

## Assignment 4: Generation Probability Trees, Prompt Engineering for Generation & Classification, and Chain of Thought Prompting

**Deadline:** Wednesday November 15, 2023 at 9:00pm

**Late Penalty:** There is a penalty-free grace period of one hour past the deadline. Any work that is submitted between 1 hour and 24 hours past the deadline will receive a 20% grade deduction. No other late work is accepted.

The goal of the fourth assignment is to gain familiarity with the probabilistic nature of language generation with Transformers, and to gain skill in prompt engineering for generation and classification. This will be of specific help to those doing Class 2 projects. For those doing Class 1 projects, this may tempt you to still make use of a large model (for synthetic data generation, for example) but it is also an essential set of NLP skills moving forward in your career.

This assignment must be done individually. The specific learning objectives in this assignment are:

1. Learn about the generation (decoding) process and viewing the generation probability tree, as well as the effect key generation-controlling hyperparameters.
2. Review the prompt engineering methodology from class and practice it - applying it to generation and classification.
3. experimenting with chain-of-thought prompting specifically.

### What To Submit

You should hand in the following files to this assignment on Quercus:

- A PDF file `assignment4.pdf` containing answers to the written questions in this assignment. You should number your answer to each question in the form **Question X.Y.Z**, where X is the section of this assignment, Y is the subsection, and Z is the numbered element in the question. **You should include the specific written question itself** and then provide your answer.
- Code files as specified in individual questions.

## 1 Exploration of Text Generation Parameters and Probabilities (12 points)

Review the Huggingface documentation on performing auto-regressive text generation, which you encountered to a limited extent in Assignment 3, which can be found [here](#). In particular take a copy of the code titled [Multinomial Sampling](#).

Make sure you can run that code, which downloads a (medium-sized) GPT2 model and uses it to generate text given the specific input prompt.

The `model.generate` function (which has the same goal as the `generate` function you worked with in Assignment 3) has many parameters, including `temperature` and `top_p` as described in class. These parameters influence the sampling of the output probabilities which are used to select each word in turn in the auto-regressive generation. There are two other parameters to become familiar

with which control how many tokens are generated: `max_length` and `stopping_criteria`. There are also parameters like `repetition_penalty` which penalize repeated words, and reduce their occurrence if the penalty is set above 1. You can review all of the parameters of the `generate` function [here](#).

Consider the following input sequence: “It is important for all countries to try harder to reduce carbon emissions because”. In the following steps you are asked to both generate subsequent words from that input context using that GPT2 model, and to explore the probabilities that are generated.

1. To get a sense of the influence of some of the generation parameters, explore at least 10 combinations of temperature and top\_p to generate a maximum of 30 tokens using autoregressive generation with the GPT2 model. Comment on how the generation differs across the range of parameters that you have selected. You must choose your own range, and you’ll have to do some exploration to do that; you are free to explore other parameters if you wish. [5 points]
2. Modify the code to output the probabilities of the each word that is generated. You’ll need to set these two generate parameters: `return_dict_in_generate=True` and, `output_scores=True`, and extract the probabilities that come in the returned dictionary one call at a time. Provide a table that shows these probabilities, similar to Assignment 3. Comment on the probabilities. [2 points]
3. Write new code that generates the probability tree (like the one drawn on the board in Lecture 6 and shown on page 6-5 of the notes in Lecture6\_part1) using the `treelib` package that you can find [here](#). Generate the tree for the above sequence as input, providing the top 3 probabilities for each word position, as far as is practical to see, and submit that as part of the answer to this question. (You’ll have to apply some common sense here to visualize the tree). Comment on the what you see in the tree. Is the tree affected by the top\_p parameter or the temperature parameter? Why or why not? Submit your full code that runs the generation and builds and outputs the tree in the file `A4_1_3.py` [5 points]

## 2 Accessing OpenAI, Setting Limits, Learning the API

For the remainder of this assignment, you’ll be using models from OpenAI - through the OpenAI Playground and also directly using the OpenAI API. If you do not have an OpenAI account already should sign up for the OpenAI playground at here: <https://platform.openai.com/playground>. and you will get a certain amount (I believe \$5) of tokens for free. You will need to put in your own credit card to use the playground, and so the work in this assignment will incur expenses. However, the cost per token, even for the most expensive model is 3 to 6 USD cents per 1000 tokens, and none of the work in the sections below should incur more than \$1 USD. That said, **you will be programmatically accessing the OpenAI API, which means you could accidentally put your code into a loop that could incur significant expenses.**

To *prevent* that from happening, go to playground page, and click your account in the upper right hand side of the playground and then select **Manage Account**. Then select **Billing** from the right hand side menu, and then select **Usage Limits** show on the screen. As you can see, there is a soft limit to the amount of money spent (which generates a warning) and a hard limit that will cause all requests to be rejected. Set your limits to be \$1. Please talk to the instructor if this is problematic in any way.

For some of your work in the following sections, you are required to use the OpenAI API to access the models, rather than the highly manual process of cutting and pasting to the playground. To learn how to do that, read <https://platform.openai.com/docs/introduction> and <https://platform.openai.com/docs/quickstart?context=python>, and perhaps more information in the documentation section of OpenAI's website.

### 3 Prompt Engineering Methodology

Recall the discussion in Lecture 7 about Prompt Engineering - the design of english-language statements to stimulate a large language model to perform a specific task. The methodology discussed on page 7-6 of Lecture 7 is reprised below, and improved. The context of the methodology is one you are familiar with: That you have a task (which could be generation of text or classification of text) and an input data example that you wish to either generate from, or to classify. Call that example a training example, and if it is for classification, then it would come with a correct label. If it is for generation then it won't necessarily come with a label, but it might come with a 'correct' generation.

Assume also that you've got 30 training examples, and divide them into 10 examples for 'training' as described below, and the remaining 20 as your hold-out test set. One essential insight is that prompt engineering still requires that there be a training set, and a hold-out test-set, but the good news is the number needed is *much* smaller than needed in *either* in fine-tuning a pre-trained model, *or* training a model from scratch.

#### General Prompt Engineering Method

1. Write down your criterion for what makes the output acceptable, in English. This may involve looking up the definition of one or more words of the goal, or exploring other online resources so that *you* clearly understand it. This applies to both generation and classification.
2. Draft a Prompt that uses that criterion to direct the model to generate what you want.
3. Using just one input example (which in classical machine learning training would be called a training example) run the prompt and the example to see how well it works, in the OpenAI playground, on the model.
4. Keep evolving the prompt, using English, to make it work perfectly. This means changing the prompt to correct anything that is wrong in the output. However, do not use language that is specific to the input data, as that won't generalize. Notice that the concept of generalization will In the prompt engineering world, it will be helpful to cultivate an ability to write clearly, with good use of language and meaning of words.
5. Once you've made it work for one input example, make it work for two, using the same method - using a prompt with general words, not specific to example, but correcting any issues seen on the second example. See the example used in Lecture 7 for some insights.
6. Then, try the prompt on five more training input examples all at once, and label the outputs as good/not good with respect to your criterion. Evolve the prompt to succeed on all five.
7. Test. Run the prompt on your 20 hold-out test set. Measure success rate yourself, i.e. with human labelling. Report your success rate.

8. If the success rate is below 100% you could choose to iterate once again, adjusting the prompt to correct the non-successful outcomes.

There are many suggestions online about how to evolve prompts, including the Medium article survey that was posted with Lecture 7 on Quercus (PromptEngineering\_Medium.pdf).

## 4 Prompt Engineering for Generation of Soft, Non-Expert Therapeutic Statements (14 points)

In therapeutic counseling, it is often important to make observations based on a patient's words that give insight to the patient. However, it is known that making direct and strong statements (e.g. "You are addicted to cigarettes") can be received as accusations or unwanted labels, which a patient will likely reject. This is made more problematic if the language used by the therapist implies that they are superior or in a higher-up position of some kind - either as an expert or simply their implicit position above the patient in some kind of hierarchy means their words are correct simply because of that position. (For example, to say "You're afraid of being judged by your family," is an authoritative statement of fact).

It is known that therapy is more effective if such statements are expressed as possibilities, not facts, perhaps converted to questions. In addition, statements that suggest the patient knows better the truth better than the therapist (it is the patient's life after all) are also better. In general, encouraging a patient to come to their own conclusion is known to be more successful. For example, rather than say "You're afraid of being judged by your family," a softened statement might become "I might be wrong, but is it possible that you're worried that your family will judge you?" In the latter statement the speaker is both ceding expertise to the patient, and more gently suggesting a possibility, rather than strongly stating a fact.

This softened statement is part of a broader therapeutic approach called Motivational Interviewing, which if you're interested, you can read about here: <https://www.ncbi.nlm.nih.gov/books/NBK571068/>.

Your task is to engineer a prompt for GPT-4 to convert direct statements to what we will call *softened, non-expert* statements.

The dataset given in the file `DirectStatements.csv`, has a set of examples consisting of statements that are too direct, and are to be softened. These statements came from a variety of places in behaviour change counseling, generally relating to addictions.

Follow the steps below, which are modelled on the methodology given in Section 3.

1. Write, in your own words (not those above), a clear definition of what it means to convert a statement into a softened, non-expert version. Report your definition. [2 points]
2. Follow steps 2 through 4 of the methodology of Section 3 using the GPT4 model in the OpenAI playground to develop a prompt for softening conversion. This means you work only on the first training example (in row 1) in the dataset, until you are satisfied that the result is good. Report the prompt that you arrived at in step 4. Produce three different softened versions of the first example, and say for each why it meets your definition. You

may need to explore different parameters to get different results, or maybe just pushing the button more than once gives a different answer.[4 points]

3. Generate a result on the second item (row 2), and explain how it meets your definition. [1 point]
4. Give the resulting on the next five (rows 3-7), and any changes you make to the prompt to make them all succeed. [1 point]
5. Using the Open API that you read about in Section 2, (and *not the playground*) run the remaining 23 examples and determine, by hand, if they meet your criterion. Submit a csv file that contains three columns: the first input statement, the second column for the produced output, and the third column that gives a label that indicates if output meets the criterion (label 1) or not (label 0). Name that file `A4_4_4.csv`. Report your resulting success rate, and which result you think is the best, and which is the worst. Provide the full code that you used in a python file `A4_4_4.py`. [6 points]

## 5 Prompt Engineering for Classification of “Softness” (8 points)

In Lecture 7 (on page 7-5) we also discussed and illustrated a prompt that turned a large language model into a classifier. In this section you will create a classifier that determines if a statement has the softness feature described in Section 4.

1. Create a dataset that combines both the input statements from Section 4 and all of your outputs for all 30 examples, with labels. Assume that all of the inputs in the original file `DirectStatements.csv` would have a label 0, and use your assigned label from Part 4 of Section 4. Submit the full dataset in a file named `A4_5_1.csv` [1 point].
2. Using the method described in Section 3, and the combined data set you just created, evolve a prompt using 6 examples (3 negative, 3 positive). Show the prompt and give the success rate across those 6 examples. DO NOT USE Chain of Thought Prompting, as this will be the subject of Section 6. [3 points]
3. Using the OpenAI API, run the remaining examples and give the success rate. Attempt to explain any incorrect results. [4 points]

## 6 Chain of Thought Prompting (5 points)

The chain-of-thought prompting method was also discussed in Lecture 7, and in the post from Medium and the paper <https://arxiv.org/pdf/2201.11903.pdf>. There are two advantages of this approach: it produces a higher accuracy, as the model traverses a ‘better’ path. Then, the explanation itself is of value, which we explore by revisiting the above classifier.

1. Using the same data set you created for Section 5, modify your classification prompt to elicit the chain of thought reasoning. Evolve your prompt to achieve good explanations/chains of thought. Report what your prompt is. [1 point]
2. Run your prompt on all of the example inputs from the dataset. Report on the accuracy, and state whether it is different from the accuracy you achieved in Section 5. Choose the best explanation you see across your dataset, and the worst one. Report each of these, and say what is good/bad about each. [4 points]