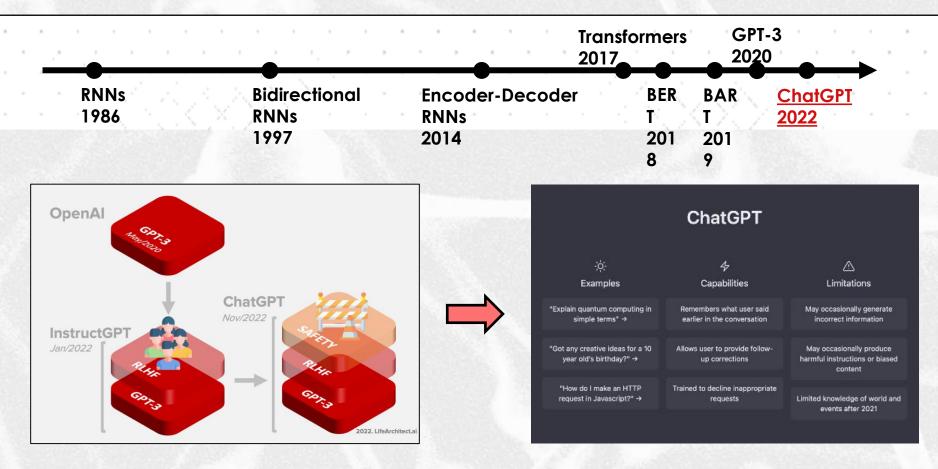
From O-shot Learners to Intruction Learning Networks

Roberto Basili, Danilo Croce Deep Learning, 2023/2024

Outline

- From Decoder-Only architectures to ChatGPT
- Chain of Thoughts
- Instruction tuning
 - Instructing LLMs
- Instruction tuning from Human Feedback
 - A reward model for Instructions

Machine learning paradigms underlying ChatGPT



Inspirations for chatGPT:CoT

Math Word Problems (free response)

Q: Roger has 5 tennis balls. He buys 2 more cans of tennis balls. Each can has 3 tennis balls. How many tennis balls does he have now?

A: Roger started with 5 balls. 2 cans of 3 tennis balls each is 6 tennis balls. 5 + 6 = 11. The answer is 11.

StrategyQA

Q: Yes or no: Would a pear sink in

A: The density of a pear is about 0.6 g/cm^3, which is less than water.

SayCan (Instructing a robot)

something to eat that isn't a fruit. An energy bar is not a fruit, so I will bring

Human: How would you bring me

something that isn't a fruit?

Explanation: the user wants

the user an energy bar.

Plan: 1. find(energy bar) 2.

pick(energy bar) 3. find(user) 4. put(energy bar) 5. done().

Thus, a pear would float. So the

water?

answer is no.

Math Word Problems (multiple choice)

Q: How many keystrokes are needed to type the numbers from 1 to 500? Answer Choices: (a) 1156 (b) 1392 (c) 1480 (d) 1562 (e) 1788

A: There are 9 one-digit numbers from 1 to 9. There are 90 two-digit numbers from 10 to 99. There are 401 three-digit numbers from 100 to 500. 9 + 90(2) + 401(3) = 1392. The answer is (b).

Date Understanding

Q: The concert was scheduled to be on 06/01/1943, but was delayed by one day to today. What is the date 10 days ago in MM/DD/YYYY?

A: One day after 06/01/1943 is 06/02/1943, so today is 06/02/1943. 10 days before today is 05/23/1943. So the answer is 05/23/1943.

Last Letter Concatenation

Q: Take the last letters of the words in "Lady Gaga" and concatenate them.

A: The last letter of "Lady" is "y". The last letter of "Gaga" is "a". Concatenating them is "ya". So the answer is ya.

CSQA (commonsense)

Q: Sammy wanted to go to where the people were. Where might he go? Options: (a) race track (b) populated areas (c) desert (d) apartment (e) roadblock

A: The answer must be a place with a lot of people. Race tracks, desert, apartments, and roadblocks don't have a lot of people, but populated areas do. So the answer is (b).

Sports Understanding

Q: Is the following sentence plausible? "Joao Moutinho caught the screen pass in the NFC championship."

A: Joao Moutinho is a soccer player. The NFC championship is part of American football, not soccer. So the answer is no.

Coin Flip (state tracking)

Q: A coin is heads up. Maybelle flips the coin. Shalonda does not flip the coin. Is the coin still heads up?

A: The coin was flipped by Maybelle. So the coin was flipped 1 time, which is an odd number. The coin started heads up, so after an odd number of flips, it will be tails up. So the answer is no.

Figure 3: Examples of $\langle input, chain of thought, output \rangle$ triples for arithmetic, commonsense, and symbolic reasoning benchmarks. Chains of thought are highlighted. Full prompts in Appendix G.

CoT seminal papers

Chain of Thought Prompting Elicits Reasoning in Large Language Models

Few-Shot CoT

Jason Wei Xuezhi Wang Dale Schuurmans Maarten Bosma

Brian Ichter Fei Xia Ed H. Chi Quoc V. Le Denny Zhou

Google Research, Brain Team {jasonwei,dennyzhou}@google.com

Large Language Models are Zero-Shot Reasoners

Zero-Shot CoT

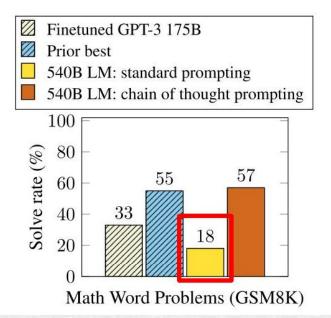
Takeshi Kojima The University of Tokyo t.kojima@weblab.t.u-tokyo.ac.jp Shixiang Shane Gu Google Research, Brain Team

Machel Reid The University of Tokyo Yutaka Matsuo The University of Tokyo Yusuke Iwasawa The University of Tokyo

Inspirations for chatGPT:CoT

- Chain-of-thought relies on two inspiring principles:
 - Solutions to some problems require a rationale that can be explicited in NL, e.g. math problems
 - Prompting is a NL explanation of a task that is competitive wrt to fine-tuning
- IDEA: combine the two by adding Triggers to the prompt template
- from <u>(Chain-of-Thought Prompting</u> <u>Elicits Reasoning in LLMs, Wei et al., 2023)</u>

GSM8K (arithmetic):



CoT prompting

- CHAIN-OF-THOUGHT PROMPTING has several attractive properties as an approach for facilitating reasoning in language models.
 - 1. Chain of thought, in principle, allows models to decompose multistep problems into intermediate steps
 - 2. A chain of thought provides an interpretable window into the behavior of the model, suggesting how it might have arrived at a particular answer and providing opportunities to debug where the reasoning path went wrong
 - 3. Chain-of-thought reasoning can be used for tasks such as math word problems, commonsense reasoning, and symbolic manipulation, and is potentially applicable (at least in principle) to any task that humans can solve via language.
 - 4. Chain-of-thought reasoning can be readily elicited in sufficiently large off-the-shelf language models simply by including examples of chain of thought sequences into the exemplars of few-shot prompting.

CoT prompting: examples

Table 8: Example of correct chains of thought produced by the model for the GSM8K dataset.

QUESTION: James decides to run 3 sprints 3 times a week. He runs 60 meters each sprint. How many total meters does he run a week?

MODEL ANSWER (CORRECT): James decides to run 3 sprints 3 times a week. He runs 60 meters each sprint. So he runs 60 meters x 3 sprints x 3 times a week. That is 60 meters x 9. The answer is 540. \checkmark

QUESTION: Brandon's iPhone is four times as old as Ben's iPhone. Ben's iPhone is two times older than Suzy's iPhone. If Suzy's iPhone is 1 year old, how old is Brandon's iPhone?

MODEL ANSWER (CORRECT): Brandon's iPhone is 4 times as old as Ben's iPhone. Ben's iPhone is 2 times older than Suzy's iPhone. So Brandon's iPhone is $4 \times 2 = 8$ times older than Suzy's iPhone. Suzy's iPhone is 1 year old. So Brandon's iPhone is $8 \times 1 = 8$ years old. The answer is $8 \times \sqrt{2}$

QUESTION: Jean has 30 lollipops. Jean eats 2 of the lollipops. With the remaining lollipops, Jean wants to package 2 lollipops in one bag. How many bags can Jean fill?

MODEL ANSWER (CORRECT): Jean started with 30 lollipops. She ate 2 of them. So she has 28 lollipops left. She wants to package 2 lollipops in one bag. So she can package 28 / 2 = 14 bags. The answer is 14.

Table 20: Few-shot exemplars for full chain of thought prompt for math word problems. This set of exemplars was used for all math word problem datasets except AQuA.

PROMPT FOR MATH WORD PROBLEMS

Q: There are 15 trees in the grove. Grove workers will plant trees in the grove today. After they are done, there will be 21 trees. How many trees did the grove workers plant today?

A: There are 15 trees originally. Then there were 21 trees after some more were planted. So there must have been 21 - 15 = 6. The answer is 6.

Q: If there are 3 cars in the parking lot and 2 more cars arrive, how many cars are in the parking lot?

A: There are originally 3 cars. 2 more cars arrive. 3 + 2 = 5. The answer is 5.

Q: Leah had 32 chocolates and her sister had 42. If they ate 35, how many pieces do they have left in total?

A: Originally, Leah had 32 chocolates. Her sister had 42. So in total they had 32 + 42 = 74. After eating 35, they had 74 - 35 = 39. The answer is 39.

Q: Jason had 20 lollipops. He gave Denny some lollipops. Now Jason has 12 lollipops. How many lollipops did Jason give to Denny?

A: Jason started with 20 lollipops. Then he had 12 after giving some to Denny. So he gave Denny 20 - 12 = 8. The answer is 8.

Q: Shawn has five toys. For Christmas, he got two toys each from his mom and dad. How many toys does he have now?

A: Shawn started with 5 toys. If he got 2 toys each from his mom and dad, then that is 4 more toys. 5 + 4 = 9. The answer is 9.

Q: There were nine computers in the server room. Five more computers were installed each day, from monday to thursday. How many computers are now in the server room?

A: There were originally 9 computers. For each of 4 days, 5 more computers were added. So 5 * 4 = 20 computers were added. 9 + 20 is 29. The answer is 29.

Q: Michael had 58 golf balls. On tuesday, he lost 23 golf balls. On wednesday, he lost 2 more. How many golf balls did he have at the end of wednesday?

A: Michael started with 58 golf balls. After losing 23 on tuesday, he had 58 - 23 = 35. After losing 2 more, he had 35 - 2 = 33 golf balls. The answer is 33.

Q: Olivia has \$23. She bought five bagels for \$3 each. How much money does she have left?

A: Olivia had 23 dollars. 5 bagels for 3 dollars each will be $5 \times 3 = 15$ dollars. So she has 23 - 15 dollars left. 23 - 15 is 8. The answer is 8.

CoT: performances

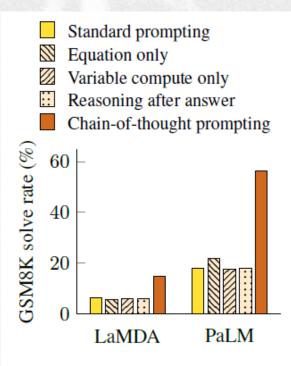


Figure 5: Ablation study for different variations of prompting using LaMDA 137B and PaLM 540B. Results for other datasets are given in Appendix Table 6 and Table 7.

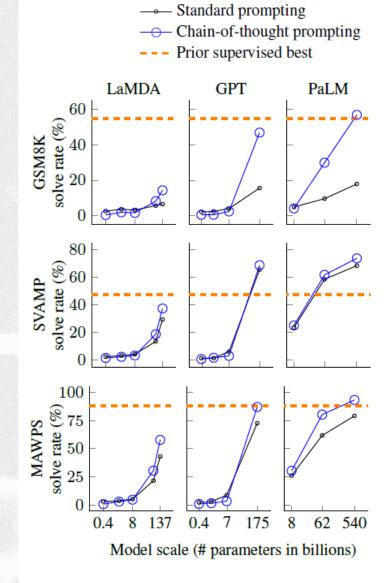


Figure 4: Chain-of-thought prompting enables large language models to solve challenging math problems. Notably, chain-of-thought reasoning is an emergent ability of increasing model scale. Prior best numbers are from Cobbe et al. (2021) for GSM8K, Jie et al. (2022) for SVAMP, and Lan et al. (2021) for MAWPS.

Limitations of GPT-3

- Large language models often express unintended behaviours such as making up facts, generating biased or toxic text, or simply not following user instructions. This is because the language modeling objective is misaligned.
- The idea: aligning language models by training them to act in accordance with the user's intention (Leike et al., 2018).
 - explicit intentions such as following instructions
 - implicit intentions such as staying truthful, and not being biased, toxic, or otherwise harmful.
- Overall Objective: language models should be helpful (they should help the user solve their task), honest (they shouldn't fabricate information or mislead the user), and harmless (they should not cause physical, psychological, or social harm to people or the environment).

Addressing alignment

- FLAN models (Finetuned Language Models are Zero shot Learners, Wei et al, 2022)
 - 1. Aggregate Datasets (62): Collect wide variety of public datasets
 - 2. Instruction Templates: Manually write 10 templates / dataset that captures task
 - 3. Fine-tune: Use the instruction templates and datasets to fine-tune model
- Instruction tuning from Human Feedback

FLAN: dataset and templates

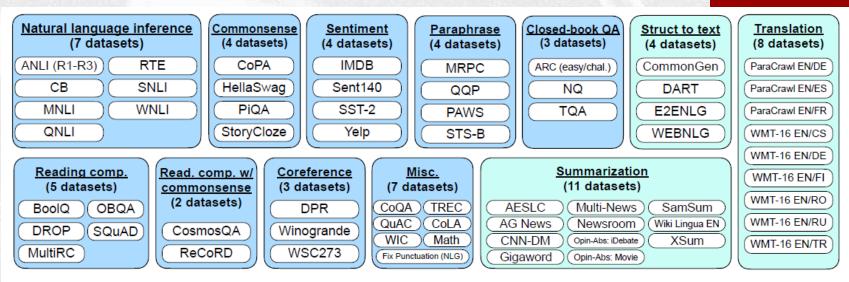


Figure 3: Datasets and task clusters used in this paper (NLU tasks in blue; NLG tasks in teal).

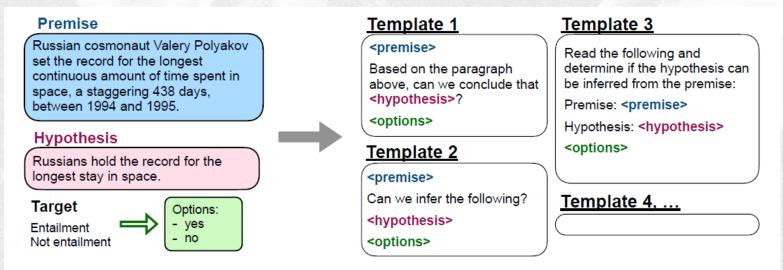


Figure 4: Multiple instruction templates describing a natural language inference task.

FLAN: fine-tuning & results

FLAN makes use of a decoder only architecture

Input:

John moved to mountain view. He spent fridav night in San Francisco. He got a COVID vaccine. He voted in the state senate election.

Write a story that follows the above plot.

FLAN output (cherrypicked):

John arrived at the city with his vaccine, feeling prepared enough for the state senate election of San Francisco. He had voted for the first time last night and was feeling good about it. He felt more prepared than ever to win, and win big, because he was getting a COVID vaccine. He knew that his opponent had not gotten a COVID vaccine, and he knew he had already defeated him before the election began.

Input:

Write a sad story about carrots.

FLAN output:

The sun had barely risen when the carrots were taken from their beds and brought to market. They'd had no time to gather their strength. They smelled of earth, their greens still wet from the dew. At first no one was interested in buying them. But one man finally reached out and picked up one of the carrots. "I'll take this one!" he cried out. "It's for my mother! I'll pay you well for it." The man took the carrot to the cashier, eager to get it home to his mother. He was careful to wrap it carefully so that it wouldn't get bruised or dirty. He hurried home, and when he saw his mother, he gave her the carrot. "Is this one of the ones I grew?" she asked, her voice wavering with emotion. "Yes, mother," he replied. "It is, dear." The man left the carrot with his mother and hurried back to market. His mother was very sick, and he was afraid she wouldn't last much longer. He needed to buy all the carrots in market so that none would be left when she was gone.

Figure 21: Open-ended generation tasks by FLAN. The carrot story was from sampling sixteen outputs with a minimum length of 150 and choosing the highest probability output.

Finetune on many tasks ("instruction-tuning")

Input (Commonsense Reasoning)

Here is a goal: Get a cool sleep on summer days.

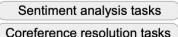
How would you accomplish this goal? OPTIONS:

-Keep stack of pillow cases in fridge. -Keep stack of pillow cases in oven.

Target

keep stack of pillow cases in fridge

El nuevo edificio de oficinas se construyó en tres meses.



...

Input (Translation)

Spanish:

months.

Target

Translate this sentence to

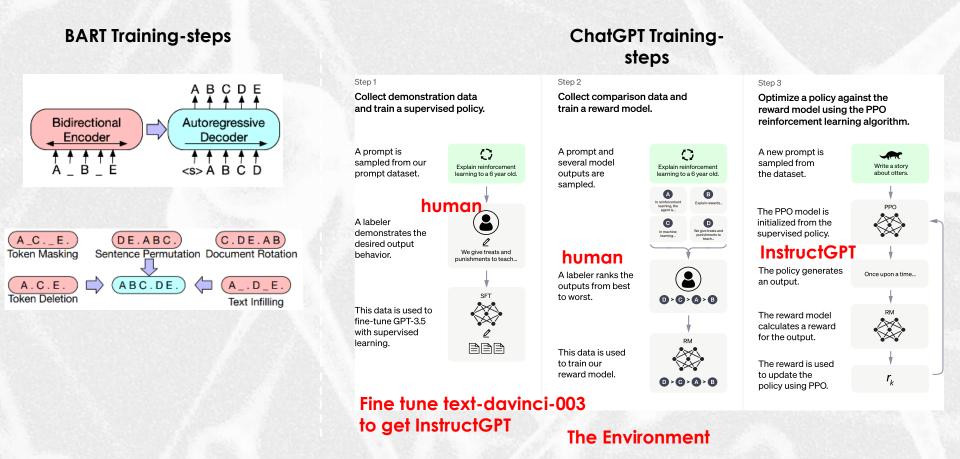
The new office building was built in less than three

Instruction tuning from human feedback

InstructGPT

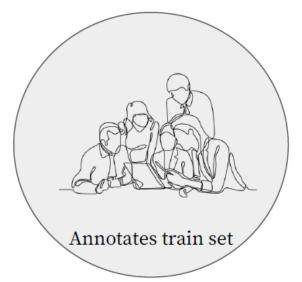
- Step 1: Collect demonstration data, and train a supervised policy. Labelers provide demonstrations of the desired behavior on the input prompt distribution. Then, fine-tuning of a pretrained GPT-3 model on this data using supervised learning is carried out.
- Step 2: Collect comparison data, and train a reward model. A dataset of comparisons between model outputs is collected: labelers indicate which output they prefer for a given input. A reward model to predict the human-preferred output is then trained.
- Step 3: Optimize a policy against the reward model using PPO. We use the output of the RM as a scalar reward. We fine-tune the supervised policy to optimize this reward using the proximal policy optimization (PPO) algorithm (Schulman et al., 2017).

At the heart of ChatGPT (from BART to ChatGPT)



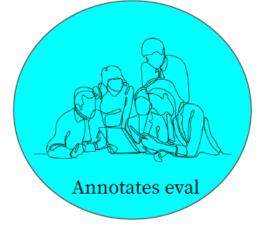
from Ouyang, L., Wu, J., Jiang, et al. (2022). Training language models to follow instructions with human feedback

Instruct GPT: Human Annotators



40 Annotators from Upwork/ScaleAI

- Screened/Onboarded/Diverse etc etc etc



Different annotators from Upwork/ScaleAI

Not screened, to better mirror real-world

Thanks to Austin Wang, Howard Chen, "Training Language Models to Follow Instructions with Human Feedback", COS 597G, Princeton University

Step 1 Collect demonstration data, and train a supervised policy.

A prompt is sampled from our prompt dataset.



Step 2

Collect comparison data, and train a reward model.

Step 3

Optimize a policy against the reward model using reinforcement learning.

Use-case	Prompt	Use-case (%)		Number of Prompts		
Brainstorming	instorming List five ideas for how to regain enthusiasm for my career Open QA		45.6% 12.4%	SFT Data		
Generation	Write a short story where a bear goes to the beach,	Brainstorming Chat	11.2% 8.4%	split	source	size
	makes friends with a seal, and then returns home.	Rewrite	6.6%	train	labeler	11,295
Rewrite	This is the summary of a Broadway play:	Summarization	4.2%	train	customer	1,430
		Classification	3.5%	valid	labeler	1,550
	{summary}	Other Closed QA Extract	3.5% 2.6% 1.9%	valid	customer	103
	This is the outline of the commercial for that play:					

Collect demonstration data, and train a supervised policy.

A prompt is sampled from our prompt dataset.

A labeler demonstrates the desired output behavior.

This data is used to fine-tune GPT-3 with supervised learning.



Step 2

Collect comparison data, and train a reward model.

A prompt and several model outputs are sampled.

A labeler ranks

the outputs from best to worst.

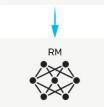
This data is used

to train our reward model. Explain the moon landing to a 6 year old



Moon is natural satellite of...

0>0>A=B



D > C > A = B

Step 3

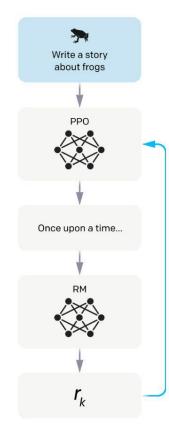
Optimize a policy against the reward model using reinforcement learning.

A new prompt is sampled from the dataset.

The policy generates an output.

The reward model calculates a reward for the output.

The reward is used to update the policy using PPO.



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SFT Z. Z.

Step 2

Collect comparison data, and train a reward model.

Step

Optimize a policy against the reward model using reinforcement learning.

A ne

Finetune the model, call this model SFT
Model

 Initialized with pretrained GPT-3 175B model, and trained for 16 Epochs on demonstration data

A labeler ranks he outputs from pest to worst.

his data is used o train our eward model.



The reward mod calculates a reward for the output.

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Collect demonstration data, and train a supervised policy.

Step 2

Collect comparison data, and train a reward model.

Step

Optimize a policy against the reward model using reinforcement learning.

A prompt and 0 several model Explain the moon outputs are landing to a 6 year old sampled. B A Explain war. Explain gravity... C D Moon is natural People went to satellite of ... the moon ...

This da to fine with su learnir

The outputs are sampled from the SFT model

Number of Prompts

RM Data						
split	source	size				
train	labeler	6,623				
train	customer	26,584				
valid	labeler	3,488				
valid	customer	14,399				

Collect demonstration data, and train a supervised policy.

A prompt and several mode outputs are sampled.

A labeler ranks the outputs from best to worst.



Profile noticed sectored and the recent to

D > C > A = B

Step 2

Collect comparison data, and train a reward model.

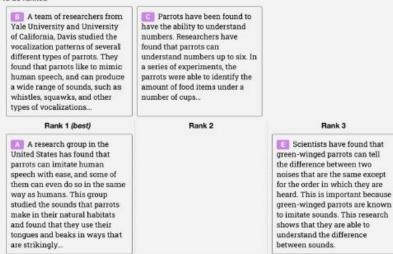
Step

Optimize a policy against the reward model using reinforcement learning.

To increase data collection throughput, each user is given K = 4 to 9 outputs to rank for each prompt

Ranking outputs

To be ranked



D > C > A = B

used to update the policy using PPO.

Collect demonstration data, and train a supervised policy.

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A labeler ranks the outputs from best to worst.

This data is used to train our reward model.



Step 2

Collect comparison data, and train a reward model.

Step 3 Optimize a policy against the reward model using reinforcement learning.

 r_{θ} : The reward model we are trying to optimize *x*: the prompt y_{w} : the better completion y_{t} : the worse completion

$$\log\left(\theta\right) = -\frac{1}{\binom{K}{2}} E_{(x,y_w,y_l)\sim D}\left[\log\left(\sigma\left(r_\theta\left(x,y_w\right) - r_\theta\left(x,y_l\right)\right)\right)\right]$$

Small but important detail:

- Each prompt has K completions -> K choose 2 pairs to compare
- If \forall batch we sample uniform over *every* pair (from any prompt):
 - Each completion can appear in K 1 gradient updates
 - This can lead to overfitting
- **Solution:** sample the prompt, and then put all K choose 2 pairs from the prompt into the same batch
 - Corollary: computationally more efficient, since this only requires K forward passes through r_{θ} for each prompt

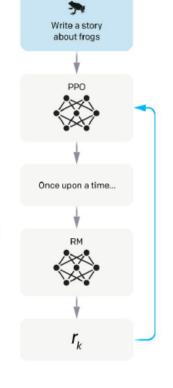
- This is why there is the -1/(K choose 2) normalization in loss

the policy using PPO.

Optimize a policy against the reward model using reinforcement learning.

A new prompt is sampled from Write a story the dataset. about frogs The policy generates an output. The reward model calculates a reward for the output. The reward is \mathbf{r}_{k} used to update the policy

using PPO.



Use RM to update the SFT model from step 1. Call model PPO

Number of Prompts							
PPO Data							
split	source	size					
train valid	customer customer	31,144 16,185					

Collect demonstration data, and train a supervised policy.

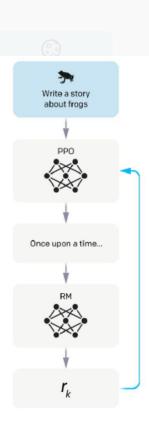
A prompt is

A new prompt is sampled from the dataset.

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Step 2

Collect comparison data, and train a reward model.

Step 3

Optimize a policy against the reward model using reinforcement learning.

mpt and

A new prompt

Use RM to update the SFT model from step 1. Call model PPO

Two problems:

 As RLHF is updated, its outputs become very different from what the RM was trained on -> worse reward estimates Solution: add a KL penalty that makes sure PPO model output does not deviate too far from SFT

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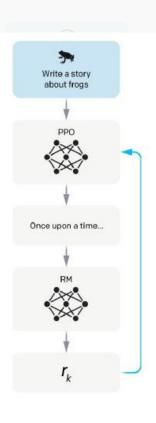
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- 2. Just using RL objective leads to performance degradation on many NLP tasks

Solution: Add a auxiliary LM objective on the pretraining data. Call this variant **PPO-ptx**

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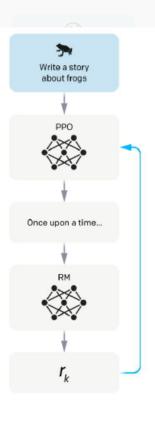
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objective $(\phi) = E_{(x,y)\sim D_{\pi_{\phi}^{\mathrm{RL}}}} \left[r_{\theta}(x,y) - \beta \log \left(\pi_{\phi}^{\mathrm{RL}}(y \mid x) / \pi^{\mathrm{SFT}}(y \mid x) \right) \right]$ $\gamma E_{x\sim D_{\mathrm{pretrain}}} \left[\log(\pi_{\phi}^{\mathrm{RL}}(x)) \right]$

The model

Step 1

Collect demonstration data, and train a supervised policy.

A prompt is sampled from our prompt dataset.

A labeler demonstrates the desired output behavior.

This data is used to fine-tune GPT-3 with supervised learning.



Step 2

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A labeler ranks

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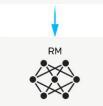
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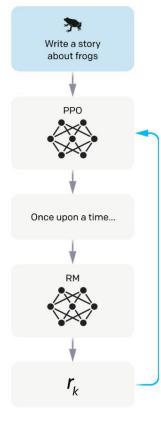
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InstructGPT: model summary

- 1. SFT: Supervised Fine-Tuning
 - a. GPT-3 fine-tuned on human demonstrations of prompt completions
- 2. RM: Reward Model
 - a. Not actually used to generate anything, but used to train the PPO and PPO-ptx models

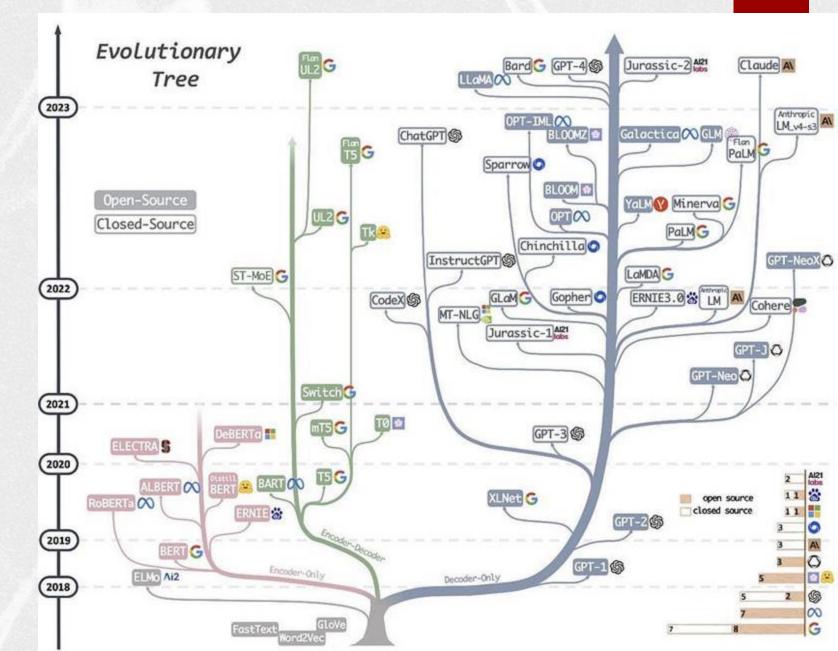
3. PPO

- a. SFT model further fine-tuned using RL with the RM providing the reward signal
- b. A KL-loss is provided to prevent the PPO model from deviating far from SFT
- 4. PPO-ptx
 - a. Identical to PPO, except with an additional auxiliary LM objective on the pretraining data

Instruction tuning papers

- Learning to summarize from human feedback
- Fine-Tuning Language Models from Human Preferences
- MemPrompt: Memory-assisted Prompt Editing with User Feedback
- LaMDA: Language Models for Dialog Application

Foundational Models





write a biblical verse in the style of the king james bible explaining how to remove a peanut butter sandwich from a VCR



And it came to pass that a man was troubled by a peanut butter sandwich, for it had been $rac{1}{\circ}$ $rac{1}{\circ}$ placed within his VCR, and he knew not how to remove it.

And he cried out to the Lord, saying, "Oh, Lord, how can I remove this sandwich from my VCR, for it is stuck fast and will not budge?"

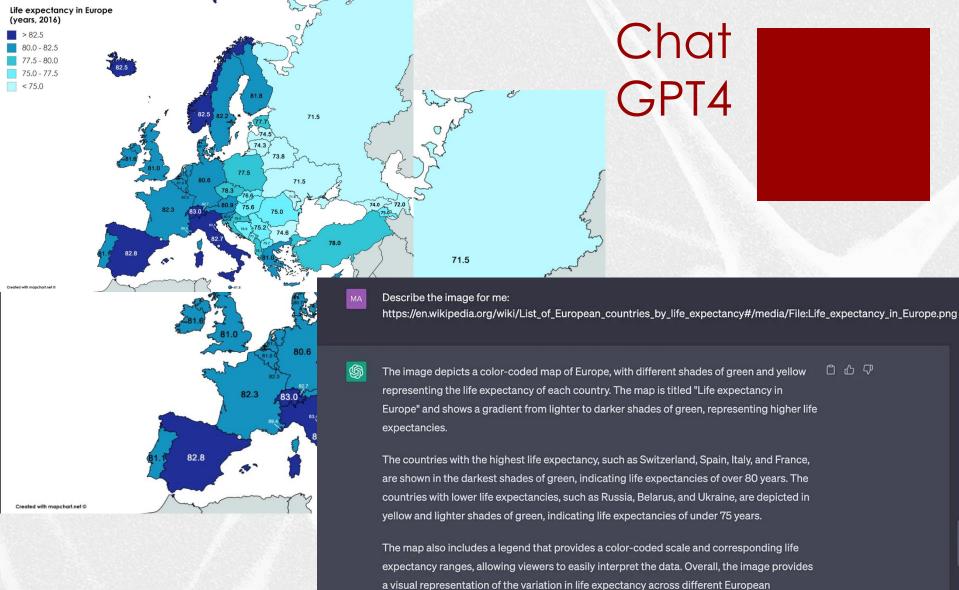
And the Lord spoke unto him, saying, "Fear not, my child, for I shall guide thy hand and show thee the way. Take thy butter knife, and carefully insert it between the sandwich and the VCR, and gently pry them apart. And with patience and perseverance, the sandwich shall be removed, and thy VCR shall be saved."

And the man did as the Lord commanded, and lo and behold, the sandwich was removed from the VCR, and the man was saved.

And the Lord said, "Verily I say unto thee, seek not to put thy peanut butter sandwiches in thy VCR, for it is not a suitable place for such things. Rather, keep thy sandwiches in thy refrigerator or on thy plate, where they belong."

And the man heeded the Lord's words, and from that day forth, he kept his sandwiches in their proper place, and was saved from trouble and woe. Amen.

Neural writing



countries, highlighting the disparities between countries and regions.

Towards AI chats bibliography

- <u>(Chain-of-Thought Prompting Elicits Reasoning in LLMs, Wei et al., 2023)</u>
- Fine-Tuning Language Models from Human Preferences
- MemPrompt: Memory-assisted Prompt Editing with User Feedback
- LaMDA: Language Models for Dialog Application
- Nisan Stiennon, Long Ouyang, Jeffrey Wu, Daniel M. Ziegler, Ryan Lowe, Chelsea Voss, Alec Radford, Dario Amodei, Paul F. Christiano: Learning to summarize with human feedback. NeurIPS 2022
- Training Language Models to follow instructions through Human feddback, Oyuang et al., 2022