# Natural Language Processing (CSE 517): Language Models

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- ▶ Sometimes true:  $p(X = x, Y = y) = p(X = x) \cdot p(Y = y)$
- The difference between *true* and *estimated* probability distributions

### Language Models: Definitions

- ➤ V is a finite set of (discrete) symbols (☺ "words" or possibly characters); V = |V|
- V<sup>†</sup> is the (infinite) set of sequences of symbols from V whose final symbol is ○
- $p: \mathcal{V}^{\dagger} \to \mathbb{R}$ , such that:

• For any 
$$\boldsymbol{x} \in \mathcal{V}^{\dagger}$$
,  $p(\boldsymbol{x}) \geq 0$ 

$$\blacktriangleright \sum_{\boldsymbol{x} \in \mathcal{V}^{\dagger}} p(\boldsymbol{x}) = 1$$

! (I.e., p is a proper probability distribution.) More careful r.v. notation:  $p({\bm X}={\bm x})$ 

Language modeling: estimate p from examples,  $x_{1:n}$ .

## Immediate Objections

- 1. Why would we want to do this?
- 2. Are the nonnegativity and sum-to-one constraints really necessary?
- 3. Is "finite  $\mathcal{V}$ " realistic?

A pattern for modeling a pair of random variables, X and Y:

$$\boxed{\texttt{source}} \longrightarrow Y \longrightarrow \boxed{\texttt{channel}} \longrightarrow X$$

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- Decoding: select y given X = x.

$$y^{*} = \underset{y}{\operatorname{argmax}} p(y \mid x)$$

$$= \underset{y}{\operatorname{argmax}} \frac{p(x \mid y) \cdot p(y)}{p(x)}$$

$$= \underset{y}{\operatorname{argmax}} \underbrace{p(x \mid y)}_{\text{channel model source model}} \cdot \underbrace{p(y)}_{\text{channel model source model}}$$

## Noisy Channel Example: Speech Recognition

### $\fbox{source} \longrightarrow \mathsf{sequence in} \ \mathcal{V}^\dagger \longrightarrow \fbox{channel} \longrightarrow \mathsf{acoustics}$

- Acoustic model defines  $p(\text{sounds} \mid \boldsymbol{x})$  (channel)
- Language model defines p(x) (source)

#### Noisy Channel Example: Speech Recognition Credit: Luke Zettlemoyer

word sequence  $\log p(\text{acoustics} \mid \text{word sequence})$ the station signs are in deep in english -14732the stations signs are in deep in english -14735the station signs are in deep into english -14739the station 's signs are in deep in english -14740the station signs are in deep in the english -14741 the station signs are indeed in english -14757 the station 's signs are indeed in english -14760the station signs are indians in english -14790the station signs are indian in english -14799the stations signs are indians in english -14807the stations signs are indians and english -14815

#### Noisy Channel Example: Machine Translation

Also knowing nothing official about, but having guessed and inferred considerable about, the powerful new mechanized methods in cryptography—methods which I believe succeed even when one does not know what language has been coded—one naturally wonders if the problem of translation could conceivably be treated as a problem in cryptography. When I look at an article in Russian, I say: "This is really written in English, but it has been coded in some strange symbols. I will now proceed to decode."

Warren Weaver, 1955

# Noisy Channel Examples

- Speech recognition
- Machine translation
- Optical character recognition
- Spelling and grammar correction

# "Conditional" Language Models

Instead of  $p(\mathbf{X})$ , model  $p(\mathbf{X} \mid Context)$ .

- Context could be an input (acoustics, source-language sentence, image of text) ... or it could be something else (visual input, stock prices, ...)
- Made possible by advances in machine learning!

# Immediate Objections

- 1. Why would we want to do this?
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Intuitively, language models should assign high probability to real language they have not seen before.

For out-of-sample ("held-out" or "test") data  $ar{x}_{1:m}$ :

• Probability of 
$$\bar{\boldsymbol{x}}_{1:m}$$
 is  $\prod_{i=1}^{m} p(\bar{\boldsymbol{x}}_i)$ 

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For out-of-sample ("held-out" or "test") data  $ar{m{x}}_{1:m}$ :

- Average log-probability per word of  $ar{m{x}}_{1:m}$  is

$$l = \frac{1}{M} \sum_{i=1}^{m} \log_2 p(\bar{\boldsymbol{x}}_i)$$

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if  $M = \sum_{i=1}^m |\bar{\boldsymbol{x}}|_i$ 

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Lower is better.

### Understanding Perplexity

$$2^{-\frac{1}{M}\sum_{i=1}^{m}\log_2 p(\bar{\boldsymbol{x}}_i)}$$

It's a branching factor!

- Assign probability of 1 to the test data  $\Rightarrow$  perplexity = 1
- Assign probability of  $\frac{1}{|\mathcal{V}|}$  to every word  $\Rightarrow$  perplexity =  $|\mathcal{V}|$
- Assign probability of 0 to anything  $\Rightarrow$  perplexity =  $\infty$ 
  - This motivates a stricter constraint than we had before:

• For any 
$$\boldsymbol{x} \in \mathcal{V}^{\dagger}$$
,  $p(\boldsymbol{x}) > 0$ 

# Perplexity

- Perplexity on conventionally accepted test sets is often reported in papers.
- ► Generally, I won't discuss perplexity numbers much, because:
  - Perplexity is only an intermediate measure of performance.
  - Understanding the models is more important than remembering how well they perform on particular train/test sets.
- If you're curious, look up numbers in the literature; always take them with a grain of salt!

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Is "finite  $\mathcal{V}"$  realistic?

No

#### Is "finite $\mathcal{V}$ " realistic?

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## The Language Modeling Problem

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Input: x_{1:n} ("training data")
Output: p: \mathcal{V}^{\dagger} \to \mathbb{R}^+
\odot p should be a "useful" measure of plausibility (not grammaticality).
```

# A Trivial Language Model

$$p(oldsymbol{x}) = rac{|\{i \mid oldsymbol{x}_i = oldsymbol{x}\}|}{n} = rac{c_{oldsymbol{x}_{1:n}}(oldsymbol{x})}{n}$$

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#### A Trivial Language Model

$$p(\boldsymbol{x}) = \frac{|\{i \mid \boldsymbol{x}_i = \boldsymbol{x}\}|}{n}$$
$$= \frac{c_{\boldsymbol{x}_{1:n}}(\boldsymbol{x})}{n}$$

What if x is not in the training data?

### Using the Chain Rule

$$p(\mathbf{X} = \mathbf{x}) = \begin{pmatrix} p(X_1 = x_1) \\ \cdot p(X_2 = x_2 \mid X_1 = x_1) \\ \cdot p(X_3 = x_3 \mid \mathbf{X}_{1:2} = \mathbf{x}_{1:2}) \\ \vdots \\ \cdot p(X_\ell = \bigcirc \mid \mathbf{X}_{1:\ell-1} = \mathbf{x}_{1:\ell-1}) \end{pmatrix}$$
$$= \prod_{j=1}^{\ell} p(X_j = x_j \mid \mathbf{X}_{1:j-1} = \mathbf{x}_{1:j-1})$$

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### Unigram Model

$$p(\boldsymbol{X} = \boldsymbol{x}) = \prod_{j=1}^{\ell} p(X_j = x_j \mid \boldsymbol{X}_{1:j-1} = \boldsymbol{x}_{1:j-1})$$

$$\stackrel{\text{assumption}}{=} \prod_{j=1}^{\ell} p(X_j = x_j)$$

Modeled by:

Maximum likelihood estimate:

$$p_{\boldsymbol{\theta}}(\boldsymbol{x}) = \prod_{j=1}^{\ell} \theta_{x_j}$$

where  $\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}$ .

$$\forall v \in \mathcal{V}, \hat{\theta}_v = \frac{|\{i, j \mid [\boldsymbol{x}_i]_j = v\}|}{N}$$
$$= \frac{c_{\boldsymbol{x}_{1:n}}(v)}{N}$$

where  $N = \sum_{i=1}^{n} |x_i|$ . Also known as "relative frequency estimation."



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The maximum likelihood estimation problem:

 $\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n})$ 

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Logarithm is a monotonic function.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n}) = \exp \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n})$$

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Each sequence is an independent sample from the model.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log p_{\boldsymbol{\theta}}(\boldsymbol{x}_{1:n}) = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^{n} p_{\boldsymbol{\theta}}(\boldsymbol{x}_{i})$$

Plug in the form of the unigram model.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^{n} p_{\boldsymbol{\theta}}(\boldsymbol{x}_i) = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^{n} \prod_{j=1}^{\ell_i} \theta_{[\boldsymbol{x}_i]_j}$$

Log of product equals sum of logs.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \log \prod_{i=1}^{n} \prod_{j=1}^{\ell_i} \theta_{[\boldsymbol{x}_i]_j} = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{i=1}^{n} \sum_{j=1}^{\ell_i} \log \theta_{[\boldsymbol{x}_i]_j}$$

Convert from tokens to types.

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{i=1}^{n} \sum_{j=1}^{\ell_i} \log \theta_{[\boldsymbol{x}_i]_j} = \max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v$$

Convert to a minimization problem (for consistency with textbooks).

$$\max_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_{v} = \min_{\boldsymbol{\theta} \in \triangle^{|\mathcal{V}|}} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_{v}$$

Lagrange multiplier to convert to a less constrained problem.

$$\begin{split} \min_{\boldsymbol{\theta} \in \Delta^{|\mathcal{V}|}} &- \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v \\ &= \max_{\mu \ge 0} \min_{\boldsymbol{\theta} \in \mathbb{R}_{\ge 0}^{|\mathcal{V}|}} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left( 1 - \sum_{v \in \mathcal{V}} \theta_v \right) \\ &= \min_{\boldsymbol{\theta} \in \mathbb{R}_{\ge 0}^{|\mathcal{V}|}} \max_{\mu \ge 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left( 1 - \sum_{v \in \mathcal{V}} \theta_v \right) \end{split}$$

Intuitively, if  $\sum_{v \in \mathcal{V}} \theta_v$  gets too big,  $\mu$  will push toward  $+\infty$ . For more about Lagrange multipliers, see Dan Klein's tutorial (reference at the end of these slides).

Use first-order conditions to solve for  $\theta$  in terms of  $\mu$ .

$$\begin{split} \min_{\boldsymbol{\theta} \in \mathbb{R}_{\geq 0}^{|\mathcal{V}|}} \max_{\mu \geq 0} &- \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left( 1 - \sum_{v \in \mathcal{V}} \theta_v \right) \\ \text{fixing } \mu, \text{ for all } v, \text{ set: } 0 &= \frac{\partial}{\partial \theta_v} \\ &= \frac{-c_{\boldsymbol{x}_{1:n}}(v)}{\theta_v} + \mu \\ \theta_v &= \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} \end{split}$$

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Plug in for each  $\theta_v$ .

$$\min_{\boldsymbol{\theta} \in \mathbb{R}_{\geq 0}^{|\mathcal{V}|}} \max_{\mu \ge 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \theta_v - \mu \left( 1 - \sum_{v \in \mathcal{V}} \theta_v \right)$$
$$= \max_{\mu \ge 0} - \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} - \mu \left( 1 - \sum_{v \in \mathcal{V}} \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} \right)$$

Remember: 
$$\forall v \in \mathcal{V}, \theta_v = rac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu}$$

Rearrange terms  $(a \log \frac{a}{b} = a \log a - a \log b \text{ and } N = \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v)).$ 

$$\max_{\mu \ge 0} -\sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} - \mu \left(1 - \sum_{v \in \mathcal{V}} \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu}\right)$$
$$= \max_{\mu \ge 0} -\sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log \mu - \mu + N$$

Remember: 
$$\forall v \in \mathcal{V}, heta_v = rac{c_{oldsymbol{x}_{1:n}}(v)}{\mu}$$

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Use first-order conditions to solve for  $\mu$ .

$$\begin{split} \max_{\mu \geq 0} &- \sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log \mu - \mu + N \\ &\text{set: } 0 = \frac{\partial}{\partial \mu} \\ &= \frac{N}{\mu} - 1 \\ &\mu = N \end{split}$$

Remember: 
$$\forall v \in \mathcal{V}, \theta_v = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu}$$

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Plug in for  $\mu$ .

$$\max_{\mu \ge 0} -\sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log \mu - \mu + N$$
$$= -\sum_{v \in \mathcal{V}} c_{\boldsymbol{x}_{1:n}}(v) \log c_{\boldsymbol{x}_{1:n}}(v) + N \log N$$

$$\forall v \in \mathcal{V}, \theta_v = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{\mu} = \frac{c_{\boldsymbol{x}_{1:n}}(v)}{N}$$

... and that's the relative frequency estimate!

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# Unigram Models: Assessment

#### Pros:

- Easy to understand
- Cheap
- Good enough for information retrieval (maybe)

#### Cons:

- "Bag of words" assumption is linguistically inaccurate
  - $p(\text{the the the the}) \gg p(\text{I want ice cream})$
- Data sparseness; high variance in the estimator
- "Out of vocabulary" problem

#### Markov Models $\equiv$ n-gram Models

$$p(\boldsymbol{X} = \boldsymbol{x}) = \prod_{j=1}^{\ell} p(X_j = x_j \mid \boldsymbol{X}_{1:j-1} = \boldsymbol{x}_{1:j-1})$$

$$\stackrel{\text{assumption}}{=} \prod_{j=1}^{\ell} p(X_j = x_j \mid \boldsymbol{X}_{j-n+1:j-1} = \boldsymbol{x}_{j-n+1:j-1})$$

(n-1)th-order Markov assumption  $\equiv$  n-gram model

- ▶ Unigram model is the n = 1 case
- For a long time, trigram models (n = 3) were widely used
- ▶ 5-gram models (n = 5) are not uncommon now in MT

# Estimating n-Gram Models

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## The Problem with MLE

- The curse of dimensionality: the number of parameters grows exponentially in n
- Data sparseness: most n-grams will never be observed, even if they are linguistically plausible
- No one actually uses the MLE!

## Smoothing

A few years ago, I'd have spent a whole lecture on this!  $\hfill \ensuremath{\textcircled{}}$ 

- ► Simple method: add λ > 0 to every count (including zero-counts) before normalizing
- What makes it hard: ensuring that each  $oldsymbol{ heta}\in riangle^{|\mathcal{V}|}$ 
  - Otherwise, perplexity calculations break
- Longstanding champion: modified Kneser-Ney smoothing (Chen and Goodman, 1998)
- Stupid backoff: reasonable, easy solution when you don't care about perplexity (Brants et al., 2007)

#### Interpolation

If  $\boldsymbol{p}$  and  $\boldsymbol{q}$  are both language models, then so is

$$\alpha p + (1 - \alpha)q$$

for any  $\alpha \in [0,1]$ .

- This idea underlies many smoothing methods
- Often a new model q only beats a reigning champion p when interpolated with it
- How to pick  $\alpha$ ?

# Algorithms To Know

- Score a sentence x
- Train from a corpus  $x_{1:n}$
- Sample a sentence given  $\theta$

# n-gram Models: Assessment

#### Pros:

- Easy to understand
- Cheap (with modern hardware; Lin and Dyer, 2010)
- Good enough for machine translation, speech recognition, ...

#### Cons:

- Markov assumption is linguistically inaccurate
  - (But not as bad as unigram models!)
- Data sparseness; high variance in the estimator
- "Out of vocabulary" problem

# Class-Based Language Models

Brown et al. (1992)

Suppose we have a hard clustering of  $\mathcal{V}$ , cl :  $\mathcal{V} \to \{1, \dots, k\}$ , where  $k \ll |\mathcal{V}|$ .



 Language Models as (Weighted) Finite-State Automata

(Deterministic) finite-state automaton:

- Set of k states S
  - Initial state  $s_0 \in \mathcal{S}$
  - Final states  $\mathcal{F} \subseteq \mathcal{S}$
- ► Alphabet Σ
- Transitions  $\delta : \mathcal{S} \times \Sigma \to \mathcal{S}$

A length  $\ell$  string  ${\boldsymbol x}$  is in the language of the automaton iff there is a path  $\langle s_0,\ldots,s_\ell\rangle$  such that  $s_\ell\in {\mathcal F}$  and

$$\bigwedge_{i=1}^{\ell} [[s_i = \delta(s_{i-1}, x_i)]]$$

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# Language Models as (Weighted) Finite-State Automata

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- ► Alphabet Σ

► Transitions 
$$\delta : S \times \Sigma \to S \times \mathbb{R}_{>0}$$
  
A **weighted** FSA defines a weight for every transition; e.g.,  
 $w(h, v, \delta(h, v)) = \theta_{v|h}$ 

A length  $\ell$  string x is in the language of the automaton iff there is a path  $\langle s_0,\ldots,s_\ell\rangle$  such that  $s_\ell\in\mathcal{F}$  and

$$\bigwedge_{i=1}^{\ell} [[s_i = \delta(s_{i-1}, x_i)]]$$

The score of the string is the product of transition weights.

$$score(\boldsymbol{x})\prod_{i=1}^{\ell}w(\boldsymbol{h}_{i},x_{i},\delta(\boldsymbol{h}_{i},x_{i}))$$

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histories

histories ending in ()

## Dealing with Out-of-Vocabulary Terms

- ► Define a special OOV or "unknown" symbol UNK. Transform some (or all) rare words in the training data to UNK.
  - Solution You cannot fairly compare two language models that apply different UNK treatments!
- Build a language model at the *character* level.

# Readings and Reminders

- Collins (2011); Jurafsky and Martin (2015)
- Submit a suggestion for an exam question by Friday at 5pm.
- ▶ Noah's office hours: Friday 1:30–2:30 in CSE 532.

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