ITER: Iterative Transformer-based Entity Recognition and Relation Extraction

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Abstract

 When extracting structured information from text, recognizing entities and extracting rela- tionships are essential. Recent advances in both tasks generate a structured representation of the information in an autoregressive manner, a time-consuming and computationally expen- sive approach. This naturally raises the ques- tion of whether autoregressive methods are nec- essary in order to achieve comparable results. 010 In this work, we propose ITER, an efficient encoder-based relation extraction model, that performs the task in three parallelizable steps, greatly accelerating a recent language modeling approach: ITER achieves an inference through- put of over 600 samples per second for a large model on a single consumer-grade GPU. Fur- thermore, we achieve state-of-the-art results on the relation extraction datasets ADE and **ACE05**, and demonstrate competitive perfor- mance for both named entity recognition with **GENIA** and CoNLL03, and for relation extrac-tion with SciERC and CoNLL04.

⁰²³ 1 Introduction

 In recent years, there has been a shift towards the use of autoregressive methods in many common natural language processing (NLP) tasks. In paral- lel, there has been an increasing focus on approach- ing NLP tasks such as relation extraction or (nested) named entity recognition as structured prediction problems. Given a sequence of text input, a given model autoregressively generates outputs that en- code the structure contained in the input, providing flexibility since the source and target vocabularies do not need to have any commonalities.

 Flattening the output structure into a single string, preserving the structure information in the input, and using an autoregressive model to learn [t](#page-7-0)o generate this adapted target language [\(Cabot and](#page-7-0) [Navigli,](#page-7-0) [2021;](#page-7-0) [Paolini et al.,](#page-8-0) [2021\)](#page-8-0), is an *implicit* approach known to work well across task bound-aries [\(Raffel et al.,](#page-9-0) [2020\)](#page-9-0). However, representing

the structured output as a string introduces addi- **042** tional complexity when modeling intra-structure **043** [d](#page-8-1)ependencies [\(Liu et al.,](#page-8-1) [2022\)](#page-8-1). More recently, [Liu](#page-8-1) **044** [et al.](#page-8-1) has proposed restricting the autoregressive **045** model to *explicit* generation of the output structure. **046**

However, since inference cannot be parallelized **047** across the sequence dimension, language modeling **048** approaches are prone to low throughput, especially **049** as model size increases [\(Pope et al.,](#page-9-1) [2022\)](#page-9-1). To **050** counteract this effect, a smaller output sequence **051** length is of critical importance. For ASP [\(Liu et al.,](#page-8-1) **052** [2022\)](#page-8-1), the output is always at least as long as the **053** input, leading to poor real-world performance (see **054** Eq. [1](#page-11-0) in Appendix [C\)](#page-11-1). While scaling the model size **055** from hundreds of millions to billions of parame- **056** ters provides performance gains for [Liu et al.,](#page-8-1) this **057** scaling may become unfeasible in terms of both **058** computational requirements and throughput when **059** using these large models in production. **060**

This raises the natural question of whether a **061** *non-autoregressive process* capable of generating **062** such an output structure can achieve similar perfor- **063** mance while addressing the aforementioned limita- 064 tions of language modeling approaches. This paper **065** presents ITER, an encoder-only transformer-based **066** relation extraction model that addresses the limi- **067** tations of state-of-the-art architectures and shows **068** that the structured prediction problem can be ap- **069** proached without language modeling goals. **070**

In summary, the main contributions we have **071** made are as follows: 072

1. We present ITER, a transformer-based, **073** encoder-only relation extraction model. In- **074** stead of using a language modeling goal, our **075** model generates the structured output in three **076** basic steps. We show that this encoder-based **077** approach achieves competitive performance **078** compared to language modeling architectures, **079** while retaining only a fraction of the number of parameters and increasing the inference **081**

082 throughput by a factor of up to 23, to more **083** than 1,000 examples per second.

- **084** 2. In our experiments, we find that the trained **085** encoder of FLAN T5 is as capable as encoders **086** from the BERT family, which motivates fur-**087** ther research in this direction.
- **088** 3. We set a new state of the art for relation ex-**089** traction on ACE05 and ADE, 71.9 (+1.4) and **090** 85.6 (+1.8) F1 respectively, while being com-**091** petitive on CoNLL04, SciERC, GENIA and **092** CoNLL03, especially considering a signifi-**093** cantly smaller model size and higher through-**094** put. For named entity recognition, we set a **095** new state of the art of 91.9 and 92.2 on ACE05 **096** and ADE.
- **097** 4. We publish our implementation and check-098 **points at HTTPS://ANONYMOUS.4OPEN.** 099 SCIENCE/R[/ITER-8432/README.](https://anonymous.4open.science/r/ITER-8432/README.md)MD.

¹⁰⁰ 2 Related Work

 The goal of relation extraction (RE), sometimes also referred to as *end-to-end* relation extraction or *joint* entity and relation extraction, is to iden- tify the names and types of *named entities*, within a given text, as well as to classify the *relation- [s](#page-8-2)hips* among these entities [\(Grishman and Sund-](#page-8-2)[heim,](#page-8-2) [1996;](#page-8-2) [Zhao and Grishman,](#page-9-2) [2005\)](#page-9-2).

 Initial approaches to relation extraction have been to split the task into *named entity recogni- tion* (NER) and *relation classification*, where the named entities are identified first, while the rela- tionships between the found named entities are then classified in a second, separate stage that is being learned independently. This pipeline-based approach is known to be prone to error propagation [\(Sui et al.,](#page-9-3) [2020;](#page-9-3) [Zhong and Chen,](#page-10-0) [2021\)](#page-10-0). Because of this known limitation, joint approaches model- ing both tasks simultaneously have been introduced and have shown promising results [\(Gupta et al.,](#page-8-3) [2016;](#page-8-3) [Wang and Lu,](#page-9-4) [2020\)](#page-9-4).

121 2.1 Span-based Techniques

 Table-filling or span-based strategies have been, and still are, viable approaches to modeling RE and related tasks [\(Gupta et al.,](#page-8-3) [2016;](#page-8-3) [Wang and Lu,](#page-9-4) [2020;](#page-9-4) [Joshi et al.,](#page-8-4) [2020;](#page-8-4) [Tang et al.,](#page-9-5) [2022;](#page-9-5) [Zara-](#page-9-6) [tiana et al.,](#page-9-6) [2024\)](#page-9-6). Recent examples of this include [D](#page-9-8)iffusionNER [\(Shen et al.,](#page-9-7) [2023b\)](#page-9-7), PL Marker [\(Ye](#page-9-8) [et al.,](#page-9-8) [2022\)](#page-9-8) and UniRel [\(Tang et al.,](#page-9-5) [2022\)](#page-9-5). Diffu-sionNER formulates NER as a diffusion problem,

allowing overlapping entities to be decoded from **130** textual input in a fixed number of diffusion steps. **131**

PL Marker use two types of packing strategies **132** to identify spans from the set of all possible spans, **133** up to a defined maximum length, and their interac- **134** tions. Markers are inserted into the input sequence **135** that cannot be attended to by classical tokens, but **136** can attend everywhere themselves. Controlling **137** the number of markers needed to model the in- **138** teractions in an input is a key challenge faced by **139** the authors, since increasing the input length for **140** a transformer leads to a quadratically scaling in- **141** ference time [\(Ye et al.,](#page-9-8) [2022\)](#page-9-8). UniRel combines **142** the input text and unique tokens for each relation **143** type to build an interaction map that models the **144** relationships between spans. This approach can **145** become increasingly complex when dealing with **146** common multi-token spans, as three types of in- **147** teraction maps are then required. Interaction map **148** computation for UniRel scales quadratically with **149** the sum of the input size and the number of relation **150** types. **151**

The main critic of span-based approaches is the **152** increased design complexity, compared to language **153** modeling approaches, due to the abstraction of **154** most of the design complexity from the models **155** to the target language. **156**

2.2 Autoregressive Techniques **157**

Modeling the task as a *seq2seq* problem has **158** become the state of the art for RE in recent **159** years [\(Cabot and Navigli,](#page-7-0) [2021;](#page-7-0) [Wang et al.,](#page-9-9) [2022;](#page-9-9) **160** [Paolini et al.,](#page-8-0) [2021;](#page-8-0) [Liu et al.,](#page-8-1) [2022;](#page-8-1) [Fei et al.,](#page-8-5) **161** [2022;](#page-8-5) [Lu et al.,](#page-8-6) [2022;](#page-8-6) [Zaratiana et al.,](#page-9-6) [2024\)](#page-9-6). How- **162** ever, the primary concern in using this method- **163** ology however is the sacrifice in model through- **164** put: the inference time of such pretrained language **165** models (PLMs) scales quadratically with the input **166** length. While encoding-based models often require **167** only one pass through the encoder, PLMs require **168** one pass through the decoder per generated token **169** (naively), which cannot be parallelized due to the **170** dependence on all previously generated tokens. **171**

(m)REBEL [\(Cabot and Navigli,](#page-7-0) [2021;](#page-7-0) [Cabot](#page-7-1) **172** [et al.,](#page-7-1) [2023\)](#page-7-1), TANL [\(Paolini et al.,](#page-8-0) [2021\)](#page-8-0) and **173** ASP [\(Liu et al.,](#page-8-1) [2022\)](#page-8-1) translate the input sequence 174 into a flattened output string, which in the case **175** of (m)REBEL also no longer resembles natural **176** language, but an HTML-like structure, where the **177** input text is no longer preserved. This structure has **178** implications for the interpretability of the model, **179** since it is unclear which occurrence is referred to in **180**

Figure 1: Visualization of ITER for nest depth $\omega = 1$. is left returns two positions where spans start: 1 and 6. is_span then creates pairings of the types *person* between position 2 and 1, *location* between position 8 and 6, and *state* for position 8, a 1-token span. Since only the closest *left bracket action* is being considered when $\omega = 1$, is_span looks at the marked (\checkmark) positions 1 and 6 for positions 1 to 5 and 6 to 8, respectively. In this example, is_link tests the two spans "Barack Obama" and "Honolulu, Hawaii" for relationships. As shown above, our implementation allows parallelization across the sequence dimension.

 the output if the entity appears multiple times in the input. [Paolini et al.](#page-8-0) extends the target output with information about entity types and relationships to other named entities. ASP generates a structured sequence of actions weaved into the original in- put, where three types of actions allow marking the start and end of spans and linking them together. Due to the autoregressive nature of the generative process, [Liu et al.](#page-8-1) need to double the number of relation types to properly model the directions of relationships between spans.

 This raises the question of whether the struc- tured prediction method employed by ASP can be performed by an encoder-based, BERT-like model, without the autoregressive language modeling ap- proach taken by [Liu et al.,](#page-8-1) while improving infer- ence throughput and maintaining the performance of the original work.

¹⁹⁹ 3 Approach

 We base ITER on the work of [Liu et al.:](#page-8-1) To replace the autoregressive component of their approach with our inference process, several modifications to the structured prediction are necessary. We will break down the process into three basic steps:

- **205** (1) First, use is_left (Eq. [4\)](#page-3-0) to identify all posi-206 tions n in the input x where a span begins.
- 207 **(2)** Following **(1)**, identify all positions $m \ge n$ **208** in the input that pair with any of the previ-**209** ously identified positions n found in (1) us-**210** ing is_span (Eq. [5\)](#page-3-1), forming named entities. **211** is_span produces a set of bracket pairs with **²¹²** previously found *left bracket* actions **[** cor-

responding to spans of a given named entity **213** type $t \in \mathbf{T}_E$ from *n* to *m*. 214

(3) Finally, test for relationships between all pairs **215** of named entities found in (2) using is_ $link_{\lambda}$ 216 (Eq. [7\)](#page-4-0). This function returns a vector of **217** Boolean values indicating whether a relation- **218** ship between two spans is present or absent. **219**

To allow an efficient implementation of our **220** model, each step can be individually parallelized **221** across the sequence dimension. First, we define the **222** set of *structure-building* actions A: **223**

$$
\mathcal{A} = \left\{ \begin{array}{c} \mathbf{I} & \mathbf{I} \end{array} \right\}
$$

Our model must be allowed to perform both **[²²⁵** (i.e., marking the possible beginning of a span) and **226]** (i.e., ending a span) actions at the same time, in **²²⁷** order not to lose model expressiveness. Otherwise, **228** it will not be able to correctly classify single-token **229** spans^{[1](#page-2-0)}. Therefore, the *structure-building* actions 230 $A_n \subseteq A$ performed at position *n* must now be a sub- 231 set of A, to allow for this behavior. This change is **232** reflected in the definition of the optimal structured **233** output y^* that our model will learn to generate: 234 $y^* \in X_{n=1}^N$ \mathcal{Y}_n . The possible actions \mathcal{Y}_n to be per- 235 formed at step n are defined as follows: 236

$$
\mathcal{Y}_n = \wp(\mathcal{A}) \times \wp(\mathcal{B}_n) \tag{1}
$$

where \wp is the powerset operation. 238

¹Consider a single-token named entity x_i = BERLIN: the model must be able to determine the span of this entity, since it ends at the same position where it started. So a_i must now be a set: $a_i = \{_ \, _ \}$.

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$$
\frac{1}{27}
$$

 To properly handle two or more entities ending at the same position, the *bracket-pairing* actions **are also present in** \mathcal{Y}_n **as a subset of all possible** \mathcal{B}_n actions. This change comes in combination with 243 two adjustments to the definition of \mathcal{B}_n itself:

$$
244 \qquad \qquad \mathcal{B}_n = \{ n \mid n \stackrel{(1)}{\leq} m \wedge \begin{bmatrix} \mathbf{c} & A_n \end{bmatrix} \times \mathbf{T}_E \qquad (2)
$$

 At position m, ITER is allowed to pair **[** actions **at positions** $n \le m$ with position m, circumventing single-token named entity issues (1, Eq. [2\)](#page-3-2), and each such individual pairing is allowed to have its 249 own named entity type $t \in T_E$ (2, Eq. [2\)](#page-3-2).

250 3.1 Identifying Named Entities

 Before relationships can be determined, spans must be uniquely identified by their start and end posi- tions in combination with the type of the named entity in the input sequence. Prior to each of the following three generation steps, the input x is passed to the encoder of the base model, in our case T5, which produces a sequence of contextu-258 alized vector representations $\mathbf{h} = \langle h_1 \dots h_N \rangle$ for 259 x with $h_n \in \mathbb{R}^{\delta}$, where δ is the dimension of the latent representations produced by the base model. All three stages use gated feed-forward networks of the following form:

263
$$
FFN_{\kappa}^{\psi}(\hat{h}) = ((f(\hat{h}W_a) \otimes \hat{h}W_i)W_o \qquad (3)
$$

264 where $\hat{h} \in \mathbb{R}^{\psi\delta}$ is the concatenation of ψ δ di-**mensional vectors from** $\langle h_1 \dots h_N \rangle$ **,** $W_a, W_i \in$ $\mathbb{R}^{\psi \delta \times \eta}, W_o \in \mathbb{R}^{\eta \times \kappa}$ are weight matrices learned dur- ing training, f is a nonlinear function, and κ is the 268 output dimension. $\psi = 2$ if two vectors are input (also $\psi = 4$ for four vectors), otherwise $\psi = 1$.

270 3.1.1 Determine Where Named Entities Start

 To identify these spans, the model learns to predict the positions where the spans of named entities in the input x begin. This task is modeled by the function is_left (Eq. [4\)](#page-3-0), which takes a latent repre-**sentation** h_n as input and outputs a Boolean value $b_n \in \mathbb{B}$:

277
$$
is_left(h_n) = FFN_{\kappa=1}^{\psi=1}(h_n) > 0 \tag{4}
$$

278 **At all positions where** is $left(h_n)$ is true, the **²⁷⁹** *left bracket* action **[** is included in the set of ac-280 tions A_n that are performed at position *n*.

3.1.2 Pair Left and Right Brackets **281**

After determining where spans of named entities **282** start in the input x, the next step is to determine **283** which positions x_m ($m \ge n$) following x_n in the 284 input form a span of named entity type $t \in T_E$. Our 285 model learns a projection *is_span* that maps the **286** input position h_m to a set of tuples of indices and 287 entity types (n, t) , where each entry corresponds 288 to a pair of spans from *n* to *m* of type $t \in T_E$: 289

$$
is_span: \mathbb{R}^{\delta} \to \wp(\mathcal{B}_n)
$$

$$
is_span(h_m) = \{(n, t) \mid s_{n,m}^t\}
$$
 (5)

where 291

$$
s_{n,m}^t = FFN_{\kappa=\# \mathbf{T}_E}^{\psi=2} (h_m, h_n)_t > 0
$$

$$
\wedge is_left(h_n)
$$

$$
\wedge n \le m
$$

That is, a pair of positions $n \leq m$ was identified 293 as a span pair of type t, where previously h_n was 294 marked as the beginning of a span. **295**

For each position m where the output of $B_m = 296$ $is_span(h_m)$ is not empty, ITER performs a *right* 297 **bracket** action **1** at position *m*. Each element **298** (n, t) ∈ B_m determines a pair of a left bracket at 299 position n with a right bracket at position m of **300** type t , forming a named entity. If a left bracket 301 from step one is left unbound, no named entity is **302** identified. This prevents invalid output artifacts. A **303** visualization of our model is available in Figure [1.](#page-2-1) **304**

3.2 Identify Relations among Named Entities **305**

The third step now tests pairs of identified named **306** entities for their relationship to each other. For the **307** non-nested case, is_link projects two hidden states **308** h_i and h_j onto a vector of non-normalized logits, $\frac{309}{200}$ similar to probabilities after applying the sigmoid 310 function (Eq. [6\)](#page-3-3). 311

$$
is_link_{\lambda} : \mathbb{R}^{\delta} \times \mathbb{R}^{\delta} \to \mathbb{B}^{\kappa}
$$

$$
is_link(h_i, h_j)_{\lambda} = \sigma(FFN_{\kappa}^{\psi}(h_i, h_j)) > \lambda
$$
 (6)

where $\lambda \in [0, 1], \kappa = |\mathbf{T}_R|, \psi = 2$. The com- 313 parison with λ , a decision boundary parameter is 314 done element-wise. Thus, our model can predict **315** multiple relationships between any pair of entities **316** (spans). λ allows you to trade precision for recall. 317 By default, we set $\lambda = 0.5$ as shown in Figure [2](#page-4-1) 318

(6) **312**

(5) **290**

Figure 2: Visualization of the trade-off between RE+ precision and recall for different values of λ on ACE05. Five different seeds evaluated at the last checkpoint.

 At both positions i, j, our model previously per- formed a **]** action. It also paired those two ac- tions with *left bracket* actions at positions k, l with span types $t_i, t_j \in \mathbf{T}_E$: **]** $\in A_i, A_j \wedge (k, t_i) \in$ $B_i \wedge (l, t_j) \in B_j$. *is_link* returns vectors contain- ing Boolean values for relations between two enti- ties identified in (1) and (2). During inference, all combinations of entities found are tested for rela- tionships. The order of the head and tail entities 328 is important, so is_link $(h_i, h_j) \neq is_link(h_i, h_i)$ unless a relationship is symmetric.

 The abstraction of using only the latent represen- tation of the last position of the span can no longer be applied when dealing with nested entities, since spans are no longer uniquely identified by their last position. To counteract this, the representation of the first position of a span is also included:

336
\n
$$
is_link : \mathbb{R}^{4 \times \delta} \to \mathbb{B}^{\kappa}
$$
\n
$$
is_link(\mathbf{h}) = \sigma(FFN_{\kappa = \# \mathbf{T}_R}^{\psi = 4}(\mathbf{h}_1 \dots \mathbf{h}_4))
$$
\n(7)

337 where now $\psi = 4$, $\mathbf{h} = \langle h_i, h_o, h_j, h_p \rangle$.

338 3.3 Training

 A key issue in training our proposed model was the choice of transformer encoder used in our experi- [m](#page-8-1)ents. Since we base our work on the ASP [\(Liu](#page-8-1) [et al.,](#page-8-1) [2022\)](#page-8-1) architecture, we ultimately decided to use the T5 [\(Raffel et al.,](#page-9-0) [2020\)](#page-9-0) autoregressive model as the encoder by simply relying on the PLM encoder stack. In addition, we perform experiments on several BERT-like encoder models: ALBERT and DeBERTa.

 To avoid error propagation between the three stages of ITER, the training will include all three functions simultaneously: is_left,is_span, and is_link. ITER takes as input a sequence of la-352 tent representations $h = \langle h_1, h_2, \ldots, h_N \rangle$. The sequence of representations is shared across all **353** three tasks. The loss function used during training **354** can be found in Appendix [B,](#page-10-1) in Equations [10,](#page-10-2) [12,](#page-10-3) **355** and [13.](#page-11-2) To minimize training loss, the model is **356** encouraged to assign weights greater than zero to **357** the correct decisions in all three cases, which af- **358** fects the decisions made by is_left, is_span, and **359** i s $link.$ **360**

3.4 ITER versus other Encoders **361**

Since ITER is no longer an autoregressive model, 362 this motivates the discussion of other, encoding- **363** based approaches in terms of their differences and **364** similarities to our model. **365**

Table-filling Approaches: Unlike most previ- **366** ous approaches, ITER does not recognize entities **367** with a classical table-filling pipeline, where each 368 combination of tokens in the input x is tested to be **369** a named entity [\(Gupta et al.,](#page-8-3) [2016;](#page-8-3) [Wang and Lu,](#page-9-4) **370** [2020;](#page-9-4) [Ma et al.,](#page-8-7) [2020;](#page-8-7) [Tang et al.,](#page-9-5) [2022\)](#page-9-5). **371**

Span-Based Approaches: The best known and **372** most powerful span-based approaches include Dy- **373** GIE++, PURE, and PL Marker [\(Wadden et al.,](#page-9-10) **374** [2019;](#page-9-10) [Zhong and Chen,](#page-10-0) [2021;](#page-10-0) [Ye et al.,](#page-9-8) [2022\)](#page-9-8), **375** which mostly seem to follow the same basic idea 376 of creating all possible spans (with up to length **377** L) and consequently predicting the correct types **378** (including *none*). In addition, they use markers to **379** better teach the model start and end indices. For **380** instance, in PL Marker a group of *levitated markers* **381** is built for each token in the input, and appended **382** to the input sequence. Each such pair of markers **383** is able to accompany a subsequence of the whole **384** input, and there is one pair per possible span with a **385** [m](#page-9-8)aximum span length L depending on the data [\(Ye](#page-9-8) **386** [et al.,](#page-9-8) [2022\)](#page-9-8). As a consequence, the input length **387** increases drastically by about 2NL depending on **388** L. This increase is also reflected in the throughput **389** of PL Marker (211.7 samples/s) compared to our **390** method (392.9 samples/s), as shown in Table [3.](#page-7-2) **391**

In contrast, ITER identifies named entities in two, **392** linear time steps, as discussed in the next section. **393** To the best of our knowledge, and supported by our **394** experiments, ITER is the most efficient transformer- **395** based end-to-end relation extraction model. **396**

3.5 Complexity **397**

Here, the theoretical time complexity of our ap- **398** proach is briefly discussed. As follows from their **399** definitions, both steps (1) and (2) can be paral- **400** lelized over the sequence dimension. Since is_left **401** uses only linear projections and activation func- **402**

 tions, its runtime is bounded by the length of the input sequence h, yielding a linear time complexity $O(N)$, is span is optimized to consider only the ω closest *left bracket* actions, and in the trivial case 407 we set $\omega = 1$. For nested named entity records, ω can be calculated as follows:

409
$$
\omega = \max \left\{ \sum_{k=n}^{m} \left[\mathbf{I} \in A_k \right] \middle| (n, t) \in B_m, 1 \leq m \leq N \right\}
$$

410 for an element of a given record. For $\omega = 1$, is_span performs one pass through the F F N per element of the sequence h, thereby yielding a time **complexity** $O(N)$ **linear in the input length** N. Correspondingly, ω can be derived for the whole dataset by taking the maximum value over all sam-**ples.** Our choices for ω are also shown in Table [1.](#page-5-0) 417 For $\omega > 1$, we have $O(N * \omega)$, but $\omega \ll N$. Since steps (1) and (2) are performed sequentially, their combination remains bounded by the sequence length N. Testing for relationships in step (3) re- quires testing all combinations of entities found and thus gives a quadratic runtime, but not in the sequence length, but in the number of entities E 424 with $E \ll N$. Using ITER thus gives a complexity 425 of $O(N + E^2)$, where E is the number of entities.

⁴²⁶ 4 Experimental Results

 In this section, we give an overview of the datasets used (Section [4.1\)](#page-5-1) followed by a discussion of the results from our experiments (Section [4.2\)](#page-5-2). Details of the hyperparameter search we performed can be found in Appendix [D.](#page-11-3)

432 4.1 Data

 To evaluate our proposed model, we measured its performance and throughput on a diverse portfo- lio of six datasets, varying in domain and task: CoNLL03 [\(Sang and Meulder,](#page-9-11) [2003\)](#page-9-11) and GE- NIA [\(Kim et al.,](#page-8-8) [2003\)](#page-8-8) were selected for NER, followed by CoNLL04 [\(Roth and Yih,](#page-9-12) [2004\)](#page-9-12), [A](#page-8-9)CE05 [\(Walker et al.,](#page-9-13) [2006\)](#page-9-13), ADE [\(Gurulingappa](#page-8-9) [et al.,](#page-8-9) [2012\)](#page-8-9) and SciERC [\(Luan et al.,](#page-8-10) [2018\)](#page-8-10) for RE. CoNLL03, CoNLL04 and ACE05 contain ex- amples taken from news articles, GENIA and ADE have a biomedical domain and contain examples of Medline abstracts and drug-drug interactions, respectively. SciERC consists of 500 scientific abstracts that have been annotated for scientific en- [t](#page-8-10)ities, their relationships and co-references [\(Luan](#page-8-10) [et al.,](#page-8-10) [2018\)](#page-8-10). An overview of the selection of our datasets can be found in Table [1.](#page-5-0) Following the

literature, we primarily evaluate our model in a **450** *strict* setting for RE: A predicted relationship be- **451** tween two entities is only considered correct if both **452** the span and the type of the entity match the gold **453** standard (RE+). We report *micro* F1 values unless 454 otherwise noted. **455**

Dataset	TRAIN	DEV	TEST	ω	OVERLAPPING ENTITIES
CONLL03	954	216	231		
CONLL04	922	231	288	1	
SciERC	1861	275	551	3	2.7%
ADE	4.272	$10\%*$	$10\%*$	2	$1.6 - 4.4\%$
ACE ₀₅	5217	12.77	1130	1	0
GENIA	16,692	÷	1,854	4	21.6%
NYT	56.196	5.000	5.000	2	1.1%

Table 1: We report the number of samples per dataset split, the choice of ω per dataset and the number of samples where overlaps do occur. We count overlaps as entities that begin inside another. (*): There is no official dataset split for ADE, so we use 10-fold crossvalidation with 10% of the total examples. † In the dataset split provided by [Shen et al.,](#page-9-14) the training (train) and development (dev) sets have been merged.

Models. We use an ensemble of different models **456** [d](#page-9-15)uring training, in particular the FLAN T5 [\(Shen](#page-9-15) **457** [et al.,](#page-9-15) [2023a\)](#page-9-15) encoders, referred to as FT5, T5 [\(Raf-](#page-9-0) **458** [fel et al.,](#page-9-0) [2020\)](#page-9-0) and BART [\(Lewis et al.,](#page-8-11) [2020\)](#page-8-11). **459** [W](#page-8-12)e also train our model with DeBERTaV3 [\(He](#page-8-12) 460 [et al.,](#page-8-12) [2023,](#page-8-12) [2021\)](#page-8-13), BERT [\(Devlin et al.,](#page-8-14) [2019\)](#page-8-14), and **461** ALBERT [\(Lan et al.,](#page-8-15) [2020\)](#page-8-15). **462**

4.2 Results **463**

Overall, ITER outperforms or is competitive with **464** the state-of-the-art on all datasets, as shown in Ta- **465** ble [2](#page-6-0) for NER and RE+. In addition, our model **466** excels in terms of throughput: Our large model 467 variant ITER + FLAN T5 *(large)* outperforms the **468** autoregressive ASP by up to 22× and the encoder- **469** based PL Marker by up to 12.5×. See Table [3](#page-7-2) for **470** the results of our throughput measurements. **471**

For ACE05, we set a new state of the art of 472 71.9 F1 for RE+, but with a very large PLM as an **473** encoder: FLAN T5 (xl) with 1.3 billion parameters. 474 DeBERTaV3 *(large)* gave very competitive results **475** despite it being a 2.7 times smaller model: 70.8 F1 **476** for RE+ and a state-of-the-art of 91.9 for NER. We **477** also set a new state-of-the-art for the biomedical **478** dataset ADE, for both NER and RE+ with 92.2 and **479** 85.6 F1, respectively. **480**

On CoNLL04, our model is only outperformed **481** by ASP + T0 *(3b)*, DeepStruct and ATG with respect **482** to the strict RE F1 metric. The first two are ×7.12 **483**

Table 2: Final results for CoNLL04, ACE05, ADE, SciERC, CoNLL03, and GENIA. (∗): PL Marker and [Wang](#page-9-16) [et al.](#page-9-16) weight correct symmetry relations twice [\(Ye et al.,](#page-9-8) [2022\)](#page-9-8), further explained in Appendix [F.](#page-12-0) To allow a fair comparison, we also report results using their scoring method. ◆ One of the 5 runs with *bert-large-cased* diverged.

 and ×25.1 larger. For CoNLL03, our model per- forms in line with the results from ASP, but does not perform close to the state of the art on this dataset. In an ablation study, we find that using the best final checkpoint from CoNLL03 as the ini- tialization for CoNLL04 increases the final model performance by an average of 0.6 F1 points. More details can be found in Appendix [E.](#page-12-1) On both GE- NIA and SciERC, our model achieves results that are competitive with the current state of the art.

 We conducted experiments with the BART, De- BERTa, and ALBERT encoders on ACE05. Our goal was to identify the best fitting pretrained model for our proposed method. The results of this investigation can be seen in Table [4](#page-10-4) in Appendix [A.](#page-10-5) Comparing the performance of ITER with these PLMs, we find that models with relative position embeddings (T5 family, DeBERTa) to generally perform better in our setting when compared to models with absolute position embeddings (BART, **504** ALBERT).

⁵⁰⁵ 5 Conclusion and Future Work

 In this work, we propose ITER, an efficient, well- performing relation extraction model. We translate the autoregressive process of [Liu et al.](#page-8-1) into a con-stant, easily parallelizable three-step process, while

maintaining the same level of performance and in- **510** creasing model throughput, especially for longer **511** sequence lengths. Our model allows us to perform **512** any kind of structured prediction task with max- **513** imum throughput (Figure [3\)](#page-7-3) and state-of-the-art **514** performance. On ACE05, we set a new state-of- **515** the-art of 71.9 F1 and 91.9 for RE and NER. For **516** the biomedical dataset ADE, we set a new state- **517** of-the-art for NER (92.2) and RE+ (85.6). In our **518** experiments, we find that using the encoders of **519** generative T5 models can yield model performance **520** advantages over using discriminative models such **521** as BERT and ALBERT, while also outperforming **522** these models in terms of throughput. The only **523** exception to this finding is DeBERTa, where F1 524 performance is competitive (RE+) or even better **525** (NER). However, in terms of model throughput, **526** the T5 family models still outperform DeBERTa. **527** We also highlight the advantages of encoder-based **528** models over generative approaches in terms of **529** model throughput, with ITER being up to 42 times 530 faster than the autoregressive state-of-the-art model **531** ASP. To the best of our knowledge ITER is the first **532** model to successfully use only the encoder of an **533** autoregressively trained PLM in this domain, in- **534** spiring further research in this direction. **535**

One area of future work may be to develop a **536**

Figure 3: Visualization of the throughput of ITER vs. ASP (autoregressive) and PL Marker (encoder-based). A marks ITER, \vee marks PL Marker [\(Ye et al.,](#page-9-8) [2022\)](#page-8-1) and \triangleleft marks ASP [\(Liu et al.,](#page-8-1) 2022). For the visualization, we measured on ITER models of different sizes from 15 M to 410 M parameters.

Table 3: Comparing the inference throughput of various RE architectures: ITER, ASP and PL Marker. Experiments for ITER and ASP were performed on a single RTX 4090 GPU using a batch size of 64. For document level CoNLL03, a single H100 GPU was used with a batch size of 8. ITER is significantly faster in inference than ASP and PL Marker, especially when dealing with longer input lengths, such as in CoNLL03. &: Statistics for ACE05 with additional context; without, ACE05 has 25.21 tokens on avg.

 large (synthetic) dataset that allows evaluation of the expressiveness of RE models with respect to nested entities, since nested entities are a real-world problem, but existing datasets contain only a small fraction of such examples (see Table [1\)](#page-5-0). Enabling

zero- and few-shot task transfer for our pretrained **542** models without further training may be another **543** area of future work. As discussed earlier, using **544** the T5 encoder instead of BERT-style models gave **545** us equivalent training results for us and motivates **546** a more comprehensive study of the performance **547** of autoregressive, encoder-decoder models in set- **548** tings where typically encoder-based models are **549** employed. **550**

6 Limitations **⁵⁵¹**

One limitation of our model is the output of named **552** entities that are not directly contained in the input **553** text. However, out of the six datasets used in this **554** work, none contain an example where this problem **555** occurs. **556**

While the three functions is <u>left</u>, is span and 557 is_link seem very task-specific at a first glance, **558** they allow very flexible modeling of first-order re- **559** lationships between any kind of spans in all kinds **560** of span modeling tasks. This includes tasks like **561** coreference resolution and entity linking. Our refer- **562** ence implementation on GitHub^{[2](#page-7-4)} includes easy-to-
563 use scripts to apply ITER to any kind of structured **564** prediction problem. **565**

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814 **A** ITER with different PLMs

 We investigate the performance of ITER with a variety of different PLMs: T5, FLAN T5 (FT5), BART, DeBERTaV3 and ALBERT. The results can be seen in Table [4.](#page-10-4)

Table 4: Comparing the performance of ITER on ACE05 using different base models: using encoders from the autoregressive models (FLAN-)T5, BART, and the encoder-only models DeBERTa and ALBERT. Throughput was measured with $batch_size = 8$ for all models on a single H100 GPU.

819 **B** Training

820 The log-sum-exp operation $LSE : \mathbb{R}^N \to \mathbb{R}$ used **821** in the following equations is defined as:

$$
LSE_{n=1}^{N}(\mathbf{x}) = \log \sum_{n=1}^{N} \exp (\mathbf{x}_{n})
$$
 (8)

823 where $x \in \mathbb{R}^N$ is a vector of real numbers. We 824 define $\eta = #\mathbf{T}_E$ and $\varphi = #\mathbf{T}_R$ to hold the number 825 of entity and relation types. $A_n \in \mathcal{A}_n$ holds the *set* 826 *of correct actions* at position *n*. Likewise, $B_n \in \mathcal{B}_n$ **827** holds the *set of correct bracket pairings* at position **828** n.

829 During training, the model will learn to mini-**830** mize the following loss function:

$$
\mathcal{L}_{\text{ITER}} = \sum_{n=1}^{N} \sum \left[\frac{\mathcal{L}_{is_left}(n)}{\mathcal{L}_{is_span}(n)} \right] \tag{9}
$$

832 is a sum of three loss values for each position in **833** the input sequence x.

The loss for placing *left-bracket* actions \mathcal{L}_{is} $_{left}$ 834 is defined as follows: **835**

$$
\mathcal{L}_{is_left}(n) = LSE\begin{bmatrix} \gamma_n \\ 0 \end{bmatrix} - LSE\begin{bmatrix} \Gamma_n \\ \alpha * -M \end{bmatrix} (10)
$$

using the feed-forward network from Eq. [4,](#page-3-0) we 837 define **838**

$$
\gamma_n = FFN_{is_left}(h_n)
$$

\n
$$
\Gamma_n = \gamma_n + (1 - \alpha) * -M
$$

\n
$$
840
$$

\n841

] (10) **836**

(11) **850**

where $h_n \in \mathbb{R}$ is the real-valued output of the en- 842 coder model for input position $n, M \to \infty$. 843

$$
\alpha = \begin{cases} 1 & \text{iff.} \quad \mathbf{I} \in A_n \\ 0 & \text{otherwise} \end{cases}
$$

is equal to one if the model should perform a **[⁸⁴⁵** action at time step n, effectively canceling out one **846** of the terms in the above equation. Accordingly, **847** we define \mathcal{L}'_{is_span} for a pairing between positions 848 n and m : **849**

$$
\mathcal{L}'_{is_span}(n,m) = LSE\begin{bmatrix} \pi_{n,m} \\ 0 \end{bmatrix}
$$

$$
-LSE\begin{bmatrix} \Pi_{n,m} + \beta_{n,m} * -M \\ (1 - \beta_{n,m}) * -M \end{bmatrix}
$$
(11)

where $M \to \infty$, 851

$$
\pi_{n,m} = LSE_{t=1}^{\eta}(\hat{h}_{n,m,t})
$$

\n
$$
\Pi_{n,m} = LSE_{t=1}^{\eta}(\hat{h}_{n,m,t} + \Delta_{n,m,t})
$$

using the feed-forward network from Eq. [5](#page-3-1) 853

$$
\hat{h}_{n,m} = FFN_{is_span}(h_n, h_m) \in \mathbb{R}^{\eta}
$$

 $\hat{h}_{n,m}$ is a vector containing one logit per entity type 855 corresponding to whether positions n to m form a **856** span of a particular type. **857**

$$
\beta_{n,m} = \begin{cases} 0 & \text{iff. } (n,t) \in B_m \\ 1 & \text{otherwise} \end{cases}
$$

equals one iff. pairing *n* with *m* with any type is *not* a correct action at time-step m. Using Eq. [11,](#page-10-6) **860** we define \mathcal{L}_{is_span} for $\omega = 1$: $\mathcal{L}_{is_span}(n) =$ $\mathcal{L}'_{is_span}(n,m)$ where

$$
n = \max\{n \mid n \le m \land \lfloor \epsilon A_n \} \tag{863}
$$

is the closest of the preceding positions $n \leq m$ 864 where $\mathbf{r} \in A_n$. For $\omega > 1$, we define \mathcal{L}_{is_span} the 865 following: **866**

$$
\mathcal{L}_{is_span}(m) = \sum_{n \in \mathcal{N}}^{n \leq m} \mathcal{L}'_{is_span}(n, m) \qquad (12) \qquad \text{867}
$$

Table 5: Hyperparameter search results obtained with SMAC3 [\(Lindauer et al.,](#page-8-16) [2022\)](#page-8-16). The single best incumbent configuration was selected for final training on each dataset. For SciERC, we used the provided values since the found hyperparameters did yield subpar training results.

868 where $\mathcal{N} = \langle n_1 \dots n_\omega \rangle$ are the ω closest preceding **869** *left bracket actions*:

870
$$
n_i = \max\left\{j \mid j \leq m \wedge \lfloor \epsilon A_j \wedge j \notin \mathcal{N}_{
$$

871 We define

872

885

$$
\Delta_{n,m,t} = \begin{cases} 0 & \text{iff. } (m,t) \in \mathcal{B}_n, t \in \mathbf{T}_E \\ -M & \text{otherwise} \end{cases}
$$

 $(M \rightarrow \infty)$ to equal zero iff. There is a bracket pair-874 ing between the positions $n \leq m$ of type $t \in \mathbf{T}_E$, and a large negative value otherwise, effectively canceling out any interaction between n and m of type t. To minimize the loss function, the model must assign negative values to non-existent interac- tions between two positions n and n of a particular **type** t_i .

881 **Finally,** \mathcal{L}_{is_link} is defined as the binary cross **882** entropy loss function:

883
$$
\mathcal{L}_{is_link}(m) = \sum_{n=1}^{N} \sum_{i=1}^{\varphi} \begin{cases} \mu_{n,m,i} & \text{iff.} \quad \mathbf{I} \in A_n \\ 0 & \text{otherwise} \end{cases}
$$
 (13)

884 where

$$
\mu_{n,m,i} = \theta_{n,m,i} * \log(\hat{h}_{n,m,i})
$$

$$
+ (1 - \theta_{n,m,i}) * \log(1 - \hat{h}_{n,m,i})
$$

886 with the feed-forward network from Eq. [7:](#page-4-0)

$$
\hat{h} = FFN_{is_link}(h_n, h_m).
$$

888 $\theta_{n,m,i} = 1$ iff. The spans ending at positions n and 889 **m** are in relationship *i*, otherwise $\theta_{n,m,i} = 0$.

C Proofs **⁸⁹⁰**

Theorem 1. Let $\mathbf{x} \in \mathcal{V}^N$ be a sequence of tokens 891 *with* $x_N = \text{EOS}$. If $y \in \mathcal{Y}_1 \times \ldots \mathcal{Y}_M$ *is the decoded* 892 *sequence of actions, then* $M \geq N$ *holds for all* 893 $\mathbf{x} \in \mathcal{V}^{\mathbb{N}}$ ^N*.* **⁸⁹⁴**

Proof. Let a_m be the action chosen at step m , 895 $\#\text{ copy}(m) = \sum_{i=1}^{m} 1 \mathbb{1}_{\left[a_i = \text{copy}\right]}$ be the number 896 of tokens x_n that have been copied until generation 897 step *m*. Recall: generation completes at step *m* 898 when $x_{\# \text{ copy } (m)} = \text{EOS} \land a_m = \text{copy } (1)$, i.e. 899 the EOS token has been copied into the output. **900**

Let $#A(m) = m$ be the number of actions performed up until a certain point m in the output 902 sequence y of length M. It holds that **903** $#A(m) = \sum_{i=1}^{m} 1\!\!1_{a_i = \text{copy}} + \sum_{i=1}^{m} 1\!\!1_{a_i \neq \text{copy}}$ ≥ 0 ≥ 0 With that, it follows that $\#\text{ copy}(m) \leq \#A(m)$ 905 (2). Using (1) we get $\# \text{ copy } (M) = N$ and with **906** (2) we then get $N \leq #A(M) = M \implies N \leq 907$

 $M \Leftrightarrow M \ge N$ 908

D Hyperparameter Search **909**

Before training ITER with FLAN T5 (large) on **910** ACE05, CoNLL04, ADE, SciERC, CoNLL03 and **911** GENIA, we perform a hyperparameter search on **912** all datasets using SMAC3 [\(Lindauer et al.,](#page-8-16) [2022\)](#page-8-16). **913** For all datasets, we optimize for high RE+ or NER **914** F1, depending on the task. The search space con- **915** sists of learning rates $lr ∈ [1e-3, 2e-5]$, learning 916 rate schedules (*constant* or *linear*), warmup ra- **917** tio $r \in \{0.0, 0.05, 0.1, 0.2\}$ and weight decay rate **918** $wd \in [0, 0.1]$ for both the parameters of the base **919** model (T5 in our case) and the parameters above **920** that are responsible for modeling the functions **921** is_left,is_span and is_link, combined with the **922**

. **904**

batch size $bs \in \{8, 16, 32, 64\}$ and the choice of **activation function** $act \in \{GELU, ReLU, tanh\}.$ The results of this hyperparameter search can be found in Table [5.](#page-11-4)

E Pretraining ITER

 In this ablation study, we experiment with using the best performing CoNLL03 checkpoint for trans- fer learning by using it as a starting point used to train ACE05 and CoNLL04. On CoNLL04, we are able to increase the average model performance by 0.6 F1 points to 76.3 F1. Using the same strategy for ACE05 does not yield any improvement at all, performance drops by an average of 1.8 F1 points.

Table 7: Comparing CoNLL03-pretrained ITER + FT5+CONLL03 *(large)* with normal ITER versions on 3 seeds. FT5 refers to FLAN T5.

F On the Evaluation of PL Marker

 PL Marker follow [Wang et al.](#page-9-16) and imple- ment the following evaluation for symmet- ric relations in ACE05 and SciERC: Their model predicts symmetric relations twice, outputting (head, symmetric_type, tail) and (tail, symmetric_type, head) for a symmetric relation between head and tail. In their evaluation, however, this counts as two different outputs, and thus they will be weighted twice in case of either being a correct model output. Apart from our evalu- ation, where symmetric relationships are output as **a** 3-element set {head, tail, symmetric_type, } and thus a correct output is not weighted twice, we also implement the evaluation according to PL Marker and [Wang et al.](#page-9-16) and indicate results stemming from this evaluation with an asterisk (∗) in our result tables to allow a fair comparison between the two methods. This subtle change has an effect on the final performance for RE+, as can be seen in Tables [2](#page-6-0) and [6.](#page-13-0)

Table 6: Final training results for all used datasets: CoNLL04, ACE05, ADE, SciERC, CoNLL03 and GENIA. We run experiments on five seeds (three for ablation studies) and report the mean performance and the standard deviation. (∗): On the SciERC and ACE05 datasets, we implement PL Marker and [Wang et al.'](#page-9-16)s strict F1 scoring for symmetric relations to get comparable results. More information regarding this evaluation method can be found in Appendix [F.](#page-12-0)