## The Road to ChatGPT

An informal explainer on how ChatGPT was built

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We will first look at how GPT-3 was built.

GPT and GPT-2 were built in a similar way; we will highlight the differences later

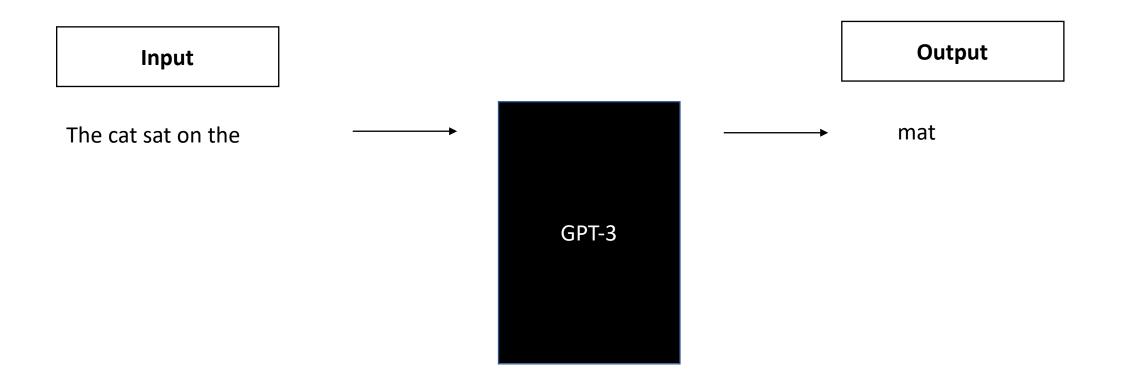
### Caveat

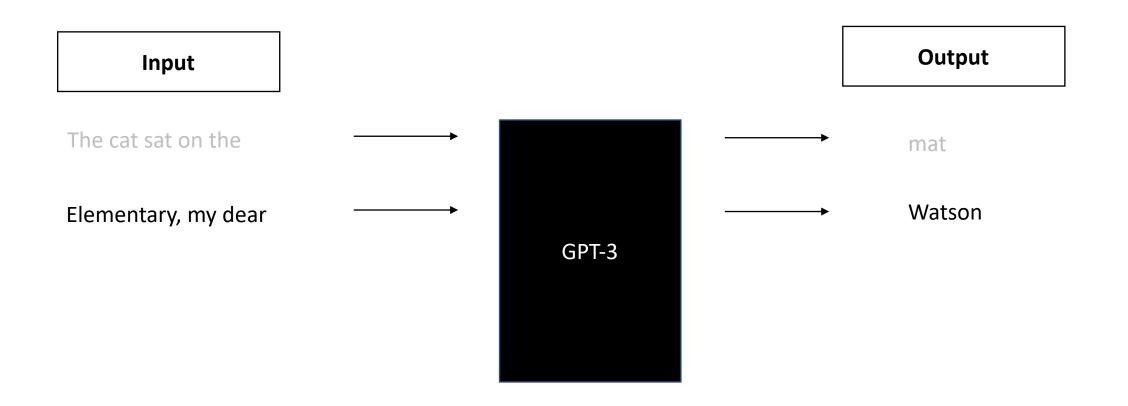
To distill/make-intuitive the key ideas, I have stripped out many details. If you want to know <u>exactly</u> how things work, please see the links to the technical papers and blog posts referenced in the deck.

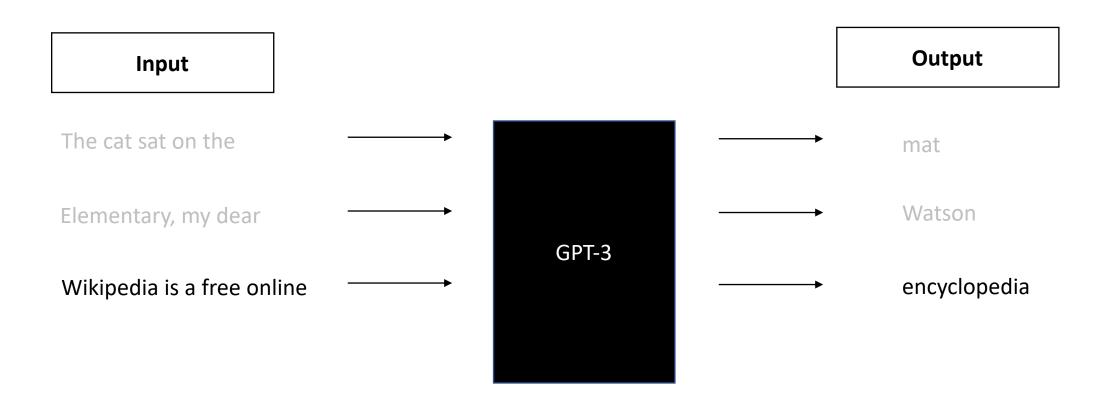
### GPT-3 is a mathematical model\* ...

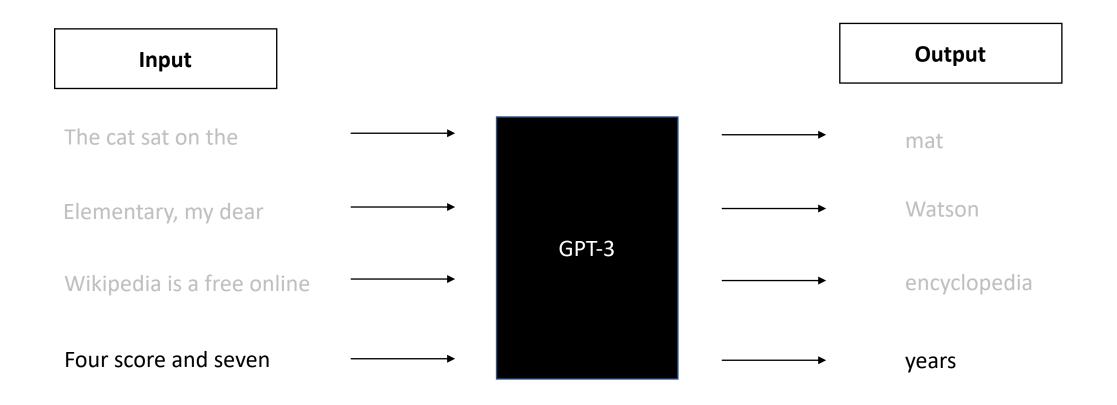


\*Technical: A deep neural network









# These training sentences were extracted from the Internet and books

Dataset	Quantity (tokens)
Common Crawl (filtered) WebText2 Books1 Books2 Wikipedia	410 billion 19 billion 12 billion 55 billion 3 billion

http://arxiv.org/abs/2005.14165

## How many sentences?

Dataset	Quantity (tokens)
Common Crawl (filtered) WebText2 Books1 Books2 Wikipedia	410 billion 19 billion 12 billion 55 billion 3 billion

http://arxiv.org/abs/2005.14165

I couldn't find this in the GPT-3 paper so here's a back-of-the-envelope calc:

According to the table on the left, ~500 billion "tokens" were used.

(Since we are doing a rough estimate), we can think of a 'token' as a word. So, 500 billion words were used.

Google says that there are 15-20 words per sentence on average.

So, 500 billion/15-to-20 = **25-33** *billion sentences*.



## Given any text as input ...

The cat sat on the

GPT-3

### ... GPT-3 can calculate this table

Next Word	Probability ("how often")
aardvark	0.0
fridge	0.05
mat	0.2
zebra	0.0

### What does this table contain?

The table shows, for each word in the dictionary, approximately what % of the time that word appears in the training data right after the input phrase\*

	Next Word	Probability ("how often")
The cat sat on the	aardvark	0.0
The cat sat on the	fridge	0.05
The cat sat on the	mat	0.2
The cat sat on the	zebra	0.0



## Interpreting the table

	Next Word	Probability ("how often")
The cat sat on the	aardvark	0.0
The cat sat on the	fridge	0.05
	···	
The cat sat on the	mat	0.2
The cat sat on the	zebra	0.0

#### **Interpretation**:

For all the sentences that started with "The cat sat on the", the next word was "mat" 20% of the time

## OK, what can we do with this table?

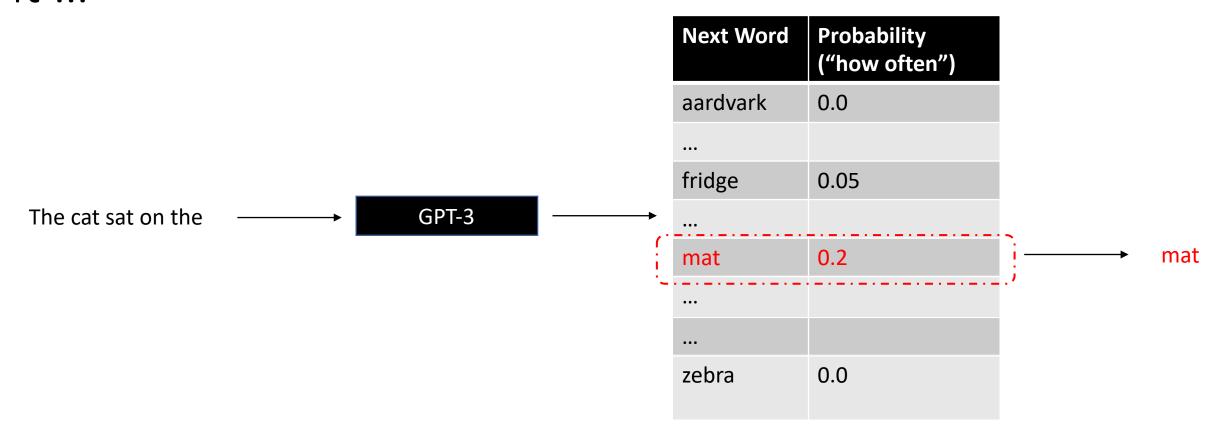
The cat sat on the ———— GPT-3 —————

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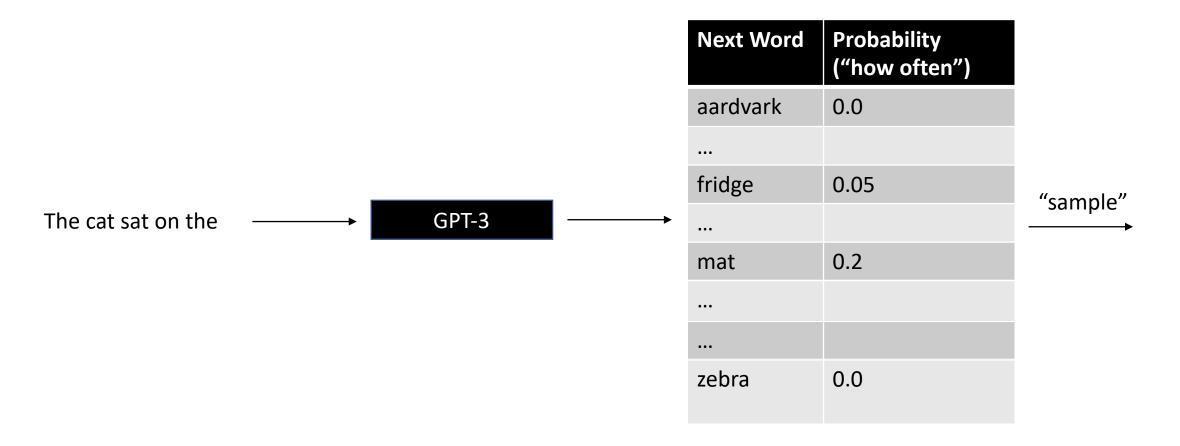
## We can "auto complete" any input sentence!

**Next Word Probability** ("how often") aardvark 0.0 fridge 0.05 The cat sat on the GPT-3 0.2 mat ••• • • • zebra 0.0

We can tell GPT-3 to pick the most-frequent word (i.e., the highest probability word) from this table and output it ...



# Or we can ask GPT-3 to "sample" the next word and output that



## What is sampling?

Imagine you have a six-sided die. If you roll the die, each of the 6 sides is equally likely to show up.

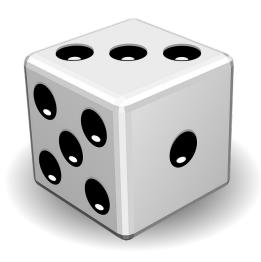


Image by OpenClipart-Vectors from Pixabay

## What is sampling?

Imagine you have a six-sided die. If you roll the die, each of the 6 sides is equally likely to show up. This is captured in this table.



Image by OpenClipart-Vectors from Pixabay

Side	Probability*
1	1/6
2	1/6
3	1/6
4	1/6
5	1/6
6	1/6

Now, imagine you have a *weighted* die. Each of the 6 sides is <u>not</u> equally likely. The table below shows the probabilities



Side	Probability
1	0.2
2	0.01
3	0.3
4	0.4
5	0.04
6	0.05



Side	Probability
1	0.2
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You are most likely to get a 4 (since that's the highest probability) ...



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but you may get a 3 pretty often ...



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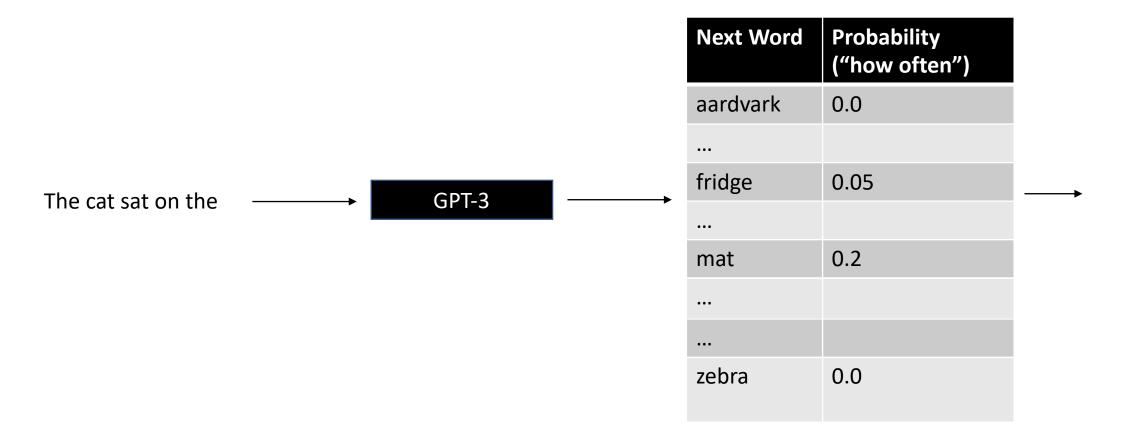
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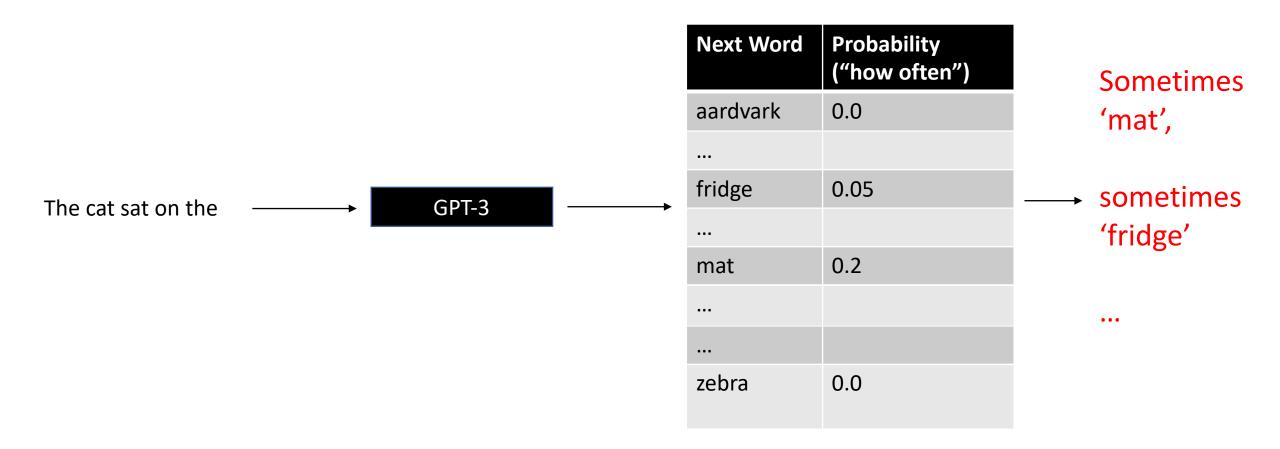
and once in a rare while you may even get a 2!

Sampling a word from GPT-3's table = Rolling a weighted die once

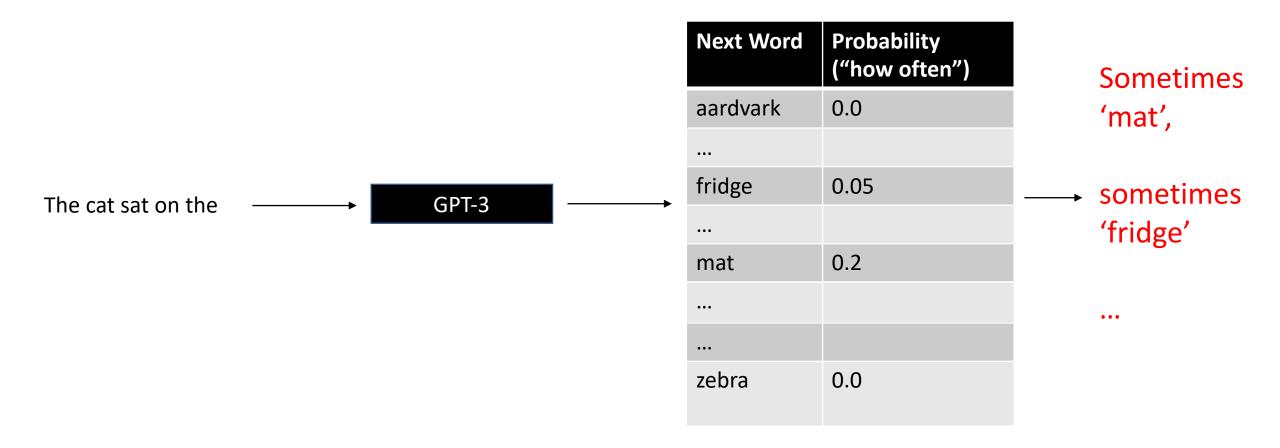
## We can "roll" (i.e., sample) this table to get the next word



## Each time we "sample", we may get a different word



# BTW, this is what gives GPT-3 the ability to generate multiple outputs for the same input



We have seen how GPT-3 can generate the *next* word from your single sentence input.

Next, let's see how it can generate paragraphs.

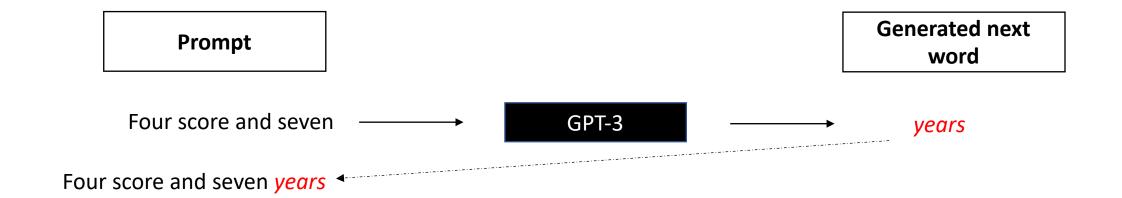
When we ask GPT-3 something (called a "prompt"), it either *picks* the most likely next word or *samples* a word from the table\* ...

<sup>\*</sup>we get to tell GPT-3 whether to pick or to sample

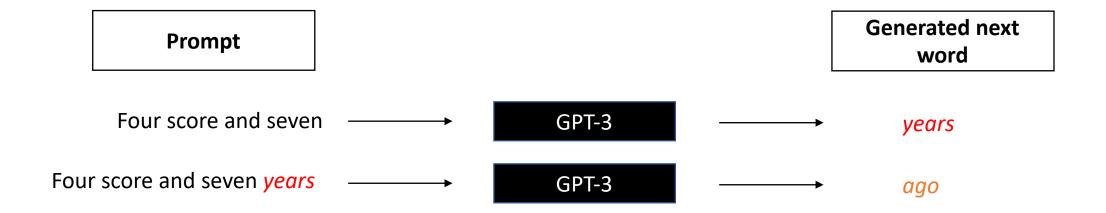
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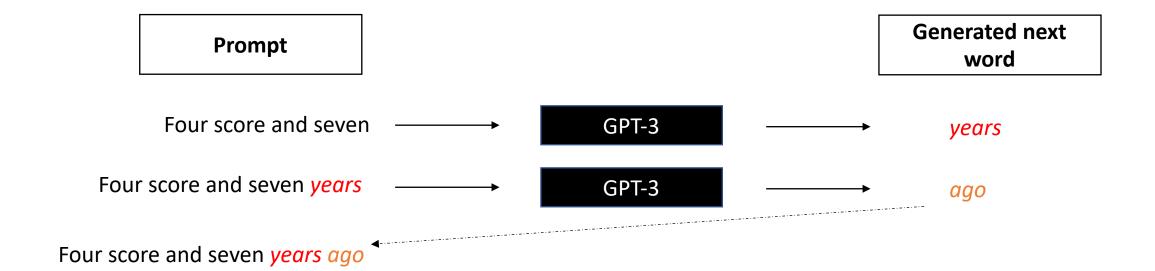
### ... it then appends that word to the original prompt ...



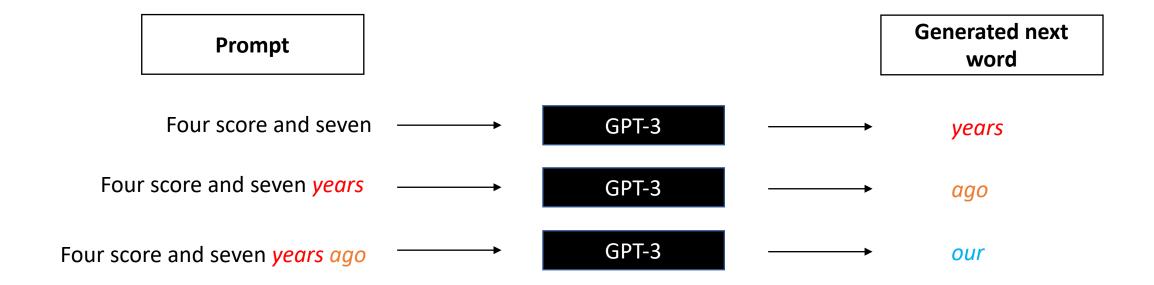
... generates the next word from the associated table ...



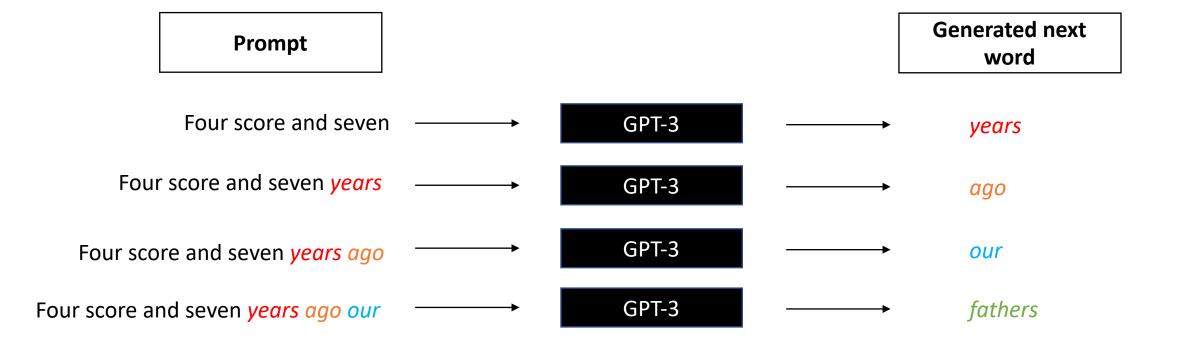
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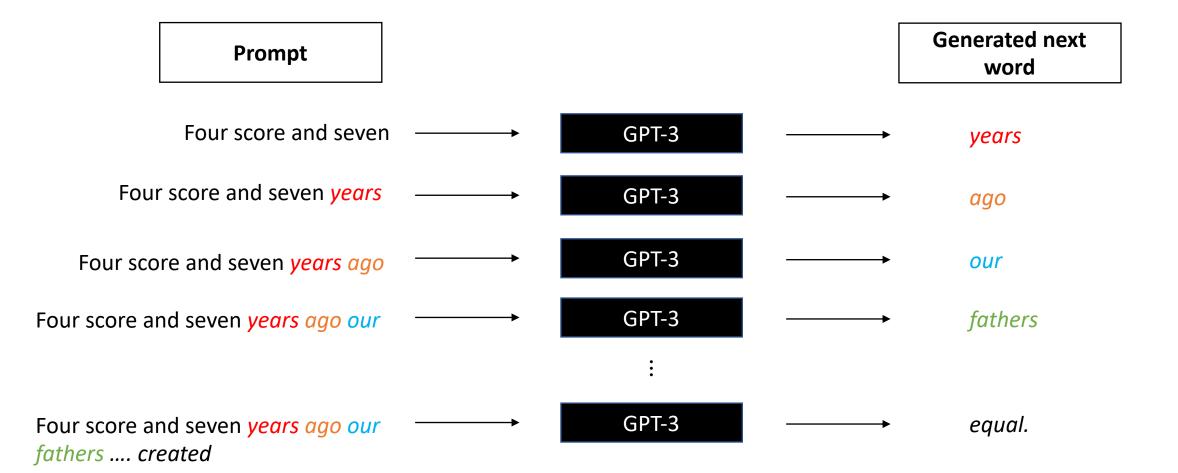
... generates the next word from the associated table and ...



#### ... continues in this fashion for a while

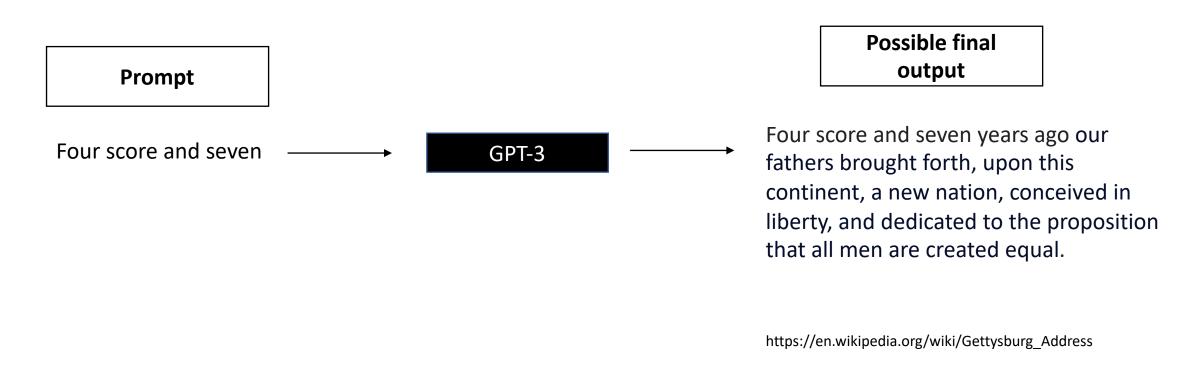


#### ... till it reaches a stopping condition\*



<sup>\*</sup>we have some control over this

This "repeatedly generate the next word" approach is how GPT-3 can generate paragraphs of text from a single-sentence input



## Sidebar: Why is it called GPT?

GPT stands for Generative Pretrained Transformer

- Generative because it can generate the next word
- Pretrained because it was pretrained on a lot of text from the Internet and thus ready to respond to questions
- Transformer because the underlying Deep Neural Network uses a particular kind of network architecture called the Transformer

### Sidebar: What about GPT and GPT-2?

 Like GPT-3, GPT and GPT-2 were trained in a very similar "predict the next word" fashion

- Two key differences
  - GPT-3 was trained on much more data
  - GPT-3's underlying neural network was much bigger

Model	Number of parameters*
GPT	117 million
GPT-2	1.5 billion
GPT-3	175 billion

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 To the researchers' surprise, GPT-3 turned out to have unanticipated abilities (that GPT and GPT-2 didn't have)

### What can GPT-3 do?

You can find numerous examples online. Here are a couple.

It can generate amazing *continuations* from a starting prompt



## It can generate amazing *continuations* from a starting prompt

Prompt

The importance of being on twitter

by Jerome K. Jerome London, Summer 1897

It

Generated by GPT-3

is a curious fact that the last remaining form of social life in which the people of London are still interested is Twitter. I was struck with this curious fact when I went on one of my periodical holidays to the sea-side, and found the whole place twittering like a starling-cage. I called it an anomaly, and it is.

I spoke to the sexton, whose cottage, like all sexton's cottages, is full of antiquities and interesting relics of former centuries. I said to him, "My dear sexton, what does all this twittering mean?" And he replied, "Why, sir, of course it means Twitter." "Ah!" I said, "I know about that. But what is Twitter?"

"It is a system of short and pithy sentences strung together in groups, for the purpose of conveying useful information to the initiated, and entertainment and the exercise of wits to the initiated, and entertainment and the exercise of wits to the rest of us."

## It can quickly learn how to "auto complete" something new if you list a few examples in the prompt itself

#### **Prompt**

```
Poor English input: I eated the purple berries.

Good English output: I ate the purple berries.

Poor English input: Thank you for picking me as your designer. I'd appreciate it.

Good English output: Thank you for choosing me as your designer. I appreciate it.

Poor English input: The mentioned changes have done. or I did the alteration that you requested. or I changed things you wanted and did the modifications.

Good English output: The requested changes have been made. or I made the alteration that you requested. or I changed things you wanted and made the modifications.

Poor English input: I'd be more than happy to work with you in another project.
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GPT-3
"Auto complete"

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# But it is not very good at following user instructions

Let's make this request\* to GPT-3:

help me write a short note to introduce myself to my neighbor

### GPT-3's answer

help me write a short note to introduce myself to my neighbor.

what is a good introduction to a resume.

good introduction to a resume.

best photos of good resume introduction example sample.

### GPT-3's answer

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# In addition to unhelpful answers, it can produce offensive or factually incorrect output as well

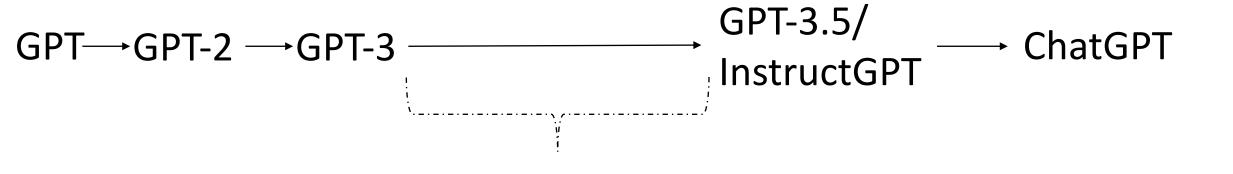
You can find numerous examples online.

#### For example:

https://www.technologyreview.com/2020/10/23/1011116/chatbot-gpt3-openai-facebook-google-safety-fix-racist-sexist-language-ai/

# OpenAl developed a 3-step solution to try to address this

### The road to ChatGPT



We will look at this next\*

\*Details in http://arxiv.org/abs/2203.02155

Sidebar: There's a whole family of related models here that differ in subtle ways\*. Think of this as our "approximate name" for the category.

<sup>\*</sup>See <a href="https://platform.openai.com/docs/model-index-for-researchers">https://platform.openai.com/docs/model-index-for-researchers</a> for more.

# A plausible reason why GPT-3 sometimes produces unhelpful answers

 GPT-3 is simply trying to generate the next word repeatedly, using what it has gleaned from the billions of sentences it was trained on.

• It wasn't explicitly trained to generate good answers to user questions

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Examples of unhelpful responses

<u> </u>	
Prompt	GPT-3 Response
Explain the moon landing to a 6 year old in a few sentences.	Explain the theory of gravity to a 6 year old.
Write a short poem about a wise frog.	Write a short story in which a character has two different names.
Why aren't birds real?	Let's say I was a bird.

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Prompt	Human-created answer
Explain the moon landing to a 6 year old in a few sentences.	People went to the moon in a big rocket, walked around and came back to Earth. They took pictures of what they saw and sent them back so we could all see them.*

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- In addition, take some questions users have asked GPT-3 and have humans create good answers them as well. About 1500 such pairs were put together

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- This step is called "Supervised Fine Tuning" (SFT)

## "Supervised Fine Tuning" helps

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• SFT GPT-3 produces better answers. We would like to do more SFT

 But writing high-quality answers to thousands of questions is difficult and expensive

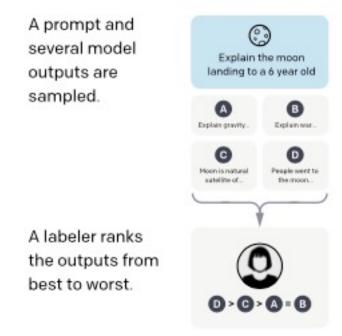
Ranking answers written by somebody else!

- Ranking answers written by somebody else!
- We can ask GPT-3 to generate several answers to a question ...

How?

If we ask GPT-3 to <u>sample</u> the next word,
remember that it can generate several nextwords for the same input.

- Ranking answers written by somebody else!
- We can ask GPT-3 to generate several answers to a question ...
- ... and have humans rank them from most useful to least useful



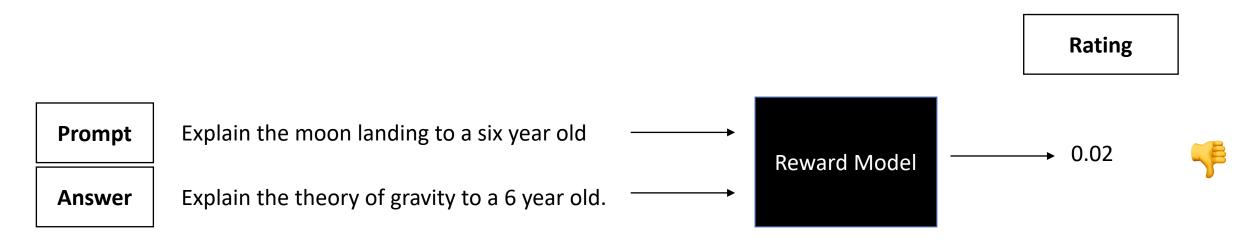
## This idea forms the basis of Step 2

- Data collection strategy
  - Collect questions (from those posed to GPT-3 by OpenAI users, or created by humans)
  - Get SFT GPT-3 to respond with several answers to each question
  - Get humans to simply rank SFT GPT-3's answers for each question from most helpful to least helpful
  - About 33,000 such questions (and ranked answers for each question) were compiled this way. Note that humans were <u>not</u> involved in creating answers, only in ranking them.

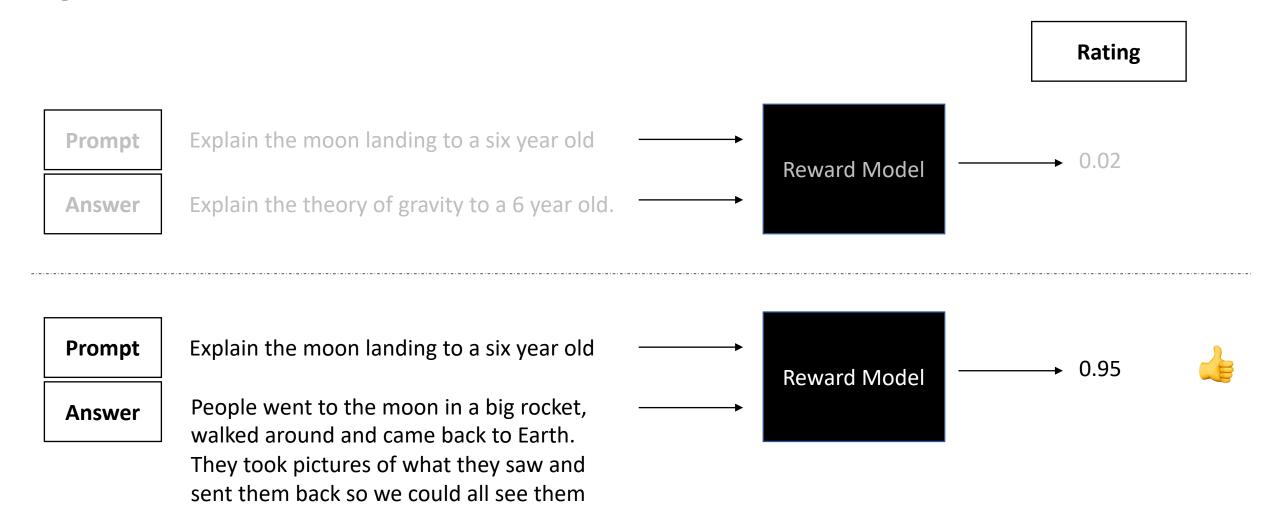
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- Using this data, a new "Reward Model" is built (again using supervised learning) that can do something very useful

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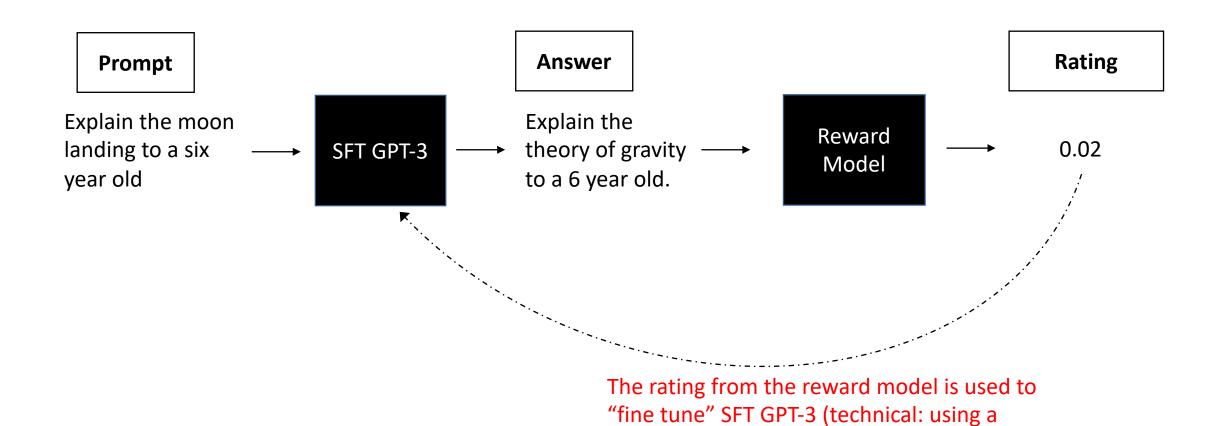
Given a question and an answer, the Reward Model can provide a *rating* - a single number that indicates how good the answer is



How can we use the Reward Model to improve SFT GPT-3 further?

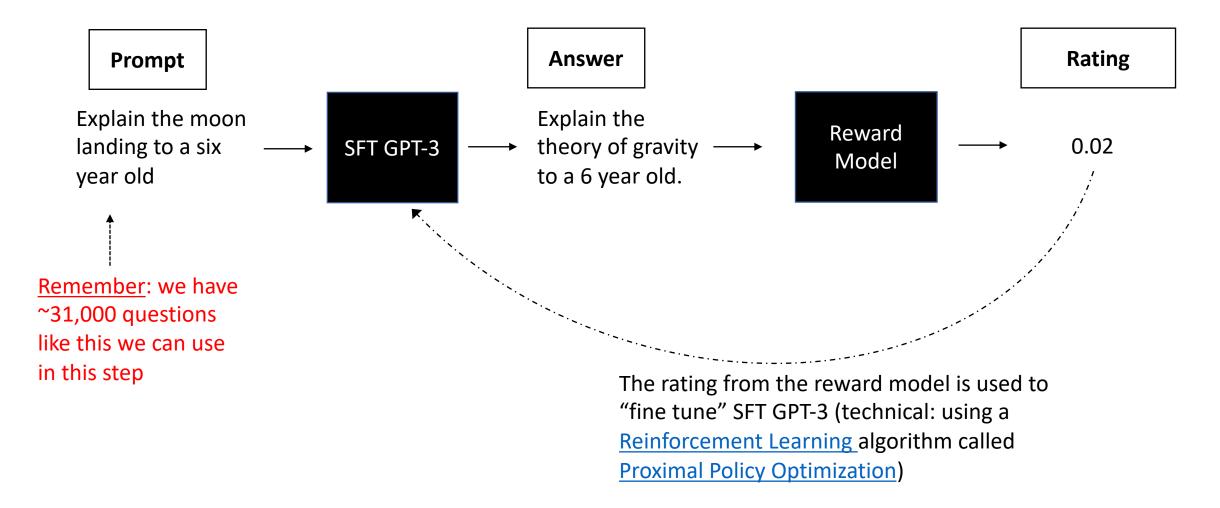
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  - About 31,000 such questions were collected this way
  - No answers are created or generated at this stage
- We then use these questions to further "fine tune" SFT GPT-3 (next slide)



Reinforcement Learning algorithm called

**Proximal Policy Optimization**)



#### Summary

- (Step 1) Fine-tune GPT-3 using ~12,500 question-answer pairs. The answers are written by humans. The fine-tuned GPT-3 is SFT GPT-3
- (Step 2) Compile ~33,000 questions, have SFT GPT-3 provide multiple answers for each question, have humans rank the answers. With this training data, build an answer-rating model.
   This is called the Reward Model
- (Step 3) Using ~31,000 questions and the rating from the Reward Model for SFTGPT3's answer to each question, fine-tune SFT GPT3 using Reinforcement Learning

http://arxiv.org/abs/2203.02155

## BTW, Steps 2 and 3 are referred to as "Reinforcement Learning from Human Feedback" (for obvious reasons ©)

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## OK, let's see how GPT 3.5/InstructGPT does on this prompt

help me write a short note to introduce myself to my neighbor.

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Hello Neighbor,

My name is [Name] and I recently moved into the neighborhood. I am excited to get to know my new neighbors and am looking forward to getting to know you. If you ever need anything, please don't hesitate to reach out.

Best,

[Name]

#### Clearly better than GPT-3!

help me write a short note to introduce myself to my neighbor.



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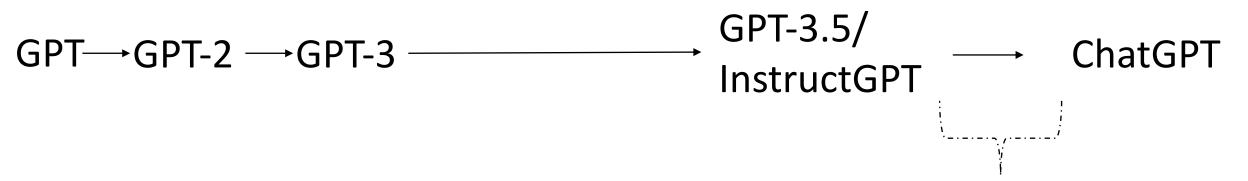


Best,

[Name]

#### The last leg of our journey

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Turns out it is very similar to the 3-step process we followed to get from GPT-3 to GPT-3.5/InstructGPT

Caveat: Based on <u>blog post from OpenAI that</u> <u>announced ChatGPT</u> (the only official source of information I could find)

#### Overall approach

ChatGPT is fine-tuned from a model in the GPT-3.5 series ...

We trained this model using Reinforcement Learning from Human Feedback (RLHF), using the same methods as InstructGPT, but with slight differences in the data collection setup.

This should sound familiar!

https://openai.com/blog/ChatGPT/

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Training data is <u>conversations</u>\* (instead of the question-response pairs used so far)

<sup>\*</sup>since we want to build a <u>conversational</u> bot i.e., a <u>chat</u>bot! ©

#### Step 1

We trained an initial model using supervised fine-tuning: human AI trainers provided conversations in which they played both sides—the user and an AI assistant ...

We mixed this new dialogue dataset with the InstructGPT dataset, which we transformed into a dialogue format. A new <u>dialogue</u> dataset was created and the question-answer dataset we saw earlier was transformed into a <u>dialogue</u> format

This makes sense. If we want a model that's good for chatting, let's train it on chatty (i.e., dialogue) training data!

#### Steps 2 and 3

To create a **reward model** for **reinforcement learning** ... we took **conversations** that AI trainers had with the chatbot.

We randomly selected a model-written message, sampled several alternative completions, and **had AI trainers rank them**.

Using these reward models, we can **fine-tune the model using Proximal Policy Optimization**. We performed several iterations of this process.

Very similar to steps 2 and 3 from before

- Have humans rank model outputs
- Build a reward model with this data
- Use the reward model's ratings to fine-tune using Proximal Policy Optimization

### And that's how ChatGPT came into being!



help me write a short note to introduce myself to my neighbor.



Dear [Neighbor's Name],

I hope this note finds you well. My name is [Your Name], and I am your new neighbor. I recently moved into the [apartment/house] next to yours and wanted to take a moment to introduce myself.

I am a [profession/hobby] and enjoy spending my free time [activity/interest]. I also love meeting new people and getting to know my community. If you ever need anything or would like to chat, please don't hesitate to stop by and say hello.

I look forward to getting to know you and being a part of this wonderful neighborhood.

Best regards, [Your Name]



help me write a short note to introduce myself to my neighbor.



Dear [Neighbor's Name],

I hope this note finds you well. My name is [Your Name], and I am your new neighbor. I recently moved into the [apartment/house] next to yours and wanted to take a moment to introduce myself.

I am a [profession/hobby] and enjoy spending my free time [activity/interest]. I also love meeting new people and getting to know my community. If you ever need anything or would like to chat, please don't hesitate to stop by and say hello.

I look forward to getting to know you and being a part of this wonderful neighborhood.

Best regards, [Your Name]





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I look forward to getting to know you and being a part of this wonderful neighborhood.

Best regards, [Your Name] Wait, there's more @

Because ChatGPT is trained on conversations, we can ask follow-on questions!!



help me write a short note to introduce myself to my neighbor.



can you make it more formal?



Dear [Neighbor's Name],

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I am a [profession/hobby] and enjoy spending my free time [activity/interest].
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ever need anything or would like to chat, please don't hesitate to stop by and
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Dear [Neighbor's Name],

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ever need anything or would like to chat, please don't hesitate to stop by and
say hello.

I look forward to getting to know you and being a part of this wonderful neighborhood.

Best regards, [Your Name]



Certainly, here's a more formal version:

Dear [Neighbor's Name],

I hope this letter finds you in good health and spirits. My name is [Your Name], and I am your new neighbor. I recently moved into the [apartment/house] adjacent to yours and wanted to take a moment to introduce myself formally.

As a [profession/hobby], I value building strong relationships with my neighbors and am excited to get to know the community. In my free time, I enjoy [activity/interest], and I am always open to discovering new hobbies and interests.

I wanted to extend an invitation to stop by anytime if you need any assistance or if you would like to have a friendly conversation. I look forward to getting to know you and being a part of this wonderful neighborhood.

Thank you for taking the time to read my letter. Please accept my warmest regards.

Sincerely,

Rama Ramakrishnan

RA

help me write a short note to introduce myself to my neighbor.



can you make it more formal?



Dear [Neighbor's Name],

I hope this note finds you well. My name is [Your Name], and I am your new neighbor. I recently moved into the [apartment/house] next to yours and wanted to take a moment to introduce myself.

I am a [profession/hobby] and enjoy spending my free time [activity I also love meeting new people and getting to know my community.

ever need anything or would like to chat, please don't hesitate to stop by any say hello.

I look forward to getting to know you and being a part of this wonderful neighborhood.

Best regards, [Your Name]



Certainly, here's a more formal version:

Dear [Neighbor's Name],

I hope this letter finds you in good health and spirits. My name is [Your Name], and I am your new neighbor. I recently moved into the [apartment/house] adjacent to yours and wanted to take a moment to introduce myself formally.

As a [profession/hobby], I value building strong relationships with my neighbors and am excited to get to know the community. In my free time, I enjoy [activity/interest], and I am always open to discovering new hobbies and interests.

I wanted to extend an invitation to stop by anytime if you need any assistance or if you would like to have a friendly conversation. I look forward to getting to know you and being a part of this wonderful neighborhood.

Thank you for taking the time to read my letter. Please accept my warmest regards.

Sincerely,

Rama Ramakrishnan

Please note: While ChatGPT is better than GPT-3 in many ways, it is still prone to many of the same shortcomings

See <a href="https://github.com/giuven95/ChatGPT-failures">https://github.com/giuven95/ChatGPT-failures</a> for examples

We have reached the end of this journey\*!



Thanks for joining me!

Happy Learning!

Appendix: How to make GPT-3.5 behave like ChatGPT

# You can make GPT-3.5/InstructGPT "conversational" like ChatGPT by feeding it the full question-response sequence each time

First prompt

GPT-3.5

**Answer** 

help me write a short note to introduce myself to my neighbor.

Hello Neighbor,

My name is [Name] and I recently moved into the neighborhood. I am excited to get to know my new neighbors and am looking forward to getting to know you. If you ever need anything, please don't hesitate to reach out.

Best,

[Name]

#### Second Prompt

help me write a short note to introduce myself to my neighbor.

Hello Neighbor,

My name is [Name] and I recently moved into the neighborhood. I am excited to get to know my new neighbors and am looking forward to getting to know you. If you ever need anything, please don't hesitate to reach out.

Best, [Name]

can you make it more formal?

Greetings Neighbor,

GPT-3.5 Answer My name is [Name], and I am delighted to make your acquaintance as I have recently moved into the area. I am eager to meet my new neighbors and am excited to get to know you better. Please do not hesitate to reach out if there is anything I can do to help.

Sincerely,

[Name]

Note how the first prompt and its answer are now part of the second prompt

Rama Ramakrishnan