Enhancing LLM Capabilities Beyond Scaling Up

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Abstract

General-purpose large language models (LLMs) are progressively expanding both in scale and access to unpublic training data. This has led to notable progress in a variety of AI problems. Nevertheless, two questions exist: i) Is scaling up the sole avenue of extending the capabilities of LLMs? ii) Instead of developing general-purpose LLMs, how to endow LLMs with specific knowledge? This tutorial targets researchers and practitioners who are interested in capability extension of LLMs that go beyond scaling up. To this end, we will discuss several lines of research that follow that direction, including: (i) optimizing input prompts to fully exploit LLM potential, (ii) enabling LLMs to self-improve responses through various feedback signals, (iii) updating or editing the internal knowledge of LLMs when necessary, (iv) leveraging incidental structural supervision from target tasks, and (v) defending against potential attacks and threats from malicious users. At last, we will conclude the tutorial by outlining directions for further investigation.[1]

1 Introduction

The advancement of AI can be broadly attributed to two technical trajectories: one involving general-purpose models, and the other centering around task-specific models. In the earlier phases of deep learning and even before its inception, the focal point of research predominantly revolved around the integration of domain-specific and task-specific expertise into model architectures. Nonetheless, the landscape underwent a transformation with the advent of pretrained large language models (LLMs), e.g., BERT (Devlin et al., 2019) and GPT series (OpenAI, 2022, 2023). Recent years have witnessed substantial achievements of those general-purpose models in a variety of AI problems. However, the advancements facilitated by LLMs are primarily rooted in larger scales of model parameters and confidential training data. These factors make LLMs increasingly costly, uninterpretable, unreproducible, uncontrollable, and unmanageable for most users.

Consequently, while acknowledging the substantial benefits offered by LLMs, it becomes crucial to address several pertinent inquiries. Firstly, *does the path to enhancing LLMs' capabilities solely involve scaling up?* The resource-intensive nature of training large-scale LLMs prompts the exploration of potential bottlenecks and the feasibility of further expansion. Secondly, *despite LLMs' versatility, challenges persist in their application to specific disciplines, tasks, and even users*. Thus, strategies to augment LLMs' capabilities for these distinctive challenges warrant consideration.

This tutorial delves into some research lines that extend the capabilities of LLMs beyond mere scale amplification. Specifically, it presents a comprehensive analysis of this objective, identifying challenges across five key dimensions: *optimizing LLM inputs*, *enhancing LLM responses*, *updating LLMs' internal knowledge*, *maximizing supervision from the target task*, and *improving LLM trustworthiness*. In line with these dimensions, the tutorial will address recent advancements in: (i) prompt optimization (§2.2), (ii) LLM self-improvement and inter-LLM collaboration (§2.3), (iii) adapting pre-existing knowledge to integrate new, potentially conflicting information (§2.4), (iv) aligning LLM performance with the constraints and structures of target problems (§2.5), and (v) defending against adversarial threats and malicious attacks (§2.6).

We believe it is necessary to present a timely tutorial to comprehensively summarize the new frontiers in LLM capability extension research and point out the emerging challenges that deserve further investigation. Participants will learn about

[1]Materials available at www.wenpengyin.org/publications/beyond-llm-scaling-emnlp24

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recent trends, emerging challenges, and representative tools in this topic, and how related technologies benefit end-user NLP applications.

2 Outline of Tutorial Content

This **half-day** tutorial presents a systematic overview of recent advancements in extending LLMs' capabilities without scaling up. The detailed contents are outlined below.

2.1 Background and Motivation

We will begin motivating this topic with a selection of real-world applications and emerging challenges of general-purpose LLMs.

2.2 Prompt Optimization for LLMs

Large Language Models (LLMs) have shown remarkable performance across a wide range of tasks. However, they are known to be sensitive to prompt variations, where even slight changes in input can cause substantial differences in output quality (Lu et al., 2021). As a result, effective prompt design has become essential for maximizing LLM performance. Despite this, finding the optimal prompts still often involves manual trial and error, which demands considerable human effort and can yield suboptimal results (Wei et al., 2022; Kojima et al., 2022). In this section, we will introduce several emerging techniques of prompt optimization for LLMs, which aim to systematically search for prompts that improve target task performance. We organize our discussion into several categories including search-based prompt optimization (Prasad et al., 2022; Guo et al., 2023; Schnabel and Neville, 2024), text gradient–based prompt optimization (Pryzant et al., 2023; Ye et al., 2023; Yuksekgonul et al., 2024), and gradient-based prompt optimization (Wen et al., 2024). We will conclude this section by presenting several promising future directions such as prompt optimization for multiagent LLMs, optimization for long and complex prompts, prompt optimization by retrieving and augmenting domain knowledge, human-in-the-loop interactive prompt optimization, and theoretical analysis of prompt optimization.

2.3 LLM Self-improvement & LLM-LLM Collaboration

In this subsection, we provide a detailed discussion on how LLMs can harness their own capabilities for self-improvement or collaborate with peer LLMs to address more complex problems.

The concept of LLM self-improvement has garnered increasing attention in recent literature (Kamoi et al., 2024; Pan et al., 2023b). On one hand, a growing body of work has demonstrated the potential of self-improvement strategies (Kumar et al., 2024; Kim et al., 2023; Huang et al., 2023b; Patel et al., 2024; Jiang et al., 2024a), including techniques like self-feedback (Madaan et al., 2023) and self-discriminative abilities (Ahn et al., 2024). On the other hand, some studies have questioned the effectiveness of these self-improvement mechanisms (Stechly et al., 2023; Huang et al., 2024; Jiang et al., 2024b; Valmeekam et al., 2023).

In addition to exploring the limits of individual LLM capabilities, we also examine recent advancements in combining multiple LLMs. These include: i) LLM-LLM collaboration, such as detecting factual errors through cross-examination (Cohen et al., 2023), multi-agent cooperation (Du et al., 2024; Talebirad and Nadiri, 2023), and LLM control of other AI agents (Shen et al., 2023); ii) LLM-LLM merging, which aims to produce a new, singular "super" LLM (Tam et al., 2024; Tam et al.; Liu et al., 2024a; Goddard et al., 2024; Perin et al., 2024).

2.4 Knowledge Update of LLMs

LLMs encapsulate vast world knowledge acquired during pre-training, yet the ever-evolving nature of information often results in *outdated or biased knowledge*, potentially leading to the dissemination of misinformation. In this section, we first examine the issues caused by unreliable knowledge, such as hallucinations (Xu et al., 2024c; Longpre et al., 2021; Li et al., 2023a; Wang et al., 2023c). Next, we explore approaches to remedy knowledge gaps in LLMs' internal knowledge by integrating external information in a training-free manner. We begin by enforcing LLMs' reliance on external context when the external knowledge is verified as reliable (Wang et al., 2023a; Zhou et al., 2023). We then address more general and realistic scenarios where both internal and external knowledge may be noisy, discussing effective strategies for combining these sources (Zhang et al.; Zhao et al., 2024). Finally, we introduce techniques for knowledge editing in LLMs with lightweight tuning (Lin et al., 2024; Wang et al., 2024c; Huang et al., 2023a).

2.5 Aligning with Structures of Target Problems

Aligning models with pre-defined structures is an efficient method of improving model perfor-

mances without scaling up. During this process, models adapt to structures that are beneficial to solving target problems and produce outputs that are more consistent with expectations. We discuss three types of such structures in this section. The first type uses symbolic constraints as structures, which include human-written constraints (Wang et al., 2024b), mathematical constraints (Feng et al., 2024), and compiler constraints (Chen et al., 2023; Zhu et al., 2024). The second type finds structures from decomposing the target problem (Sun et al., 2023; Chen et al., 2024b; Zhou et al., 2024b; Wu and Xie, 2024). The last type of structures are procedural structures that come from cognitive or problem-solving processes, such as DSP (Khattab et al., 2022), ReAct (Yao et al., 2022), and RAP (Hao et al., 2023). These procedural structures can also be combined with symbolic constraints (Pan et al., 2023a), task decompositions (Hu et al., 2023; LYU et al., 2023), or both (Zhou et al., 2024a).

2.6 Safety Enhancement for LLMs

Despite the desire to align LLM responses with users' preferences, malicious data may exist in the training corpora, task instructions, and human feedback. These data are likely to cause threats to LLMs before they are deployed as services (Wan et al., 2023; Xu et al., 2024a; Greshake et al., 2023). Due to the limited accessibility of model components in these services, mitigating such threats needs to be addressed through inference-time defense rather than training-time safety enhancement (Wang et al., 2024a). In this part of the tutorial, we will first introduce **inference-time threats** to LLMs through prompt injection, malicious task instructions, jailbreaking attacks, adversarial demonstrations, and training-free backdoor attacks (Liu et al., 2023b; Xu et al., 2024a; Li et al., 2023b; Wang et al., 2023b; Huang et al., 2023c; Greshake et al., 2023; Xu et al., 2024b). We will then provide insights on mitigating some of those threats based on **defense techniques** including prompt robustness estimation, demonstration-based defense and ensemble debiasing (Liu et al., 2023a, 2024b; Graf et al., 2024; Wu et al., 2023), defensive demonstrations (Mo et al., 2023), or detection techniques where defenders can detect and eliminate poisoned data given the compromised model (Kurita et al., 2020; Chen and Dai, 2021; Qi et al., 2021; Li et al., 2021, 2023c). While many issues with inference-time threats remain unaddressed (Chen et al., 2024a). We will also provide a discussion about how the community should develop to combat those issues.

2.7 Future Research Directions

Enhancing general-purpose large language models (LLMs) with specialized capabilities tailored to specific datasets, problems, and user requirements is essential for their effective deployment in real-world applications. We conclude this tutorial by discussing several ongoing challenges and promising avenues for future research, including: (i) adapting LLMs to different scientific disciplines to model complex processes (Jadhav et al., 2024; Thirunavukarasu et al., 2023), (ii) employing Mixture of Experts architectures (Sukhbaatar et al., 2024; Xue et al., 2024), (iii) exploring novel approaches for constructing foundational models that transcend Transformer-based generative AI, such as Liquid Foundation Models [2], and (iv) advancing autonomous systems for goal planning, action execution, and self-evolution through continuous learning (Crowder et al., 2020).

3 Specification of the Tutorial

The proposed tutorial is considered a **cutting-edge** tutorial that introduces new frontiers in LLM capability extension beyond scaling up its size and data. The presented topic has not been covered by any *CL tutorials in the past 4 years.

Audience and Prerequisites Based on the level of interest in this topic, we expect around 250 participants. While no specific background knowledge is assumed of the audience, it would be best for the attendees to know about basic deep learning technologies, pre-trained language models (e.g. encoder-based LLMs and decoder-based LLMs). A reading list that could help provide background knowledge to the audience before attending this tutorial is given in Appx. §A.2.

Breadth We estimate that at least 60% of the work covered in this tutorial is from researchers other than the instructors of the tutorial.

Diversity Considerations This tutorial will explore cutting-edge research on updating and adapting LLMs with new knowledge, user preferences, constraints, defense techniques, task capabilities,

[2] https://www.liquid.ai/liquid-foundation-models

and external tools/models. The team includes a senior Ph.D. student and several assistant and distinguished professors, and will promote the tutorial on social media to broaden audience participation.

4 Tutorial Instructors

The following are biographies of the speakers. Past tutorials given by us are listed in Appx. §A.1.

Wenpeng Yin is an Assistant Professor in the Department of Computer Science and Engineering at Penn State University. Prior to joining Penn State, he was a tenure-track faculty member at Temple University (1/2022-12/2022), Senior Research Scientist at Salesforce Research (8/2019-12/2021), a postdoctoral researcher at UPenn (10/2017-7/2019), and got his Ph.D. degree from the Ludwig Maximilian University of Munich, Germany, in 2017. Dr. Yin's research focuses on natural language processing with three sub-areas: (i) NLP/LLM for scientific research, (ii) human-centered AI, and (iii) multimodal learning. Additional information is available at www.wenpengyin.org.

Muhao Chen is an assistant professor in the Department of Computer Science at UC Davis, where he directs the Language Understanding and Knowledge Acquisition (LUKA) Group. His research focuses on data-driven machine learning approaches for natural language understanding and knowledge acquisition. His work has been recognized with an NSF CRII Award, two Amazon Research Awards, a Cisco Faculty Research Award, an EMNLP Outstanding Paper Award, and an ACM SIGBio Best Student Paper Award. Muhao obtained his PhD degree from UCLA Department of Computer Science in 2019, was a postdoctoral researcher at UPenn, and worked as as Assistant Research Professor of Computer Science at USC prior to joining UC Davis. Additional information is available at http://luka-group.github.io.

Rui Zhang is an Assistant Professor in the Computer Science and Engineering Department of Penn State University and a co-director of the PSU NLP Lab. His overarching research goal is to build natural language interfaces for efficient information access and knowledge sharing including summarization for unstructured documents, question answering for semi-structured web tables and pages, and semantic parsing for structured knowledge. He has led a tutorial on contrastive data and learning for natural language processing at NAACL 2022. He is the co-organizer of several workshops including SUKI at NAACL 2022, MIA at NAACL 2022, and IntEx-SemPar at EMNLP 2020. Additional information is available at https://ryanzhumich.github.io/.

Ben Zhou is an Assistant Professor in the School of Computing and Augmented Intelligence at Arizona State University. Ben's research uses data and symbolic cognitive processes to improve model reasoning, controllability, and trustworthiness from learning/inference schemes and architectural perspectives. He has more than 10 recent papers on related topics. Ben obtained his Ph.D. degree from the University of Pennsylvania. He is a recipient of the ENIAC fellowship from the University of Pennsylvania and a finalist for the CRA Outstanding Undergraduate Researcher Award. Additional information is available at http://xuanyu.me/.

Fei Wang is a Ph.D. student in the Department of Computer Science at University of Southern California. His research interests lie in natural language processing and machine learning. His recent work focuses on enhancing the trustworthiness of LLMs with dynamic knowledge integration and robust alignment. Fei is a recipient of an Amazon ML Fellowship and an Annenberg Fellowship. Additional information is available at https://feiwang96.github.io/.

Dan Roth is the Eduardo D. Glandt Distinguished Professor at the Department of Computer and Information Science, UPenn, the Chief AI Scientist at Oracle, and a Fellow of the AAAS, ACM, AAAI, and ACL. In 2017, Roth was awarded the John McCarthy Award, the highest award the AI community gives to mid-career AI researchers. Roth was recognized "for major conceptual and theoretical advances in the modeling of natural language understanding, machine learning, and reasoning." Roth has published broadly in machine learning, NLP, KRR, and learning theory, and has given keynote talks and tutorials in all ACL and AAAI major conferences. Roth was the Editor-in-Chief of JAIR until 2017, and was the program chair of AAAI'11, ACL'03 and CoNLL'02; he serves regularly as an area chair and senior program committee member in the major conferences in his research areas. Additional information is available at www.cis.upenn.edu/~danroth.

Ethical Considerations

We do not anticipate any ethical issues particularly to the topics of the tutorial. Nevertheless, some work presented in this tutorial extensively uses large-scale pretrained models with self-attention, which may lead to substantial financial and environmental costs.

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A Appendix

A.1 Past Tutorials by the Instructors

The presenters of this tutorial have given the following tutorials at leading international conferences in the past.

- Wenpeng Yin:
  - EMNLP'23: Learning from Task Instructions.
  - KONVENS'23: Learning from Task Instructions.
  - ACL'23: Indirectly Supervised Natural Language Processing.
- Muhao Chen:
  - ACL'23: Indirectly Supervised Natural Language Processing.
  - NAACL'22: New Frontiers of Information Extraction.
  - ACL'21: Event-Centric Natural Language Processing.
  - AAAI'21: Event-Centric Natural Language Understanding.
  - KDD'21: From Tables to Knowledge: Recent Advances in Table Understanding.
  - AAAI'20: Recent Advances of Transferable Representation Learning.
- Rui Zhang:
  - NAACL'22: Contrastive Data and Learning for Natural Language Processing
- Ben Zhou:
  - ACL'23: Indirectly Supervised Natural Language Processing.
  - NAACL'22: New Frontiers of Information Extraction
- Dan Roth:
  - ACL'23: Indirectly Supervised Natural Language Processing.
  - NAACL'22: New Frontiers of Information Extraction.
  - ACL'21: Event-Centric Natural Language Processing.
  - AAAI'21: Event-Centric Natural Language Understanding.
  - ACL'20: Commonsense Reasoning for Natural Language Processing.
  - AAAI'20: Recent Advances of Transferable Representation Learning.
  - ACL'18: A tutorial on Multi-lingual Entity Discovery and Linking.
  - EACL'17: A tutorial on Integer Linear Programming Formulations in Natural Language Processing.
  - AAAI'16: A tutorial on Structured Prediction.
  - ACL'14: A tutorial on Wikification and Entity Linking.
  - AAAI'13: Information Trustworthiness.
  - COLING'12: A Tutorial on Temporal Information Extraction and Shallow Temporal Reasoning.
  - NAACL'12: A Tutorial on Constrained Conditional Models: Structured Predictions in NLP.
  - NAACL'10: A Tutorial on Integer Linear Programming Methods in NLP.
  - EACL'09: A Tutorial on Constrained Conditional Models.
  - ACL'07: A Tutorial on Textual Entailment.

A.2 Recommended Paper List

The following is a reading list that could help provide background knowledge to the audience before attending this tutorial:

- Yuntao Bai, Andy Jones, Kamal Ndousse, Amanda Askell, Anna Chen, Nova DasSarma, Dawn Drain, Stanislav Fort, Deep Ganguli, Tom Henighan, et al. 2022. Training a helpful and harmless assistant with reinforcement learning from human feedback. arXiv
- Xinyun Chen, Maxwell Lin, Nathanael Schärli, and Denny Zhou. 2023a. Teaching large language models to self-debug. ArXiv
- Zhoujun Cheng, Jungo Kasai, and Tao Yu. 2023. Batch prompting: Efficient inference with large language model apis. CoRR, abs/2301.08721
- Jacob Devlin, Ming-Wei Chang, Kenton Lee, and Kristina Toutanova. 2019. BERT: pre-training of deep bidirectional transformers for language understanding. In Proceedings of NAACL-HLT
- Zhibin Gou, Zhihong Shao, Yeyun Gong, Yelong Shen, Yujiu Yang, Nan Duan, and Weizhu Chen. 2023. CRITIC: large language models can self-correct with tool-interactive critiquing. CoRR, abs/2305.11738

- Hangfeng He, Hongming Zhang, and Dan Roth. 2022. Rethinking with retrieval: Faithful large language model inference. arXiv preprint arXiv:2301.00303
- Yujin Huang, Terry Yue Zhuo, Qiongkai Xu, Han Hu, Xingliang Yuan, and Chunyang Chen. 2023. Training-free lexical backdoor attacks on language models. In Proceedings of the ACM Web Conference 2023
- Haoran Li, Dadi Guo, Wei Fan, Mingshi Xu, and Yangqiu Song. 2023a. Multi-step jailbreak- ing privacy attacks on chatgpt. arXiv
- Prateek Yadav, Derek Tam, Leshem Choshen, Colin Raf- fel, and Mohit Bansal. 2023. Resolving interference when merging models. CoRR, abs/2306.01708
- Jian Xie, Kai Zhang, Jiangjie Chen, Renze Lou, and Yu Su. 2023. Adaptive chameleon or stubborn sloth: Unraveling the behavior of large language models in knowledge conflicts. arXiv preprint arXiv:2305.13300
- Yashar Talebirad and Amirhossein Nadiri. 2023. Multi- agent collaboration: Harnessing the power of intelli- gent LLM agents. CoRR, abs/2306.03314.