# **XLNet**: Generalized Autoregressive Pre-training for Language Understanding

Zhilin Yang\*, Zihang Dai\*, Yiming Yang, Jaime Carbonell, Ruslan Salakhutdinov, Quoc V. Le

#### Presented by Andrew Or, Ksenia Sokolova



# Outline

XLNet Key Ideas: high-level comparison with BERT

XLNet Backbone: Transformer-XL

Pre-training Objectives: comparison with AR and BERT

XLNet Design: permutation, masks, two-stream attention

**Results:** XLNet outperforms BERT on 20 tasks

# Background

- ★ Before: autoregressive (ex. ELMo, GPT) and autoencoding (ex. BERT) models are the two most successful pre-training objectives
- $\star$  Both approaches have their own limitations

# **Autoregressive Models**

Use context to predict the next word



X Only considers context in one direction

# Autoencoding Models (BERT)

Note: previously a SOTA pretraining approach



Fine-tuning discrepancy caused by [MASK] tokens (not in real data)



No joint probability between masked entries

# Two Notable Objectives for Language Pretraining



Autoregressive: use context to predict the next word

Bidirectional context from permutation language modeling

Self-attention mechanisms, uses Transformer-XL backbone

Autoregressive: use context to predict the next word

#### Bidirectional context from permutation language modeling

#### Peter's cat likes yarn

Peter's cat likes yarn Peter's cat yarn likes Peter's likes cat yarn Peter's likes yarn cat Peter's yarn cat likes Peter's yarn likes cat yarn Peter's cat likes yarn Peter's likes cat yarn cat Peter's likes yarn cat likes Peter yarn likes Peter's cat yarn likes cat Peter's

Autoregressive: use context to predict the next word

#### Bidirectional context from permutation language modeling

#### Peter's cat likes yarn

**Peter's cat** likes yarn Peter's cat yarn likes Peter's **likes cat** yarn Peter's likes yarn cat Peter's **yarn cat** likes Peter's yarn likes cat

yarn Peter's cat likes yarn Peter's likes cat yarn cat Peter's likes yarn cat likes Peter yarn likes Peter's cat yarn likes cat Peter's

. . .

Autoregressive: use context to predict the next word

Bidirectional context from permutation language modeling

#### Self-attention mechanisms, uses Transformer-XL backbone





Increases context through segment-level recurrence and a novel positional encoding scheme

# **Transformer-XL**

Increases context through **segment-level recurrence** and a novel positional encoding scheme

- Cache and reuse hidden state from the previous segment
- Allows variable-length context, great for capturing long-term dependencies
- Resolves the problem of context fragmentation

# **Before (no segment-level recurrence)**



Current segment

#### **After segment-level recurrence**



# **Transformer-XL**

Increases context through segment-level recurrence and a novel **positional** encoding scheme

Need a way to keep positional information coherent when we reuse the states

- In the original Transformer: *absolute* position within a segment is used
- Need to encode *relative* position



**Original Transformer** 

# Before



Current segment



Current segment

# **Training objectives**

Traditional AR models vs BERT vs XLNet

$$\max_{\theta} \quad \log p_{\theta}(\mathbf{x}) = \sum_{t=1}^{T} \log p_{\theta}(x_t \mid \mathbf{x}_{< t}) = \sum_{t=1}^{T} \log \frac{\exp\left(h_{\theta}(\mathbf{x}_{1:t-1})^{\top} e(x_t)\right)}{\sum_{x'} \exp\left(h_{\theta}(\mathbf{x}_{1:t-1})^{\top} e(x')\right)}$$

#### Traditional AR models

$$\max_{\theta} \quad \log p_{\theta}(\bar{\mathbf{x}} \mid \hat{\mathbf{x}}) \approx \sum_{t=1}^{T} m_{t} \log p_{\theta}(x_{t} \mid \hat{\mathbf{x}}) = \sum_{t=1}^{T} m_{t} \log \frac{\exp\left(H_{\theta}(\hat{\mathbf{x}})_{t}^{\top} e(x_{t})\right)}{\sum_{x'} \exp\left(H_{\theta}(\hat{\mathbf{x}})_{t}^{\top} e(x')\right)}$$

$$BERT$$

$$= 1 \text{ if masked}$$

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$$\max_{\theta} \mathbb{E}_{\mathbf{z} \sim \mathcal{Z}_{T}} \left[ \sum_{t=1}^{T} \log p_{\theta}(x_{z_{t}} \mid \mathbf{x}_{\mathbf{z}_{< t}}) \right]$$
  
Set of all permutations XLNet\*

# **XLNet Design**

**Permutation** only on *factorization order*, not the original *sequence order* 

Attention masks provide the context for each prediction

Two-stream self-attention allows prediction to be aware of target position

**Partial prediction:** only predict 1/K tokens in each permutation

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#### Context Depends on the Factorization Order

• Standard LM: Left-to-right factorization  $1 \rightarrow 2 \rightarrow 3 \rightarrow 4$ 

 $P(\mathbf{x}) = P(x_1)P(x_2 \mid \mathbf{x}_1)P(x_3 \mid \mathbf{x}_{1,2})P(x_4 \mid \mathbf{x}_{1,2,3})\cdots$ 



#### Context Depends on the Factorization Order

• Change the Factorization order to:  $4 \rightarrow 1 \rightarrow 3 \rightarrow 2$ 

 $P(\mathbf{x}) = P(x_4)P(x_1 \mid \mathbf{x}_4)P(x_3 \mid \mathbf{x}_{1,4})P(x_2 \mid \mathbf{x}_{1,2,4})\cdots$ 





#### Permutation Language Modeling

- Given a sequence  $\mathbf{x}$  of length T
- Uniformly sample a factorization order **z** from all possible permutations
- Maximize the permutated log-likelihood

$$\mathbb{E}_{\mathbf{z}\sim\mathcal{Z}_{T}}\left[\log P(\mathbf{x} \mid \mathbf{z})\right] = \mathbb{E}_{\mathbf{z}\sim\mathcal{Z}_{T}}\left[\sum_{t=1}^{T} P(x_{z_{t}} \mid \mathbf{x}_{\mathbf{z}< t}, z_{t})\right]$$

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#### Attention masks provide the context for each prediction

Two-stream self-attention allows prediction to be aware of target position

**Partial prediction:** only predict *1/K* tokens in each permutation

#### Attention Masks Provide Context



Attention output = w1 \* v1 + w2 \* v2 + w1 \* v3 + w4 \* v4

#### Attention Masks Provide Context



**Attention output** = **w1** \* v1 + **w4** \* v4

# **XLNet Design**

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Partial prediction: only predict 1/K tokens in each permutation

## **Standard AR Parameterization Fails**

The apple was eaten

- $z_1 = apple was the eaten p(x | apple, was)$
- $z_2 = apple was eaten the p(x | apple, was)$

Predicting *the* and *eaten* uses the same distribution Fails to take into account target position

# **Standard AR Parameterization Fails**

The apple was eaten

 $z_1 = apple was the eaten<math>p(\mathbf{x} | apple, was, [pos=0])$  $z_2 = apple was eaten the$  $p(\mathbf{x} | apple, was, [pos=3])$ 

Predicting *the* and *eaten* uses the same distribution

# Fails to take into account target position

#### Reparameterization

• Standard Softmax does **NOT** work

• **Proposed** solution: incorporate  $z_t$  into **hidden** states

$$P(x_{z_t} \mid \mathbf{x}_{\mathbf{z}_{< t}}, z_t) = \frac{\exp\left(e(x_{z_t})^\top g(\mathbf{z}_t, \mathbf{x}_{\mathbf{z}_{< t}})\right)}{\sum_{x'} \exp\left(e(x')^\top g(\mathbf{z}_t, \mathbf{x}_{\mathbf{z}_{< t}})\right)}$$
 Deep Net

# Implement this using two-stream architecture

NT · C

Target Position Aware Representation:  $g(z_t, x_{z_{< t}})$ 

Reuse the Idea of Attention

• Stand at the target position  $z_t$ 

• Gather information from 
$$\mathbf{x}_{Z_{< t}}$$

$$g(z_t, \mathbf{x}_{\mathbf{z}_{< t}}) = \operatorname{Attn}_{\theta} \left( \underbrace{\operatorname{Q} = \operatorname{Enc}(z_t)}_{\operatorname{Stand at} z_t}, \underbrace{\operatorname{KV} = \mathbf{h}(\mathbf{x}_{\mathbf{z}_{< t}})}_{\operatorname{Gather info. from } \mathbf{x}_{\mathbf{z}_{< t}}} \right)$$



#### Contradiction: Predicting Self and Others

• Factorization order:  $4 \rightarrow 1 \rightarrow 3 \rightarrow 2$ 



Should encode  $x_1$ 

 $\left[g_{4}^{(2)}\right]$ 

 $g_{4}^{(1)}$ 

x<sub>4</sub> p<sub>3</sub>

# **Two-Stream Self-Attention**

 $g_{z_t}^{(m)} \leftarrow \text{Attention}(\mathbf{Q} = g_{z_t}^{(m-1)}, \text{KV} = \mathbf{h}_{\mathbf{z}_{\leq t}}^{(m-1)}; \theta), \quad (\text{query stream: use } z_t \text{ but cannot see } x_{z_t})$  $h_{z_t}^{(m)} \leftarrow \text{Attention}(\mathbf{Q} = h_{z_t}^{(m-1)}, \text{KV} = \mathbf{h}_{\mathbf{z}_{\leq t}}^{(m-1)}; \theta), \quad (\text{content stream: use both } z_t \text{ and } x_{z_t}).$ 

**Query stream** encodes target position information  $(z_t)$ 

**Content stream** encodes both context and the target word  $(x_{z_t})$ 

$$p_{\theta}(X_{z_t} = x \mid \mathbf{x}_{z_{< t}}) = \frac{\exp\left(e(x)^{\top} g_{\theta}(\mathbf{x}_{z_{< t}}, z_t)\right)}{\sum_{x'} \exp\left(e(x')^{\top} g_{\theta}(\mathbf{x}_{z_{< t}}, z_t)\right)}$$

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#### **Two-Stream Attention**

• Factorization order:  $4 \rightarrow 1 \rightarrow 3 \rightarrow 2$ 

Encoding. Predicting  $x_2$  and  $x_3$  (others).



 $h_1$  encodes  $x_1$ 

Decoding. Predicting  $\boldsymbol{x_1}$  (self).



 $g_1$  does not encode  $x_1$ 



# **XLNet Design**

**Permutation** only on *factorization order*, not the original *sequence order* 

Attention masks provide the context for each prediction

Two-stream self-attention allows prediction to be aware of target position

**Partial prediction:** only predict 1/K tokens in each permutation

# **Partial Prediction**

**Motivation**: reduce optimization difficulty from too little context Split sequence into *context words* and *target words*, cut off at c

Only predict target words (1/K of original sequence)

$$\max_{\theta} \quad \mathbb{E}_{\mathbf{z} \sim \mathcal{Z}_T} \left[ \log p_{\theta}(\mathbf{x}_{\mathbf{z}_{>c}} \mid \mathbf{x}_{\mathbf{z}_{\le c}}) \right] = \mathbb{E}_{\mathbf{z} \sim \mathcal{Z}_T} \left[ \sum_{t=c+1}^{|\mathbf{z}|} \log p_{\theta}(x_{z_t} \mid \mathbf{x}_{\mathbf{z}_{< t}}) \right]$$

$$\mathbf{z}|/(|\mathbf{z}|-c) \approx K$$
= 6 (~17% target)

XLNet-Large

# **Example: Comparison with BERT**

**Input sentence:** New York is a city, masked *New* and *York* **XLNet factorization order:** [is, a, city, New, York]

$$\log p(\text{New York} \mid \text{is a city})$$

 $\mathcal{J}_{\text{BERT}} = \log p(\text{New} \mid \text{is a city}) + \log p(\text{York} \mid \text{is a city}),$  $\mathcal{J}_{\text{XLNet}} = \log p(\text{New} \mid \text{is a city}) + \log p(\text{York} \mid \text{New}, \text{is a city}).$ 

# **Evaluation**

Comparison with BERT

# Experiment 1: Comparison with BERT

- Same training data as in BERT: Wikipedia + BooksCorpus
- Same hyperparameters for pretraining as in BERT
  - Model size: L=24, H=1024, A=16
  - Batch size: 256
  - Number of steps: 1M
  - ...
- Same hyperparameter search space for finetuning as in BERT

# XLNet outperforms BERT on 20 tasks



We report the best of 3 BERT variants. Almost identical training recipes.

# Experiment 2: Comparison with RoBERTa

- $\bullet$  Less training data for XLNet: 126GB vs 160GB
- Same hyperparameters for pretraining as in RoBERTa
  - Model size: L=24, H=1024, A=16
  - Batch size: 8192
  - Number of steps: 500K
  - ...
- Same hyperparameter search space for finetuning as in RoBERTa

	MNLI	QNLI	QQP	RTE	SST	MRPC	CoLA	STS	WNLI	Avg
Single-task si	Single-task single models on dev									
BERT <sub>LARGE</sub>	86.6/-	92.3	91.3	70.4	93.2	88.0	60.6	90.0	-	-
XLNet <sub>LARGE</sub>	89.8/-	93.9	91.8	83.8	95.6	89.2	63.6	91.8	-	-
RoBERTa	90.2/90.2	94.7	92.2	86.6	96.4	90.9	68.0	92.4	91.3	-
Ensembles on test (from leaderboard as of July 25, 2019)										
Ensemples on	i iesi (from ie	eaaerboa	ra as of	July 25,	2019)					
ALICE	88.2/87.9	eaaerboal 95.7	ra as of <b>90.7</b>	July 25, 83.5	95.2	92.6	68.6	91.1	80.8	86.3
ALICE MT-DNN	88.2/87.9 87.9/87.4	95.7 96.0	ra as of <b>90.7</b> 89.9	July 25, 83.5 86.3	2019) 95.2 96.5	92.6 92.7	<b>68.6</b> 68.4	91.1 91.1	80.8 89.0	86.3 87.6
ALICE MT-DNN XLNet	88.2/87.9 87.9/87.4 90.2/89.8	95.7 96.0 98.6	<b>90.7</b> 89.9 90.3	<i>July 25,</i> 83.5 86.3 86.3	2019) 95.2 96.5 <b>96.8</b>	92.6 92.7 <b>93.0</b>	<b>68.6</b> 68.4 67.8	91.1 91.1 91.6	80.8 89.0 <b>90.4</b>	86.3 87.6 88.4

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RoBERTa	90.8/90.2	98.9	90.2	88.2	96.7	92.3	67.8	92.2	89.0	88.5

Model	MNLI	QNLI	QQP	RTE	SST-2	MRPC	CoLA	STS-B	WNLI
Single-task single models on dev									
BERT [2]	86.6/-	92.3	91.3	70.4	93.2	88.0	60.6	90.0	-
RoBERTa [21]	90.2/90.2	94.7	92.2	86.6	96.4	90.9	68.0	92.4	-
XLNet	90.8/90.8	94.9	92.3	85.9	97.0	90.8	69.0	92.5	-
Multi-task ensemb	oles on test (fr	om leader	board as	of Oct 2	28, 2019)				
MT-DNN* [20]	87.9/87.4	96.0	89.9	86.3	96.5	92.7	68.4	91.1	89.0
RoBERTa* [21]	90.8/90.2	98.9	90.2	88.2	96.7	92.3	67.8	92.2	89.0
XLNet*	90.9/90.9 <sup>†</sup>	<b>99.0</b> <sup>†</sup>	<b>90.4</b> <sup>†</sup>	88.5	<b>97.1</b> <sup>†</sup>	92.9	70.2	93.0	92.5

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#### **RoBERTa** paper

Model	MNLI	QNLI	QQP	RTE	SST-2	MRPC	CoLA	STS-B	WNLI	
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BERT [2]	86.6/-	92.3	91.3	70.4	93.2	88.0	60.6	90.0	-	
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#### XLNet outperforms RoBERTa on all considered tasks



Almost identical training recipes.

#	Model	RACE	SQuA	AD2.0	MNLI	SST-2
			F1	EM	m/mm	
1	BERT-Base	64.3	76.30	73.66	84.34/84.65	92.78
2	DAE + Transformer-XL	65.03	79.56	76.80	84.88/84.45	92.60
3	XLNet-Base ( $K = 7$ )	66.05	81.33	78.46	85.84/85.43	92.66
4	XLNet-Base ( $K = 6$ )	66.66	80.98	78.18	85.63/85.12	93.35
5	- memory	65.55	80.15	77.27	85.32/85.05	92.78
6	- span-based pred	65.95	80.61	77.91	85.49/85.02	93.12
7	- bidirectional data	66.34	80.65	77.87	85.31/84.99	92.66
8	+ next-sent pred	66.76	79.83	76.94	85.32/85.09	92.89

#### **Transformer-XL and permutation LM contribute to the performance**

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	• • • • • • • • • • • • • • • • • • •	important. RACE involves longest contexts of the 4							

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8	+ next-sent pred	66.76	79.83	76.94	85.32/85.09	92.89

#	Model	RACE	SQuA	D2.0	MNLI	SST-2
Next-	Next-sentence prediction objective			EM	m/mm	
does not necessarily help			76.30	73.66	84.34/84.65	92.78
		00.00	79.56	76.80	84.88/84.45	92.60
3	XLNet-Base ( $K = 7$ )	66.05	81.33	78.46	85.84/85.43	92.66
4	XLNet-Base ( $K = 6$ )	66.66	80.98	78.18	85.63/85.12	93.35
5	- memory	65.55	80.15	77.27	85.32/85.05	92.78
6	- span-based pred	65.95	80.61	77.91	85.49/85.02	93.12
7	- bidirectional data	66.34	80.65	77.87	85.31/84.99	92.66
8	+ next-sent pred	66.76	79.83	76.94	85.32/85.09	92.89

# $XLNet \; {}_{\rm is}$

#### The **best pretrained model today** Given standard FLOPs.



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A systematic study of pre-training objectives, architectures, datasets, transfer approaches and other factors to create the best architecture. Results: T5 models - Base, Small, Large, 3B, 11B

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#### **Question Answering on SQuAD1.1 dev**



From: paperswithcode.com/sota/

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# **Text-to-text framework**

"translate English to German: That is good."

"cola sentence: The course is jumping well."

"stsb sentence1: The rhino grazed on the grass. sentence2: A rhino is grazing in a field."

"summarize: state authorities dispatched emergency crews tuesday to survey the damage after an onslaught of severe weather in mississippi…" "six people hospitalized after a storm in attala county."

"Das ist gut."

"not acceptable"

"3

# **Exploration of unsupervised objectives**

![](_page_60_Figure_1.jpeg)

# **Exploration of unsupervised objectives**

![](_page_61_Figure_1.jpeg)

# Examples of the unsupervised objectives

Objective	Inputs	Targets
Prefix language modeling BERT-style Deshuffling I.i.d. noise, mask tokens I.i.d. noise, replace spans I.i.d. noise, drop tokens Random spans	Thank you for inviting Thank you <m> <m> me to your party apple week . party me for your to . last fun you inviting week Thank Thank you <m> <m> me to your party <m> week . Thank you <x> me to your party <y> week . Thank you me to your party week . Thank you <x> to <y> week .</y></x></y></x></m></m></m></m></m>	<pre>me to your party last week .   (original text)   (original text)   (original text)   <x> for inviting <y> last <z>   for inviting last   <x> for inviting me <y> your party last <z></z></y></x></z></y></x></pre>

# **Other parameters considered**

- Datasets for pre-training
  - Introduce C4: cleaned Common Crawl dataset (745GB)
- Size of the pre-training dataset
- Training strategy
- Scaling: what to do with 4x compute resources

# The best model based on experiments: T5

- Encoder-decoder Transformer architecture
- Span-corruption objective, mean span of 3 and corrupt 15%
- Increase number of pre-training steps and batch size
- Use C4 to avoid repetition (large dataset)
- Train 5 different sizes of the models
- Multi-task pre-training
- Fine-tune on individual GLUE/SuperGLUE
- Beam search for tasks with long sequences

# **Takeaways and insights**

Systematic study can lead to an improved model

- Increasing the training time and/or model size improves the baseline
- Objectives that produce short target sequences are more computationally efficient
- Ensembling models that were only fine-tuned separately can give substantial performance and could be a cheaper mean of improving performance
- Pre-training on on-domain data can improve performance
- Updating all parameters during fine-tuning is the most effective but costly

# References

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RoBERTa paper: https://arxiv.org/pdf/1907.11692.pdf901.02860

XLNet paper: https://arxiv.org/pdf/1906.08237.pdf

XLNet NeurIPS slides: https://github.com/zihangdai/xlnet/blob/master/misc/slides.pdf

XLNet blog post: <u>https://towardsdatascience.com/what-is-xlnet-and-why-it-outperforms-bert-8d8fce710335</u>

T5 paper: <u>https://arxiv.org/pdf/1910.10683.pdf</u>