w>	2 times
n e w <b>es</b> t </w>	6 times
w i d <b>es</b> t </w>	3 times

Vocabulary

```
</w> l o w e  
r n s t i d  
es
```

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

l o w </w>	5 times
l o w e r </w>	2 times
n e w <b>es t</b> </w>	6 times
w i d <b>es t</b> </w>	3 times
<b>es t</b>	9 times

Vocabulary

</w> l o w e
r n s t i d
es est

# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

l o w </w>	5 times
l o w e r </w>	2 times
n e w est </w>	6 times
w i d est </w>	3 times

Vocabulary

```
</w> l o w e  
r n s t i d  
es est
```

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

l o w </w>	5 times
l o w e r </w>	2 times
n e w <b>est &lt;/w&gt;</b>	6 times
w i d <b>est &lt;/w&gt;</b>	3 times
	9 times

Vocabulary

```
</w> l o w e  
r n s t i d  
es est est</w>
```

# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

l o w </w>	5 times
l o w e r </w>	2 times
n e w est</w>	6 times
w i d est</w>	3 times

Vocabulary

</w> l o w e
r n s t i d
es est est</w>

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

7 times

l o w </w>	5 times
l o w e r </w>	2 times
n e w e s t</w>	6 times
w i d e s t</w>	3 times

Vocabulary

```
</w> l o w e
r n s t i d
es est est</w>
lo
```



# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

low </w>

5 times

lower </w>

2 times

newest</w>

6 times

widest</w>

3 times

Vocabulary

</w> l o w e

r n s t i d

es est est</w>

lo

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

7 times

l o w </w>

l o w e r </w>

n e w e s t </w>

w i d e s t </w>

5 times

2 times

6 times

3 times

Vocabulary

</w>	l	o	w	e				
	r	n	s	t	i	d		
e	s	e	s	t	e	s	t	</w>
l	o	l	o	w				

# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

low </w>	5 times
low e r </w>	2 times
n e w est</w>	6 times
w i d est</w>	3 times

Vocabulary

</w>	l	o	w	e	
r	n	s	t	i	d
es	est	est</w>			
lo	low				

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

	low </w>	5 times
	low e r </w>	2 times
6 times	n e w est</w>	6 times
	w i d est</w>	3 times

Vocabulary

</w>	l	o	w	e	
r	n	s	t	i	d
es	est	est</w>			
lo	low	ne			

# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

low </w>	5 times
low e r </w>	2 times
ne w est</w>	6 times
w i d est</w>	3 times

Vocabulary

</w>	l	o	w	e	
r	n	s	t	i	d
es	est	est</w>			
lo	low	ne			

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

	low </w>	5 times
	low e r </w>	2 times
6 times	ne w est</w>	6 times
	w i d est</w>	3 times

Vocabulary

</w>	l	o	w	e					
	r	n	s	t	i	d			
e	s	e	s	t	e	s	t	</w>	
l	o	l	o	w	n	e	n	e	w

# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

low </w>	5 times
low e r </w>	2 times
new est</w>	6 times
w i d est</w>	3 times

Vocabulary

</w>	l	o	w	e	
r	n	s	t	i	d
es	est	est</w>			
lo	low	ne	new		

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

	low </w>	5 times
	low e r </w>	2 times
6 times	new est</w>	6 times
	w i d est</w>	3 times

Vocabulary

```
</w> l o w e  
r n s t i d  
es est est</w>  
lo low ne new  
newest</w>
```



# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

low </w>	5 times
low e r </w>	2 times
newest</w>	6 times
w i d est</w>	3 times

Vocabulary

```
</w> l o w e  
r n s t i d  
es est est</w>  
lo low ne new  
newest</w>
```

# Byte-Pair Encoding Example

- Find the most common pair of adjacent characters “x” and “y”; add subword “xy” to the vocabulary

5 times

low </w>

low e r </w>

newest</w>

w i d e s t </w>

5 times

2 times

6 times

3 times

Vocabulary

</w> l o w e

r n s t i d

e s e s t e s t </w>

l o l o w n e n e w

n e w e s t </w>

l o w </w>

# Byte-Pair Encoding Example

- Replace instances of the character pair with the new subword

low</w>

low e r </w>

newest</w>

w i d est</w>

5 times

2 times

6 times

3 times

Vocabulary

</w> l o w e

r n s t i d

es est est</w>

lo low ne new

newest</w>

low</w>

# Byte-Pair Encoding Example

## MERGES

e + s => es

es + t => est

est + </w> => est</w>

l + o => lo

lo + w => low

n + e => ne

ne + w => new

new + est</w> => newest</w>

low + </w> => low</w>

## Vocabulary

</w> l o w e

r n s t i d

es est est</w>

lo low ne new

newest</w>

low</w>

# Byte-Pair Encoding Example

## MERGES

e + s => es  
es + t => est  
est + </w> => est</w>  
l + o => lo  
lo + w => low  
n + e => ne  
ne + w => new  
new + est</w> => newest</w>  
low + </w> => low</w>

## Vocabulary

```
</w> l o w e  
r n s t i d  
es est est</w>  
lo low ne new  
newest</w>  
low</w>
```

New unseen token: lowest → low est</w>

# Byte-Pair Encoding Example

## MERGES

e + s => es

es + t => est

est + </w> => est</w>

l + o => lo

lo + w => low

n + e => ne

ne + w => new

new + est</w> => newest</w>

low + </w> => low</w>

## Vocabulary

```
</w> l o w e  
r n s t i d  
es est est</w>  
lo low ne new  
newest</w>  
low</w>
```

New unseen token: powest → <UNK> o w est</w>

# Subword Tokenization

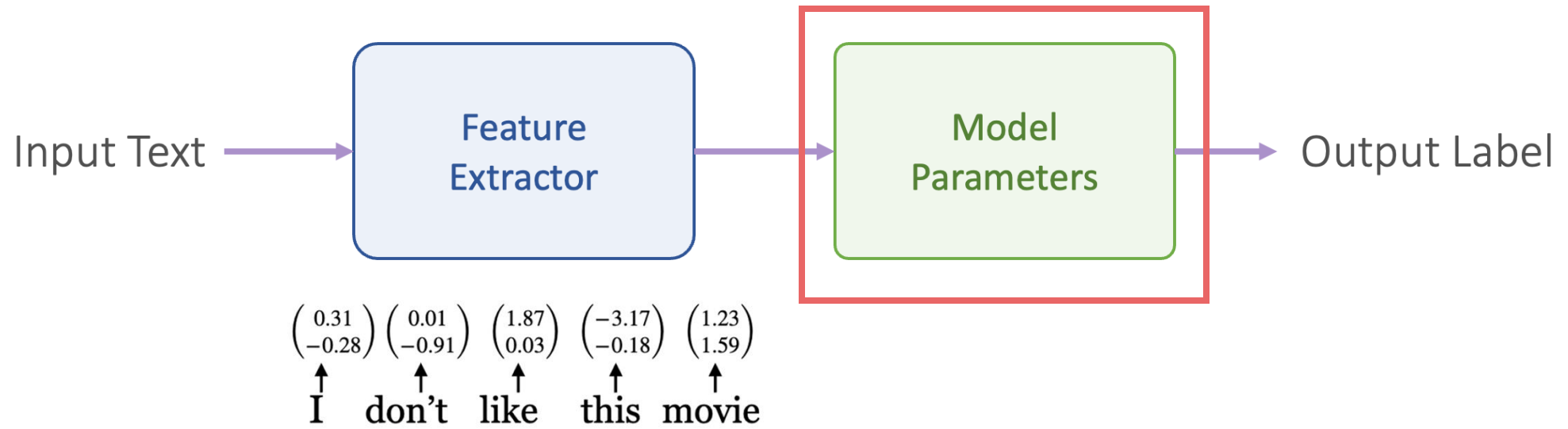
- We use subword (and punctuation) as the basic unit to tokenize a text
- Subword: parts of words
  - happy, happier, happiest: happ-, -y, -ier, -iest
  - drive, driving, driven: driv-, -e, -ing, -en
  - beautiful, trustful, grateful: -ful
- A more effective way to construct vocabulary

# Lecture Plan

- Natural Language Processing Basics
- Tokenization
  - Byte-Pair Encoding
- Common NLP Models
  - Convolutional Neural Network (CNN)
  - Recurrent Neural Network (RNN)
  - Long Short-Term Memory (LSTM)



# Training NLP Models



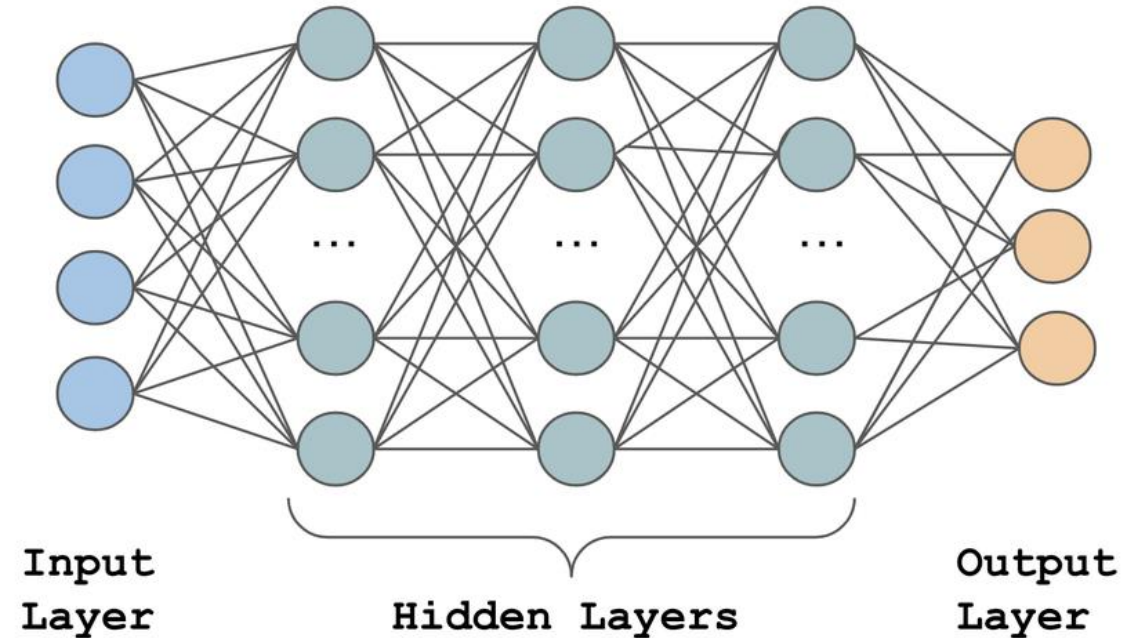
# Input Lengths can be Different

$\begin{pmatrix} 0.31 \\ -0.28 \end{pmatrix}$   $\begin{pmatrix} 0.01 \\ -0.91 \end{pmatrix}$   $\begin{pmatrix} 1.87 \\ 0.03 \end{pmatrix}$   $\begin{pmatrix} -3.17 \\ -0.18 \end{pmatrix}$   $\begin{pmatrix} 1.23 \\ 1.59 \end{pmatrix}$   
↑        ↑        ↑        ↑        ↑  
**I    don't   like    this   movie**

# A Simple Approach: Averaged Embeddings + DNN

	Alice	treats	Bob	well	
Dimension 1	0.7	2.7	-0.1	-5.7	-0.6
Dimension 2	8.6	-3.9	6.7	-9.8	0.4
Dimension 3	-2.4	-5.6	1.5	-1.6	-1.6
Dimension 4	2.3	1.1	2.0	-1.0	1.1

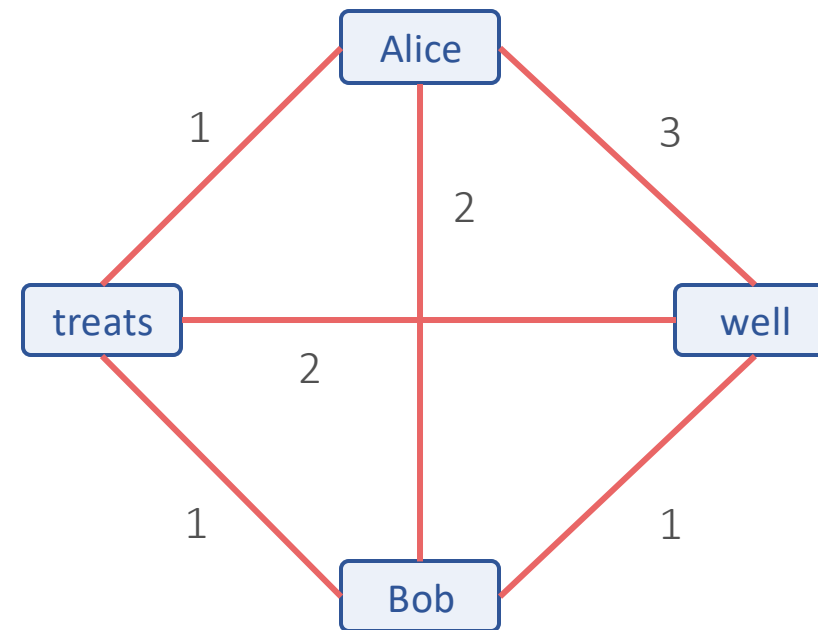
Disadvantages?



$$\text{Loss} = - \sum_{i=1}^C y_i \cdot \log(p_i)$$

# Averaged Embeddings Lose Order Information

	Alice	treats	Bob	well	
	Alice	treats	Bob	well	
	Bob	treats	Alice	well	
	treats	Bob	well	Alice	
Dimension 1	0.7	2.7	-0.1	-5.7	-0.6
Dimension 2	8.6	-3.9	6.7	-9.8	0.4
Dimension 3	-2.4	-5.6	1.5	-1.6	-1.6
Dimension 4	2.3	1.1	2.0	-1.0	1.1



Capture local information!  
(neighbor information)

# Convolutional Neural Network (CNN)

Learnable Weight (Filter)  
Filter Size = 3

$$W = \begin{bmatrix} W_{1,1} & W_{1,2} & W_{1,3} \\ \dots & \dots & \dots \\ W_{4,1} & W_{4,2} & W_{4,3} \end{bmatrix}$$



# Convolutional Neural Network (CNN)

Learnable Weight (Filter)  
Filter Size = 3

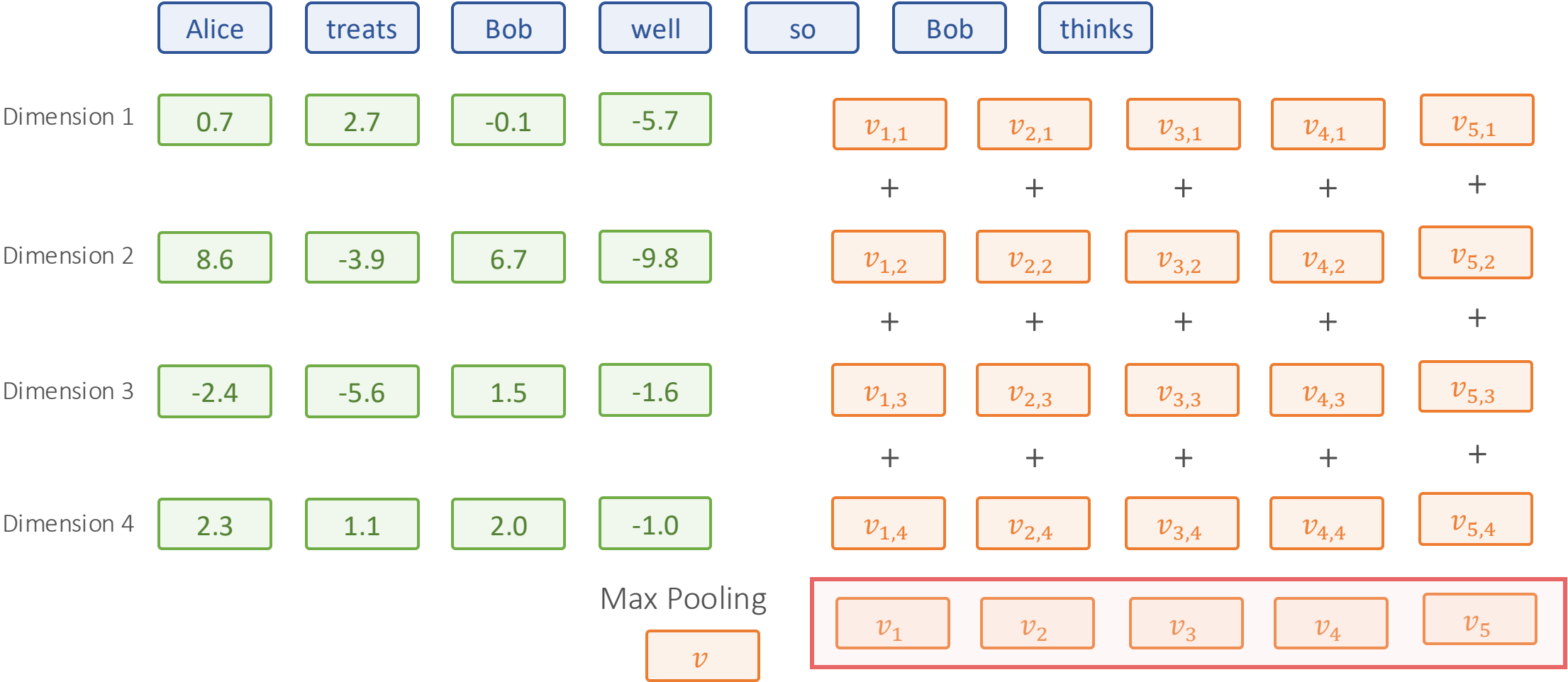
$$W = \begin{bmatrix} W_{1,1} & W_{1,2} & W_{1,3} \\ \dots & \dots & \dots \\ W_{4,1} & W_{4,2} & W_{4,3} \end{bmatrix}$$



# Convolutional Neural Network (CNN)

Learnable Weight (Filter)  
Filter Size = 3

$$W = \begin{bmatrix} W_{1,1} & W_{1,2} & W_{1,3} \\ \dots & \dots & \dots \\ W_{4,1} & W_{4,2} & W_{4,3} \end{bmatrix}$$



# Convolutional Neural Network (CNN)

Learnable Weight (Filter)  
Filter Size = 3

$$W = \begin{bmatrix} W_{1,1} & W_{1,2} & W_{1,3} \\ \dots & \dots & \dots \\ W_{4,1} & W_{4,2} & W_{4,3} \end{bmatrix}$$

$$W = \begin{bmatrix} W_{1,1} & W_{1,2} & W_{1,3} \\ \dots & \dots & \dots \\ W_{4,1} & W_{4,2} & W_{4,3} \end{bmatrix}$$

$$W = \begin{bmatrix} W_{1,1} & W_{1,2} & W_{1,3} \\ \dots & \dots & \dots \\ W_{4,1} & W_{4,2} & W_{4,3} \end{bmatrix}$$

	Alice	treats	Bob	well
Dimension 1	0.7	2.7	-0.1	-5.7
Dimension 2	8.6	-3.9	6.7	-9.8
Dimension 3	-2.4	-5.6	1.5	-1.6
Dimension 4	2.3	1.1	2.0	-1.0





# Convolutional Neural Network (CNN)

Filter Size = 3  $W = \begin{bmatrix} W_{1,1} & W_{1,2} & W_{1,3} \\ \dots & \dots & \dots \\ W_{4,1} & W_{4,2} & W_{4,3} \end{bmatrix}$

Filter Size = 2  $W = \begin{bmatrix} W_{1,1} & W_{1,2} \\ \dots & \dots \\ W_{4,1} & W_{4,2} \end{bmatrix}$

Filter Size = 4  $W = \begin{bmatrix} W_{1,1} & \dots & W_{1,4} \\ \dots & \dots & \dots \\ W_{4,1} & \dots & W_{4,4} \end{bmatrix}$

Alice    treats    Bob    well

Dimension 1

0.7	2.7	-0.1	-5.7
-----	-----	------	------

$w_{1,1} * 0.7 + w_{1,2} * 2.7$

Dimension 2

8.6	-3.9	6.7	-9.8
-----	------	-----	------

$w_{2,1} * 8.6 + w_{2,2} * -3.9 + w_{2,3} * 6.7 + w_{2,4} * -9.8$

Dimension 3

-2.4	-5.6	1.5	-1.6
------	------	-----	------

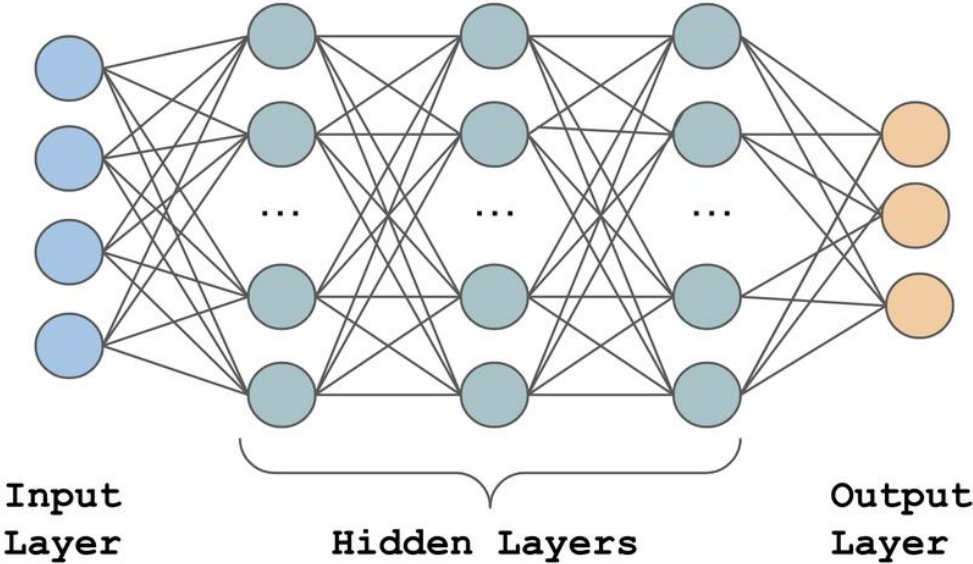
Dimension 4

2.3	1.1	2.0	-1.0
-----	-----	-----	------



# Convolutional Neural Network (CNN)

	Alice	treats	Bob	well
Dimension 1	0.7	2.7	-0.1	-5.7
Dimension 2	8.6	-3.9	6.7	-9.8
Dimension 3	-2.4	-5.6	1.5	-1.6
Dimension 4	2.3	1.1	2.0	-1.0



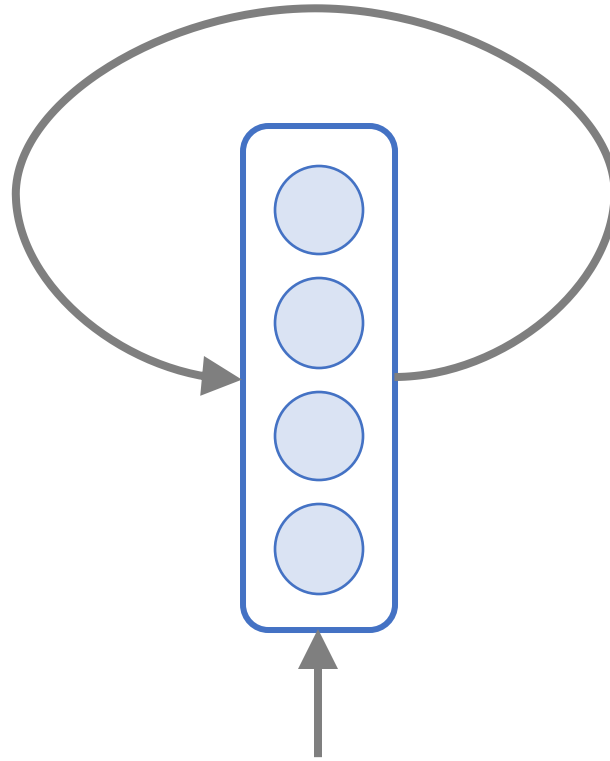
$$\text{Loss} = - \sum_{i=1}^C y_i \cdot \log(p_i)$$

# Convolutional Neural Network (CNN)

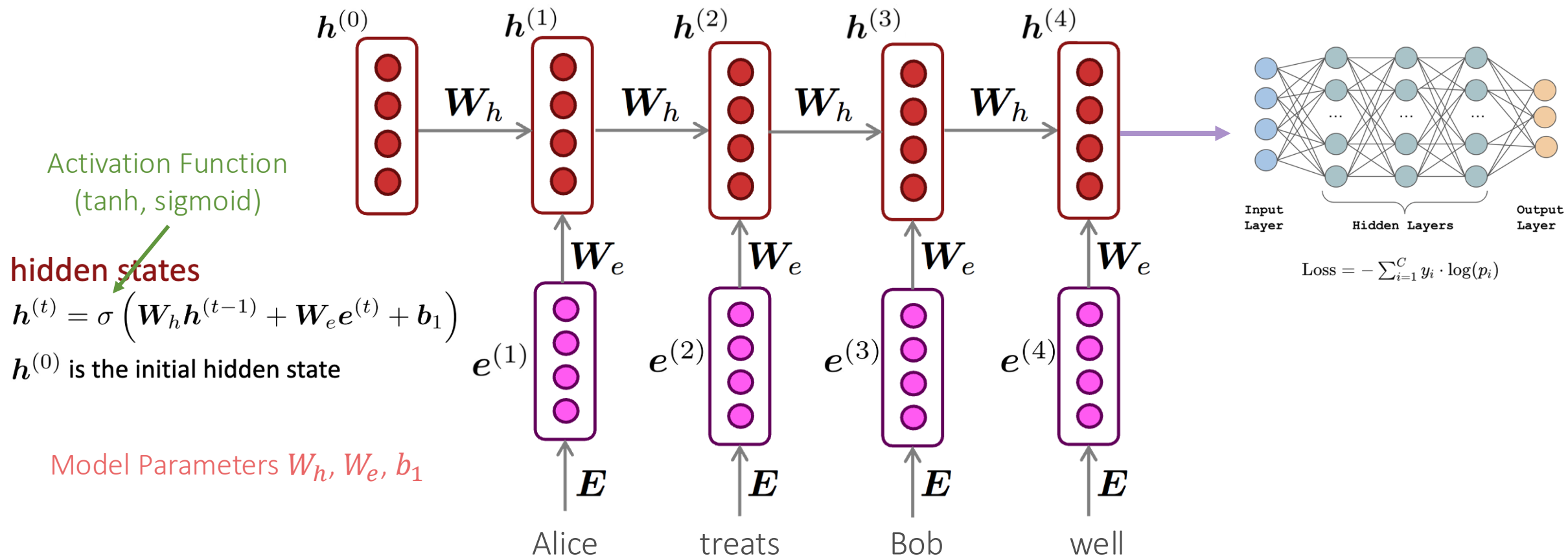
- The whole process is still not similar to how human read texts
- Can we model reading texts in a sequential way?

# Recurrent Neural Network (RNN)

- More idea: apply the same weights repeatedly at different positions



# Recurrent Neural Network (RNN)



Activation Function (tanh, sigmoid)

hidden states

$$h^{(t)} = \sigma \left( W_h h^{(t-1)} + W_e e^{(t)} + b_1 \right)$$

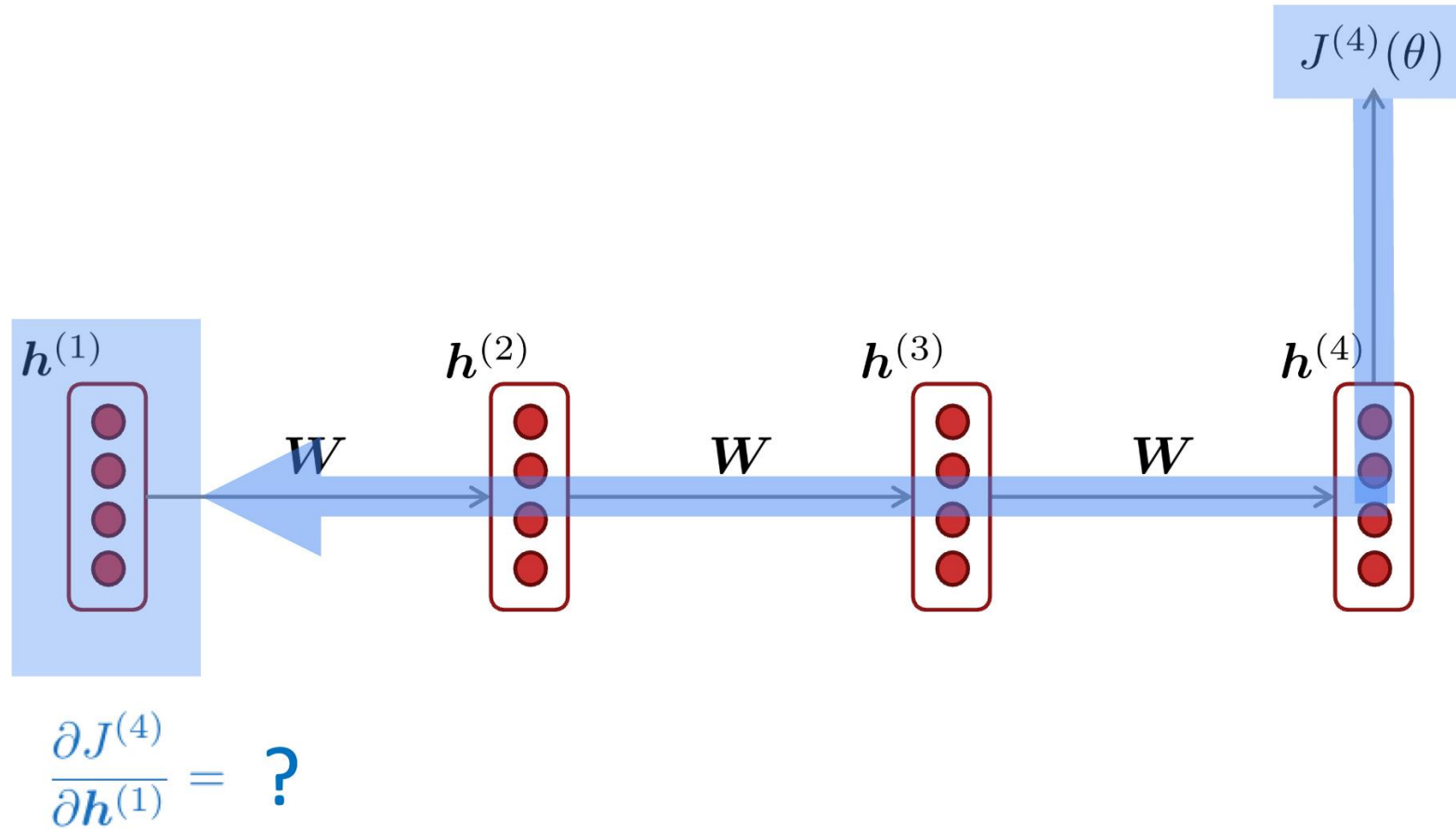
$h^{(0)}$  is the initial hidden state

Model Parameters  $W_h, W_e, b_1$

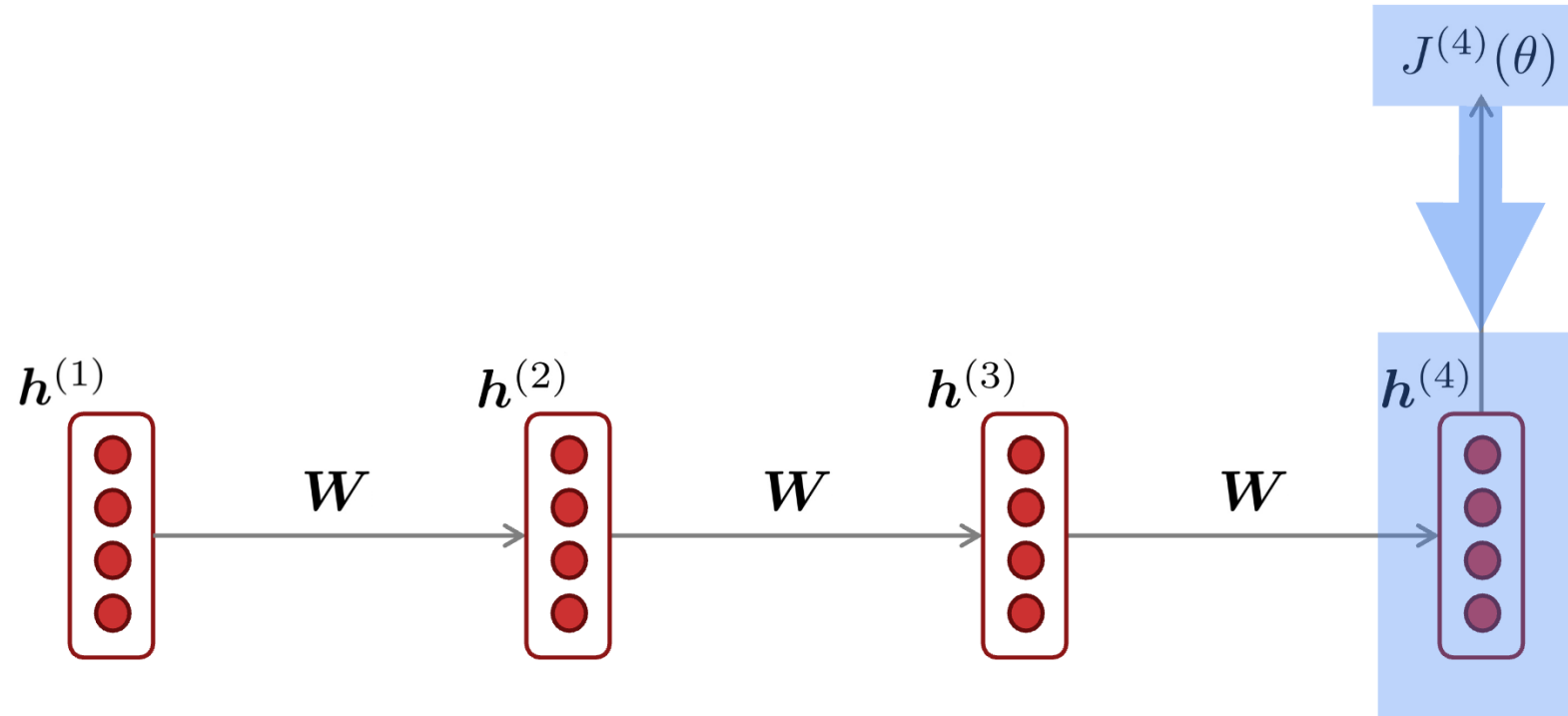
# Recurrent Neural Network (RNN)

- Advantages
  - Can process **any length** input
  - **Model size doesn't increase** for longer input context
  - Computation for step  $t$  can (in theory) use information from **many steps back**
- Disadvantages
  - Recurrent computation is **slow**
  - In practice, difficult to access information from **many steps back**
  - **Vanishing gradient**

# Vanishing Gradient



# Vanishing Gradient



$$\frac{\partial J^{(4)}}{\partial h^{(1)}} = \frac{\partial h^{(2)}}{\partial h^{(1)}} \times \dots$$

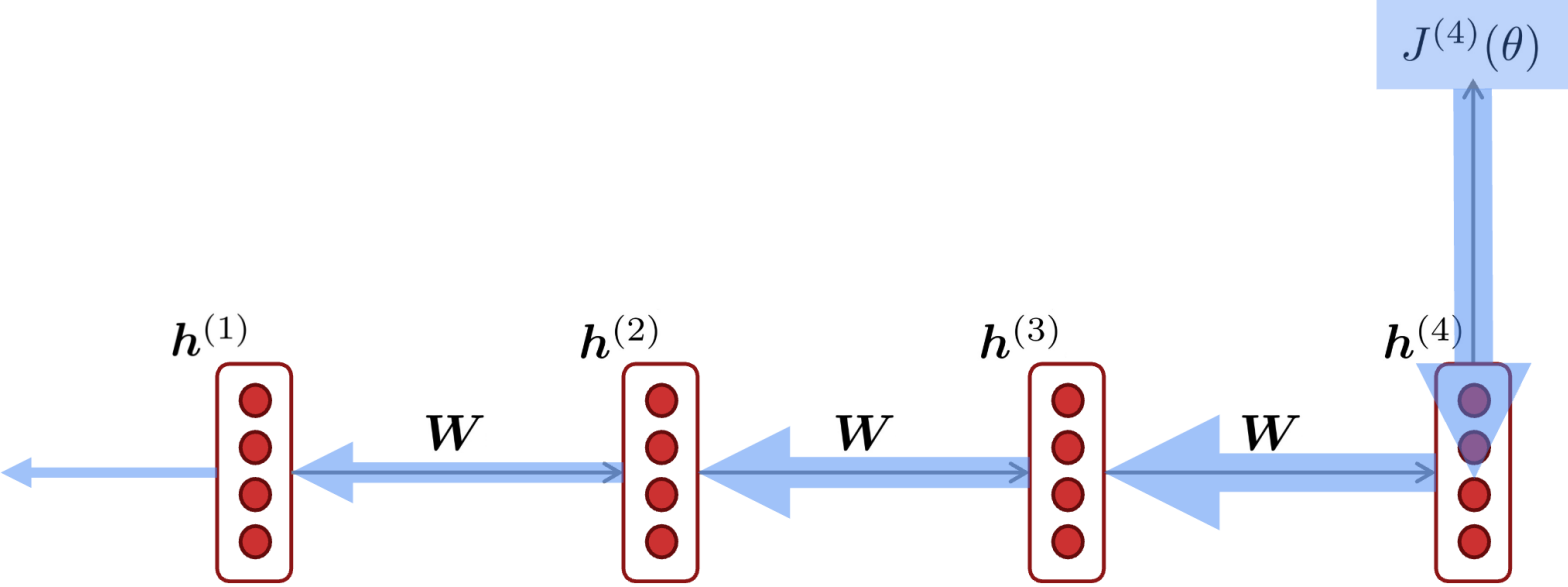
$$\frac{\partial h^{(3)}}{\partial h^{(2)}} \times \dots$$

$$\frac{\partial h^{(4)}}{\partial h^{(3)}} \times \frac{\partial J^{(4)}}{\partial h^{(4)}}$$

chain rule!



# Vanishing Gradient



$$\frac{\partial J^{(4)}}{\partial \mathbf{h}^{(1)}} = \frac{\partial \mathbf{h}^{(2)}}{\partial \mathbf{h}^{(1)}} \times \frac{\partial \mathbf{h}^{(3)}}{\partial \mathbf{h}^{(2)}} \times \frac{\partial \mathbf{h}^{(4)}}{\partial \mathbf{h}^{(3)}} \times \frac{\partial J^{(4)}}{\partial \mathbf{h}^{(4)}}$$

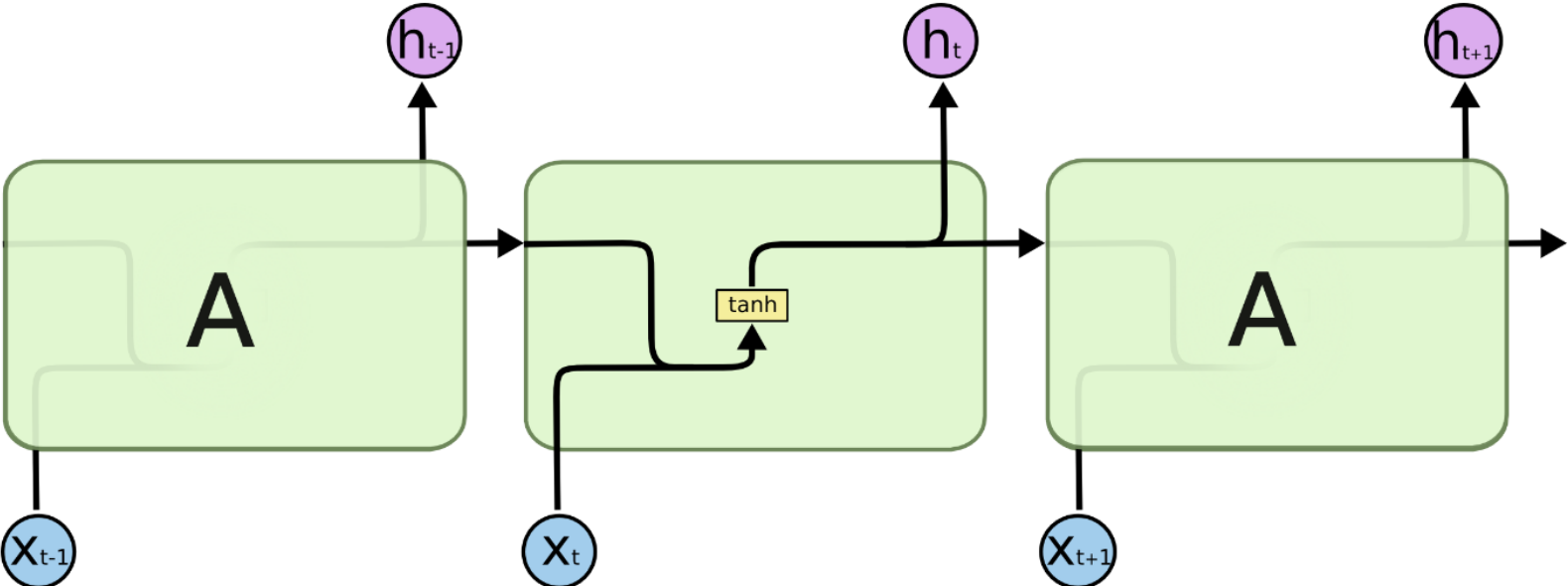
What happens if these are small?

**Vanishing gradient problem:**  
When these are small, the gradient signal gets smaller and smaller as it backpropagates further

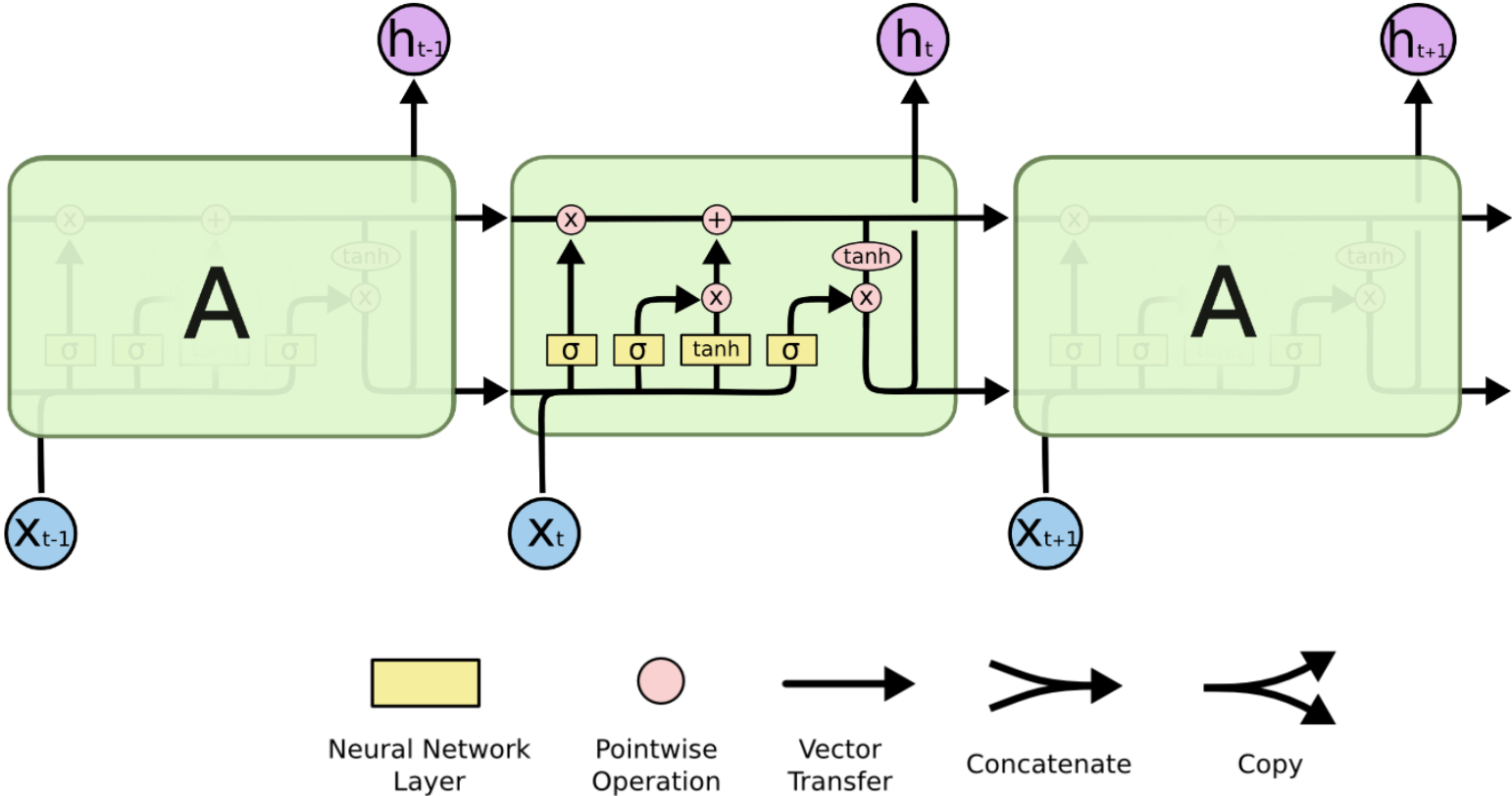
# Long Short-Term Memory (LSTM)

- On step  $t$ , there is a **hidden state**  $\mathbf{h}^{(t)}$  and a **cell state**  $\mathbf{c}^{(t)}$ 
  - Both are vectors of length  $n$
  - The cell stores **long-term information**
  - The LSTM can **read**, **erase**, and **write** information from the cell
- The selection of which information is erased/written/read is controlled by three corresponding **gates**
  - The gates are also vectors of length  $n$
  - On each timestep, each element of the gates can be **open** (1), **closed** (0), or **somewhere in-between**
  - The gates are **dynamic**: their value is computed based on the current context

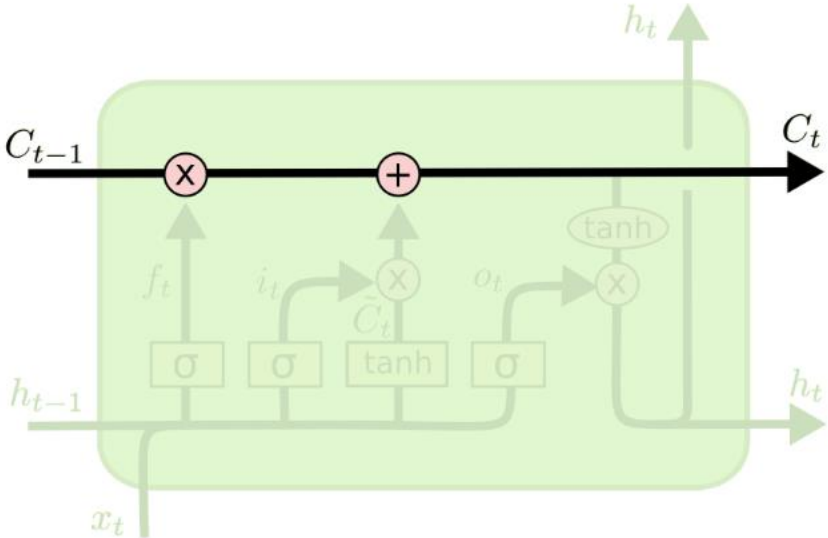
# Long Short-Term Memory (LSTM)



# Long Short-Term Memory (LSTM)

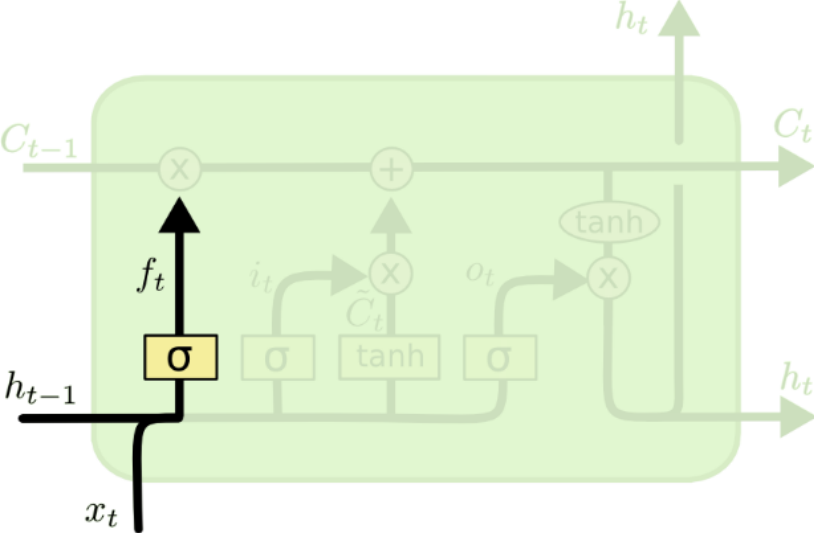


# Long Short-Term Memory (LSTM)



The cell stores long-term information

# Long Short-Term Memory (LSTM)

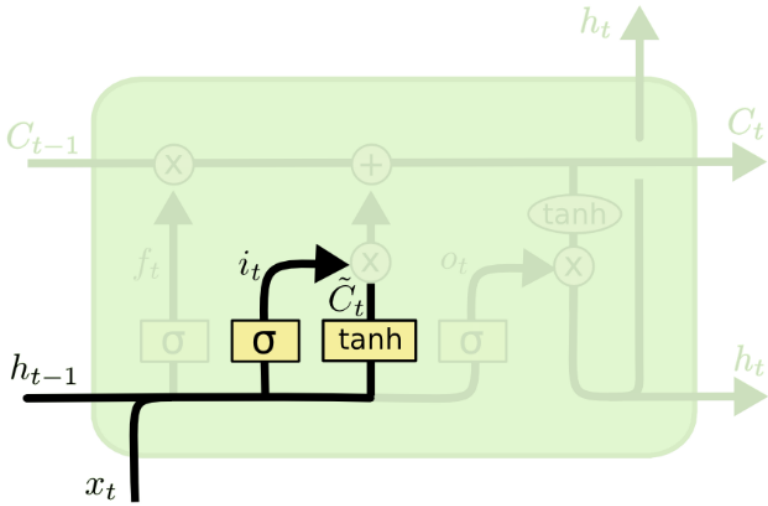


Sigmoid function: gate values are between 0 and 1

$$f_t = \sigma (W_f \cdot [h_{t-1}, x_t] + b_f)$$

Decide how much we should **forget** for each dimension

# Long Short-Term Memory (LSTM)

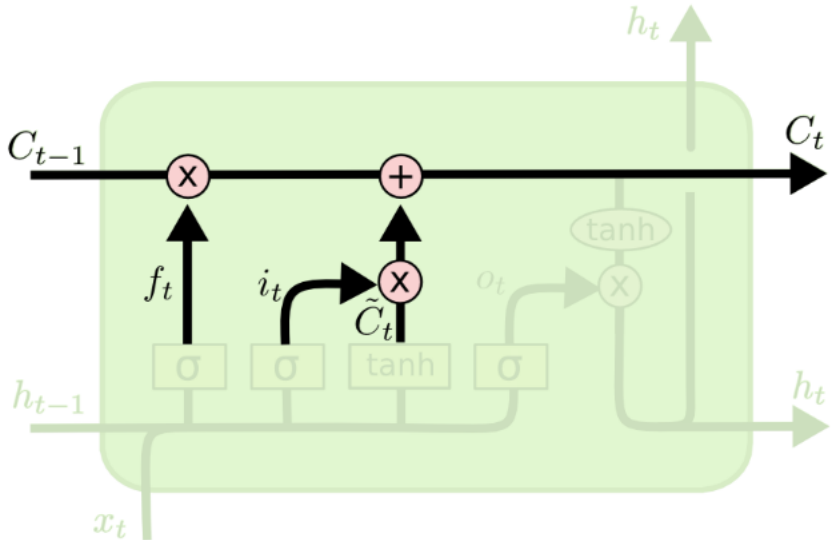


Sigmoid function: gate values are between 0 and 1

$$i_t = \sigma(W_i \cdot [h_{t-1}, x_t] + b_i)$$
$$\tilde{C}_t = \tanh(W_C \cdot [h_{t-1}, x_t] + b_C)$$

Decide how much we should **write** for each dimension  
Decide what content we should **write**

# Long Short-Term Memory (LSTM)



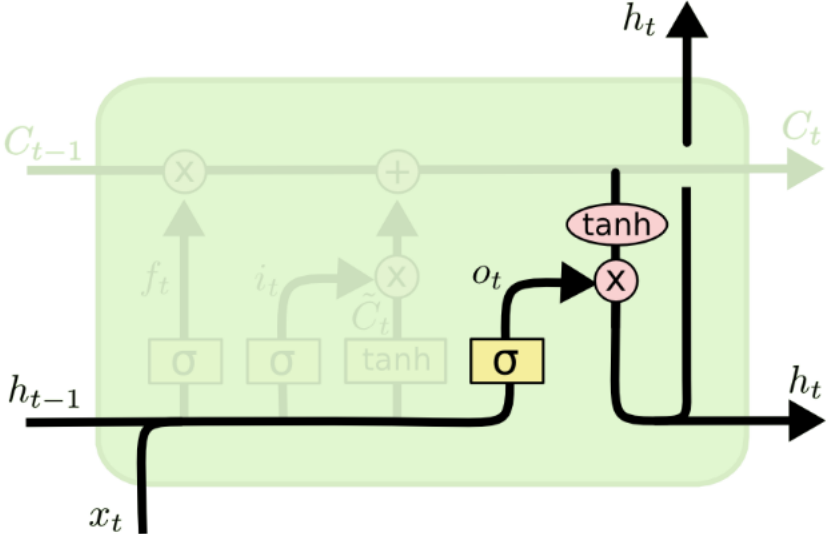
Forget                      Write

$$C_t = f_t * C_{t-1} + i_t * \tilde{C}_t$$

Update long-term information (cell)



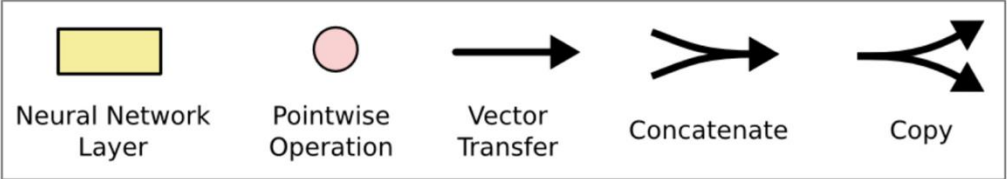
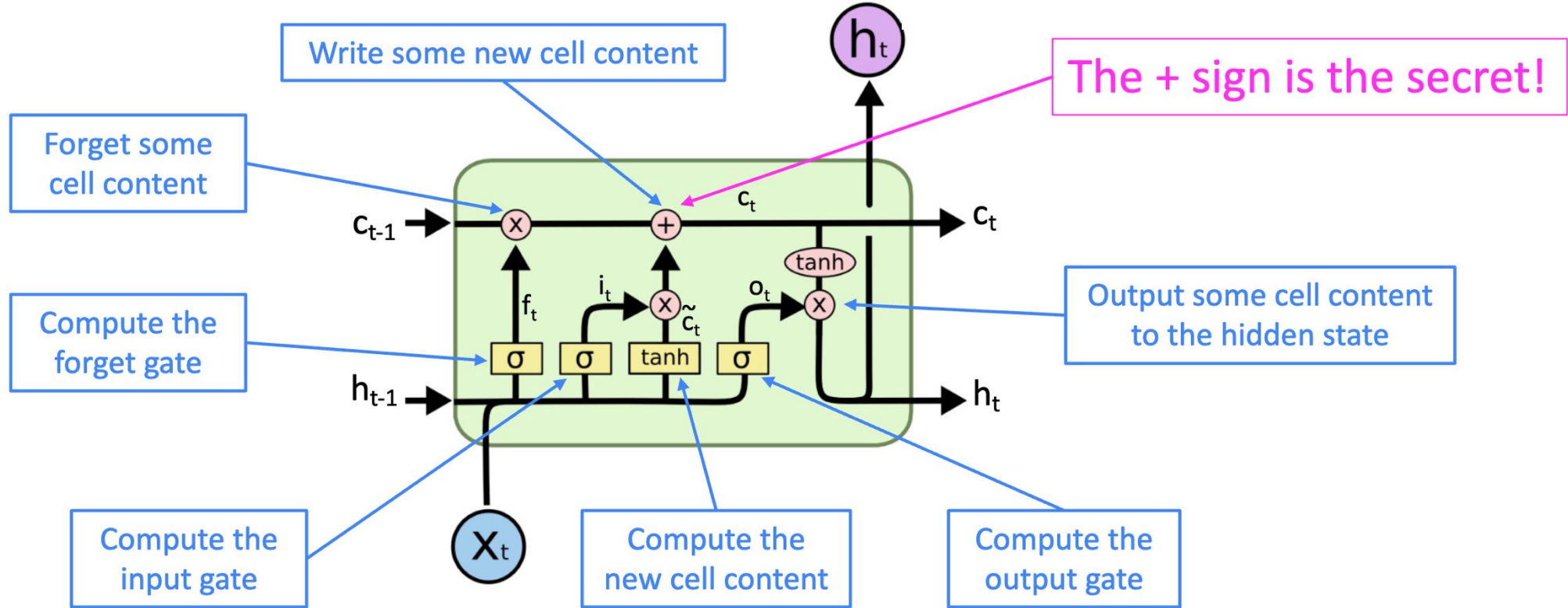
# Long Short-Term Memory (LSTM)



$$h_t = o_t * \tanh(C_t)$$

Update hidden state

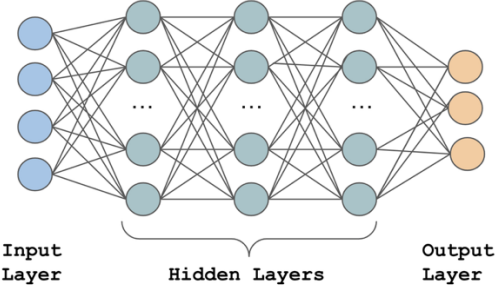
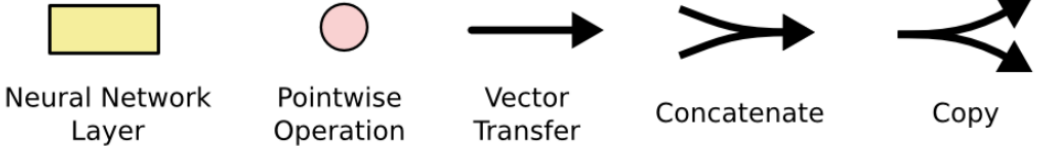
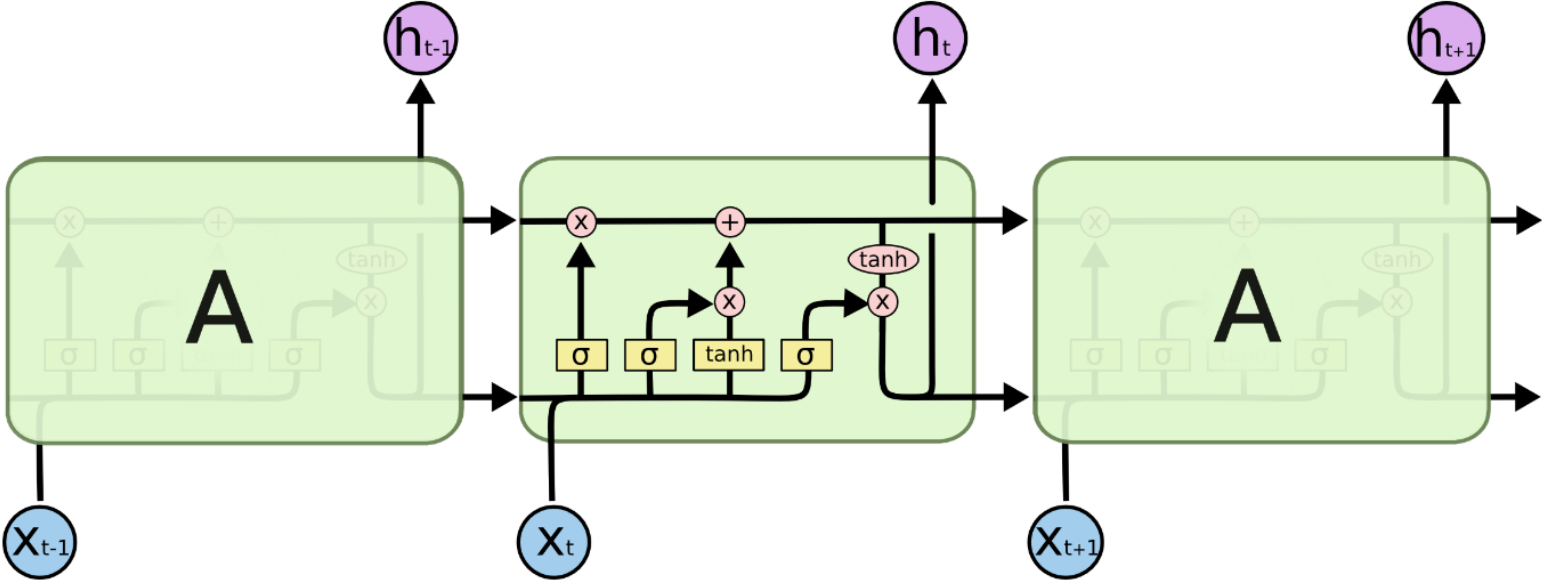
# Long Short-Term Memory (LSTM)



# Long Short-Term Memory (LSTM)

- How does LSTM solve vanishing gradients?
  - The LSTM architecture makes it much easier for an RNN to preserve information over many timesteps
  - e.g., if the forget gate is set to 1 for a cell dimension and the input gate set to 0, then the information of that cell is preserved indefinitely

# Long Short-Term Memory (LSTM)



$$\text{Loss} = - \sum_{i=1}^C y_i \cdot \log(p_i)$$

# Next Lecture

- Natural Language Processing Basics
- Long Short-Term Memory (LSTM) for generation
- Attention mechanism
- Transformers