PEMA: An Offsite-Tunable Plug-in External Memory Adaptation for Language Models

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Abstract

 Pre-trained language models (PLMs) show im- pressive performance in various downstream NLP tasks. However, pre-training large lan- guage models demands substantial memory and training compute. Furthermore, due to the sub- stantial resources required, many PLM weights are confidential. Consequently, users are com- pelled to share their data with model owners for fine-tuning specific tasks. To overcome the lim- itations, we introduce Plug-in External Mem- ory Adaptation (PEMA), a Parameter-Efficient Fine-Tuning (PEFT) method, enabling PLM fine-tuning without requiring access to all the weights. PEMA integrates with context rep-**resentations from test data during inference** to perform downstream tasks. It uses external memory to store PLM-generated context rep- resentations mapped with target tokens. Our method utilizes LoRA-based weight matrices in the PLM's final layer to enhance efficiency. Our approach also includes Gradual Unrolling, a novel interpolation strategy to improve gen- eration quality. We validate PEMA's effective- ness through experiments on syntactic and real datasets for machine translation and style trans-**fer. Our findings show that PEMA outperforms** other PEFT approaches in memory and latency efficiency for training, and also excels in main- taining sentence meaning and generating appro-priate language and styles.

1 Introduction

 Pre-trained language models (PLMs) are widely used in downstream NLP tasks [\(Devlin et al.,](#page-8-0) [2019a\)](#page-8-0). Recent developments in large language models have shown remarkable performance in [z](#page-8-1)ero-shot and few-shot learning scenarios [\(Brown](#page-8-1) [et al.,](#page-8-1) [2020;](#page-8-1) [Hendy et al.,](#page-8-2) [2023;](#page-8-2) [OpenAI,](#page-9-0) [2023b;](#page-9-0) [Anil et al.,](#page-8-3) [2023;](#page-8-3) [Chowdhery et al.,](#page-8-4) [2022\)](#page-8-4). How- ever, fine-tuning is still required to optimize the performance of the NLP tasks such as machine translation [\(Üstün and Cooper Stickland,](#page-10-0) [2022;](#page-10-0)

(c) PEMA inference phase

Figure 1: A motivation for PEMA. (a) The data owners who want to fine-tune PLMs encounter a problem when the PLM owner refuses to share all the weights of the PLM. (b) In the PEMA training phase, the data owner takes a CR from the PLM owner by providing a context prompt. They subsequently train their PEMA model with their dataset. (c) At inference, the data owner takes a CR for test data from the PLM owner. Using Gradual Unrolling (GU), they generate the next-token by interpolating between PEMA and PLM next-token probabilities.

[Huang et al.,](#page-9-1) [2020;](#page-9-1) [Ding et al.,](#page-8-5) [2022\)](#page-8-5). The most **042** straightforward approach to fine-tuning is full fine- **043** tuning [\(Raffel et al.,](#page-10-1) [2020;](#page-10-1) [Qiu et al.,](#page-10-2) [2020\)](#page-10-2), which **044** involves fine-tuning all parameters in a PLM. Yet, **045** this approach requires substantial resources regard- **046** ing memory and training compute [\(Iyer et al.,](#page-9-2) [2022;](#page-9-2) **047** [Zhang et al.,](#page-10-3) [2022;](#page-10-3) [Touvron et al.,](#page-10-4) [2023\)](#page-10-4). To over- **048** come this limitation, researchers have proposed **049** Parameter-Efficient Fine-Tuning (PEFT) methods **050**

 to fine-tune a full model efficiently. Adapter tun- [i](#page-9-4)ng [\(Pfeiffer et al.,](#page-9-3) [2021;](#page-9-3) [He et al.,](#page-8-6) [2021;](#page-8-6) [Houlsby](#page-9-4) [et al.,](#page-9-4) [2019\)](#page-9-4) utilizes small, additional parameters known as adapters inserted between layers within a PLM. On the other hand, LoRA [\(Hu et al.,](#page-9-5) [2022\)](#page-9-5) uses trainable low-rank matrices that incrementally update the pre-trained weights. These fine-tuning methods require access to all the weights of PLMs.

 However, proprietary PLMs such as Chat- GPT [\(OpenAI,](#page-9-6) [2022\)](#page-9-6), Bard [\(Pichai,](#page-9-7) [2023\)](#page-9-7), and Claude [\(AnthropicAI,](#page-8-7) [2023\)](#page-8-7) are confidential. Hence, the owners of these PLMs do not reveal all the model weights. Consequently, data owners possessing their datasets and wishing to fine-tune proprietary PLMs for specific downstream tasks must provide their datasets to the PLM owners for fine-tuning [\(OpenAI,](#page-9-8) [2023a\)](#page-9-8). However, this pro- cess can be challenging due to the confidential na- ture of the datasets, which may involve privacy con- cerns [\(Guinney and Saez-Rodriguez,](#page-8-8) [2018\)](#page-8-8). Fig- ure [1a](#page-0-0) shows problems for fine-tuning proprietary PLMs. To overcome this situation, [\(Xiao et al.,](#page-10-5) [2023\)](#page-10-5) proposes the offsite-tuning approach that uses one-third of the middle layers of a PLM, re- ferred to as the emulator. Nevertheless, this ap- proach still needs a large parameter size, and com- pressing the full model into an emulator requires a computationally intensive distillation process.

 To address the challenges mentioned above, we introduce a novel PEFT method named Plug-in External Memory Adaptation (PEMA) designed for efficient fine-tuning of proprietary PLMs in machine translation tasks. PEMA utilizes LoRA- based weight matrices designed for learning down- stream tasks with accessible features provided by OpenAI API [\(OpenAI,](#page-9-6) [2022\)](#page-9-6) and minimal part of PLM's weight (language model head).

 In the training phase, the data owner begins the process by providing a prompt with initial input to the PLM owner, which includes an instruction and a source sentence from a parallel corpus. The PLM owner receives this initial input to generate a context representation and predict the next-token. Then, it iteratively processes subsequent inputs con- taining the predicted next-tokens. This approach avoids the need for the full dataset from the data owner. Throughout this process, the data owner builds an external memory comprised of context representations and corresponding desired target tokens. They train PEMA by reconstructing the stored context representations and predicting target tokens based on these representations. Figure [1b](#page-0-0)

shows the training phase process of PEMA. **103**

During the inference phase, the data owner uses **104** a prompt to request a context representation for **105** test data from the PLM owner. The PLM owner **106** then outputs a context representation and a next- **107** token probability given the prompt. PEMA also **108** outputs a next-token probability based on a con- **109** text representation. These probabilities are interpo- **110** lated to compute a final next-token probability. We **111** propose Gradual Unrolling (GU), an interpolation **112** strategy that initially emphasizes PEMA's distri- **113** bution, gradually shifts to the PLM's context-based **114** predictions as the sentence progresses. Figure [1c](#page-0-0) **115** illustrates the inference phase process of PEMA. **116**

We evaluate PEMA by comparing it with other 117 PEFT methods. PEMA shows better resource ef- **118** ficiency, consuming less GPU memory and run- **119** ning faster. Additionally, PEMA outperforms other **120** baselines in translating English sentences into Ger- **121** man and paraphrasing informal sentences into for- **122** mal ones while preserving the original meaning. **123** Lastly, we conduct ablation studies to assess the ef- **124** fectiveness of each component of PEMA. PEMA **125** is publicly available for further exploration into **126** offsite-tunable efficient fine-tuning.[1](#page-1-0)

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2 Related Work **¹²⁸**

2.1 Parameter-Efficient Fine-Tuning **129**

Parameter-Efficient Fine-Tuning aims to fine-tune **130** PLMs to address resource constraints in memory **131** [a](#page-10-3)nd training compute. [\(Iyer et al.,](#page-9-2) [2022;](#page-9-2) [Zhang](#page-10-3) **132** [et al.,](#page-10-3) [2022;](#page-10-3) [Touvron et al.,](#page-10-4) [2023\)](#page-10-4). Several ap- **133** proaches have been proposed to overcome this lim- **134** [i](#page-8-6)tation. Adapter tuning [\(Pfeiffer et al.,](#page-9-3) [2021;](#page-9-3) [He](#page-8-6) **135** [et al.,](#page-8-6) [2021;](#page-8-6) [Houlsby et al.,](#page-9-4) [2019\)](#page-9-4) inserts small **136** parameters, known as adapters, between layers **137** [w](#page-9-9)ithin a PLM. Prefix and Prompt tuning [\(Li and](#page-9-9) 138 [Liang,](#page-9-9) [2021;](#page-9-9) [Liu et al.,](#page-9-10) [2021;](#page-9-10) [Lester et al.,](#page-9-11) [2021\)](#page-9-11) **139** incorporate additional trainable prefix tokens to a **140** PLM's input or hidden layers. Low-Rank Adap- **141** tation (LoRA) [\(Hu et al.,](#page-9-5) [2022\)](#page-9-5) uses trainable **142** low-rank matrices, denoted as B and A, that in- **143** crementally update PLM weights. B and A are **144** reduced to a low-rank r. This adaptation can be **145** mathematically represented as transitioning from **146** $h = W_0x$ to $h = W_0x + \Delta Wx = W_0x + BAx$, 147 where $W_0 \in \mathbb{R}^{k \times d}$, $B \in \mathbb{R}^{k \times r}$, and $A \in \mathbb{R}^{r \times d}$ UniPELT [\(Mao et al.,](#page-9-12) [2022\)](#page-9-12) combines multiple **149** PEFT methods, using a gating mechanism to acti- **150** vate the most suitable components for given data or **151**

¹The Github repository link will be provided after review.

152 tasks. We propose a novel adaptation method that **153** leverages LoRA parameters and is offsite-tunable.

154 2.2 k-Nearest Neighbors Language Model

 The k-Nearest Neighbors Language Model (kNN- LM) estimates the next-token distribution by in- terpolating the output distributions from a pre-158 trained language model (P_{LM}), and an external memory (P_{kNN}) [\(Khandelwal et al.,](#page-9-13) [2020\)](#page-9-13). The memory is used to perform a kNN search and to integrate out-of-domain data, thereby enabling a single language model to be adaptive across var- ious domains. Given a context represented as a sequence of tokens $c_i = (w_1, ..., w_{i-1})$, the kNN-**LM** utilizes a pre-trained language model $f(\cdot)$ to **generate a context representation** $f(c_i)$. This rep- resentation is then paired with the desired target 168 token y_i to create the external memory (referred to as a datastore in [\(Khandelwal et al.,](#page-9-13) [2020\)](#page-9-13)) $\{(f(c_i), y_i)| (c_i, y_i) \in \mathcal{E}\}\$ from the training dataset ϵ . The next-token distribution from the external 172 memory, P_{kNN} , is computed using a k-nearest 173 neighborhood approach with the squared L^2 dis- tance. The final next-token distribution is then ob-175 tained by interpolating between P_{kNN} and P_{LM} as: $P(y_i|c_i) = \lambda P_{kNN}(y_i|c_i) + (1-\lambda)P_{LM}(y_i|c_i).$

 We adapt the concept of external memory and interpolation of different next-token distributions to PEMA. Instead of employing a kNN-based ap- proach, we employ a neural network-based model that directly learns to estimate the next-token, which is more effective in mitigating overfitting to the training data. Additionally, we use the Grad- ual Unrolling interpolation strategy to enhance the quality of interpolation. The kNN-LM method re- lies on kNN for external memory search to adapt the language model to diverse domains. However, it is well known that the non-parametric model kNN can potentially overfit. Therefore, it often requires a large amount of training data. To address this, we introduce a parametric approach within PEMA to improve its performance on downstream tasks. This approach is better suited for limited training data scenarios. It involves replacing the existing kNN with a parametric model in PEMA, thus enabling effective adaptation to various domains in terms of performance.

¹⁹⁸ 3 Plug-in External Memory Adaptation

199 This section describes Plug-in External Memory **200** Adaptation (PEMA), which aims to fine-tune a pre-trained language model without requiring a full **201** model during training. PEMA is integrated into **202** the language model during inference to facilitate **203** downstream NLP tasks. It uses external memory **204** to build a context representation $f(c_i)$, mapped 205 with the desired target token y_i . Using the exter- 206 nal memory, we train PEMA in two phases. The **207** first phase involves reconstruction training to re- **208** construct $f(c_i)$ with $B_{rct}A$, resulting in the output 209 of a reconstruction loss. Subsequently, the joint **210** retraining phase focuses on generating the next- **211** token probability P_{PEMA} that predicts target token 212 y_i given $Af(c_i)$ with B_{pd} . Simultaneously, it uses 213 pre-trained B_{rct} to retain the original feature $f(c_i)$. 214 During the inference stage, the next-token probabil- **215** ities from both the pre-trained generative language **216** model P_{LM} and PEMA P_{PEMA} are interpolated 217 to generate the next-token. Figure [2](#page-3-0) shows the struc- **218** ture of PEMA. **219**

3.1 Building an External Memory **220**

The first step of PEMA is to build an external mem- **221** ory. The output $f(c_i)$ represents a context representation obtained from the final layer's feed-forward **223** network output of a pre-trained language model. **224**

For the *i*-th token training example in external 225 memory $(c_i, y_i) \in \mathcal{E}$, a paired representation is 226 created by defining an input prompt c_1 and a cor- 227 responding target token sequence. Predicted to- **228** ken sequences are generated by sequentially ex- **229** tending the input prompt. \bullet Initially, the input 230 prompt c_1 is fed into the pre-trained language 231 model, resulting in the predicted next-token \hat{w}_1 232 and **2** the corresponding context representation 233 $f(c_1)$. **3** Including \hat{w}_1 in the input prompt ex- 234 tends it to the next context $c_2 = \{c_1, \hat{w}_1\}$, subsequently producing the next predicted token \hat{w}_2 236 and its context representation $f(c_2)$. This iterative 237 process yields a sequence of context representa- **238** tions $(f(c_1), f(c_2), ..., f(c_t = \{c_1, \hat{w}_1, ..., \hat{w}_{t-1}\})$ 239 for training, with each context c_i corresponding to 240 the *i*-th position in the token sequence and t denoting the total number of tokens in a token sequence **242** of one sentence training example. **243**

We map the context representation $f(c_i) \in$ 244 $\mathbb{R}^{1 \times d}$, where d is the size of the context repre- 245 sentation with the target token y_i , resulting in the 246 pair $(f(c_i), y_i)$. The external memory $(f(C), Y)$ 247 is formed by collecting all such context and token **248** pairs constructed from the training set $\mathcal E$ as below: 249

$$
(f(C), Y) = \{ (f(c_i), y_i) | (c_i, y_i) \in \mathcal{E} \} \quad (1) \tag{250}
$$

Figure 2: An illustration of PEMA. The areas of the PLM owner and the data owner are separated by the blue horizontal line. The data owner can train and infer using only the PLM's LM head. PEMA builds an external memory from the training context with an instruction $[Inst]$ given to a PLM. The PLM outputs the representation $f(c_i)$ and predicts the next-token distribution $P_{LM}(\hat{w}_i)$. The representation $f(c_i)$ is then aligned with its target y_i . In the training phase, PEMA uses external memory for two tasks: preserving the original representation via reconstruction training with B_{rct} and generating a target token probability distribution using B_{pd} . For inference, the model inputs a test data representation to generate two probability distributions: $P_{LM}(\hat{w}_i)$ and $P_{PEMA}(\hat{w}_i)$. These are then interpolated using Gradual Unrolling to obtain the final token distribution.

251 3.2 PEMA Adaptation Model

 We incorporate LoRA [\(Hu et al.,](#page-9-5) [2022\)](#page-9-5), a low-rank parameterization adaptation known for its effective- ness in various adaptation tasks, into PEMA for adapting to multiple text generation tasks.

 The PEMA consists of three weight matrices: $A \in \mathbb{R}^{r \times d}$, $B_{rct} \in \mathbb{R}^{d \times r}$, and $B_{pd} \in \mathbb{R}^{d \times r}$ where d is the size of the context representation and r 259 is a rank-size that $r < d$. Given $Af(c_i)$ where $f(c_i) \in \mathbb{R}^{1 \times d}$, B_{rct} is used to reconstruct the con-261 text representation input $f(c_i)$, with the goal of **approximating** $h_{rcti} \approx f(c_i)$, Additionally, B_{pd} 263 is used to produce a representation h_{pd_i} that max- imizes target token prediction when fed into the frozen weight of a language model head (LM head) $W_{hd} \in \mathbb{R}^{v \times d}$ where v is the vocabulary size that **butter** outputs the predicted next-token \hat{w}_i .

$$
h_{rcti} = \Delta W_{rct} f(c_i) = B_{rct} f(c_i)
$$

\n
$$
h_{pdi} = \Delta W_{pd} f(c_i) = B_{pd} f(c_i)
$$
 (2)
\n
$$
P_{PEMA}(\hat{w}_i|c_i) = \text{softmax}(W_{hd} h_{pd_i})
$$

269 3.3 Model Training

270 The training process consists of two distinct phases: **271** initial reconstruction training to preserve the general knowledge within the context representation of **272** PLM and subsequent joint retraining, encompass- **273** ing both the reconstruction of context representa- **274** tions and the prediction of next-tokens. **275**

Initial Reconstruction Training. First, we train **276** the decoder B_{rct} by reconstructing the *i*-th original 277 context representation of the n-th sentence training **278** example $f(c_i)^n$. We use a mean-square error loss 279 between original input $f(c_i)^n$ and the output h_{rcti}^n as below: **281**

$$
\mathcal{L}_{rct} = \frac{1}{|\mathcal{E}|} \sum_{n=1}^{|\mathcal{E}|} \sum_{i=1}^{t_n} (f(c_i)^n - h_{rct_i}^n)^2 \qquad (3)
$$

280

(3) **282**

where t_n is the number of tokens in a token se- **283** quence of n-th sentence training example and $|\mathcal{E}|$ 284 is the size of the training dataset. **285**

Joint Retraining After completing the initial re- **286** construction training, we proceed to the joint re- **287** training phase, using the pre-trained B_{rct} and ran- 288 domly initialized A. Our first objective is to acquire **289** a representation $h_{pd_i}^n$ that is optimized for predict-
290 ing the target token y_i^n . We utilize a cross-entropy 291 loss based on the softmax function of the output of **292**

293 $W_{hd}h_{pd_i}^n$ given the target token y_i^n as below:

294
$$
\mathcal{L}_{pd} = -\frac{1}{|\mathcal{E}|} \sum_{n=1}^{|\mathcal{E}|} \sum_{i=1}^{t_n} y_i^n \log P_{PEMA}(y_i^n|W_{hd}h_{pd_i}^n) \quad (4)
$$

 The second objective is to reconstruct the input con-296 text representation x_i using the randomly initial-297 ized A and pre-trained B_{rct} with the reconstruction loss function as depicted in Equation [3.](#page-3-1) The recon- struction loss intends to retain the general knowl- edge obtained from the pre-trained language model while maximizing the target token prediction. We 302 introduce a parameter κ that can be fine-tuned to adjust the emphasis on the objectives as below:

$$
304 \qquad \mathcal{L}_{total} = \kappa \mathcal{L}_{rct} + (1 - \kappa) \mathcal{L}_{pd} \qquad (5)
$$

305 3.4 Model Inference

To generate the next-token \hat{w} , we exclude B_{rct} and 307 use B_{nd} and A. The PLM receives the input con-308 text x from the test dataset, and generates $f(x)$, which serves as input for two pathways. One path-310 way uses $PEMA's$ A and B_{pd} to create h_{pd} for x . Subsequently, it is passed through W_{hd} to pro-312 duce a distribution of the next-token $P_{PEMA}(\hat{w}|x)$. The other pathway directly feeds r into Whd to **produce the next-token distribution** $P_{LM}(\hat{w}|x)$. Fi- nally, these two distributions are blended using a **tuned parameter** λ to produce the final distribution of tokens for the desired task as below:

$$
P(\hat{w}|x) = \lambda P_{PEMA}(\hat{w}|x) + (1 - \lambda)P_{LM}(\hat{w}|x) \quad (6)
$$

³¹⁹ 4 Gradual Unrolling Interpolation

 Given that an adaptation model trained with only a limited number of parameters may lack the context- awareness and language-generation capabilities of pre-trained language models, it is more effective to use the adaptation model to guide the genera- tion of tokens of the desired task at the beginning of the sentence, and rely on a pre-trained language model to provide context for the rest of the sentence. To achieve this, we suggest the Gradual Unrolling **strategy, which aims for strong** $P_{PEMA}(\hat{w}|x)$ in- terpolation at the beginning of generation and grad- ually decreases the interpolation. As the sentence progresses, the pre-trained language model increas- ingly contributes to providing the necessary con-text, as shown in Figure [3.](#page-4-0)

 In the context of sentence generation, we de- fine SL as the input sentence length, excluding **instruction and user-defined variables** λ_{max} . λ rep-resents the proportion of the adaptation model's

Figure 3: The intuition of Gradual Unrolling. Given the input sentence (Black), the interpolation percentage of the adaptation model (Blue) decreases gradually while that of the language model (Red) increases as the sentence is being generated. This strategy ensures that the adaptation model generates tokens trained for the desired task at the beginning of the sentence, and the language model provides the necessary context in the remaining part of the sentence.

interpolation ($0 \le \lambda \le 1$). We also have the de- 339 pendent variables of the current step (CS) and **340** the step size (SS). The step size is computed as **341** $SS = \lambda_{max}/SL$, and CS is initialized to λ_{max} 342 at the start of sentence generation. At each token **343** generation step, CS decreases by SS until the end **344** of the sentence (i.e., $CS_{cur} = CS_{past} - SS$ where 345 CS_{past} is the latest token's CS variable). Then, we 346 calculate the current interpolation proportion λ_{cur} 347 $(i.e., \lambda \text{ at Equation 6}) \text{ as } \lambda_{cur} = CS_{cur}^2.$ 348

5 Experiments **³⁴⁹**

This section describes the experiments and re- **350** sults to show both the computational efficiency 351 and performance in downstream tasks of PEMA. **352** First, we perform an experiment on the compu-
353 tational efficiency of PEMA. Subsequently, we **354** evaluate PEMA across two downstream tasks: the **355** [W](#page-9-14)MT22 EN→DE machine translation task [\(Kocmi](#page-9-14) **356** [et al.,](#page-9-14) [2022\)](#page-9-14) and the GYAFC formal style transfer **357** task [\(Rao and Tetreault,](#page-10-6) [2018\)](#page-10-6). Lastly, we conduct **358** an ablation study to show the gradual improvement **359** by incorporating each idea of PEMA. **360**

5.1 Computational Efficiency **361**

To evaluate the computational efficiency of PEMA, **362** we conduct a comparison of different fine-tuning **363** methods based on their resource utilization dur- **364** ing both training and inference. We follow the ap- **365** proach of previous work [\(Pope et al.,](#page-9-15) [2023\)](#page-9-15) that **366**

 employs a fixed size of input tensors. We use in- put tensors with the size [1, 10], equivalent to se- quences of 10 tokens with OPT-IML-MAX-1.3B. The resource utilization metrics encompass training memory consumption, training latency, inference memory consumption, inference latency, and float-ing point operations per token.

 The evaluation involves several steps. First, we clear the CUDA cache to compute the mem- ory and ensure no background GPU processes. GPU memory utilization is determined using the memory_summary function provided by Py- torch [\(Paszke et al.,](#page-9-16) [2019\)](#page-9-16). We calculate the time difference before inputting the data into the model and after obtaining the output. For training latency, we consider the time encompassing the entire back- propagation process. To ensure the accuracy of la- tency, we compute the mean and variance based on ten trials of inputs for each fine-tuning method. We conducted a comparative analysis with the offsite- [t](#page-10-5)uning baseline approach, Offsite-Tuning [\(Xiao](#page-10-5) [et al.,](#page-10-5) [2023\)](#page-10-5). Offsite-Tuning involves knowledge distillation (OT Emulator) and downstream task training using the OT Emulator (OT Plug-in). Sub- sequently, it utilizes the OT Plug-in to interact with the PLM during the inference phase.

 As shown in Table [1,](#page-5-0) PEMA demonstrates the efficiency by utilizing one-tenth of the training memory consumption compared to LoRA. In ad- dition, PEMA shows the fastest training latency among all the methods. This is because PEMA uses external memory to store context representa- tions and does not require access to a pre-trained language model during the training phase, as il- lustrated in Figure [2.](#page-3-0) These results highlight the significance of PEMA's reduced training memory consumption and improved training latency, mak- ing it an appealing choice for efficient natural lan-guage generation tasks.

406 5.2 Performance of Downstream Tasks

 We present a comprehensive analysis of the per- formance of PEMA and baseline models on two downstream tasks: the WMT22 (EN→DE) transla- tion task and the GYAFC task involving Family & Relationships and Entertainment & Music.

 For the machine translation task, we use the EN→DE news-commentary dataset to address the limitation noted in [\(Brown et al.,](#page-8-1) [2020\)](#page-8-1), where translations into English tend to be stronger than those from English due to training set biases. We evaluate our model using the latest test set provided

Table 1: Comparison of various training and inference resource utilization methods with OPT-IML-MAX-1.3B. We evaluate memory consumption (MC) and latency (Lat) for training (Tr) and inference (Inf), as well as FLOPs per token, using 10-token length sequences. Memory size is measured in megabytes, and latency is measured in milliseconds. PEMA stands out by using only one-tenth of the training memory utilized by LoRA. Furthermore, PEMA demonstrates the fastest training latency among the methods.

by [\(Hendy et al.,](#page-8-2) [2023\)](#page-8-2). **418**

For the formality style transfer task, we use the **419** GYAFC dataset [\(Rao and Tetreault,](#page-10-6) [2018\)](#page-10-6), which **420** consists of a parallel training set of informal and **421** formal sentences. The test set comprises four refer- **422** ence sentences paired with one informal sentence. **423** In this task, our objective is to transfer the style of **424** informal sentences into formal ones. **425**

We use three pre-trained language models: **426** OPT-IML-MAX-1.3B, LLaMA-7B, and OPT-IML- **427** MAX-30B [\(Iyer et al.,](#page-9-2) [2022;](#page-9-2) [Touvron et al.,](#page-10-4) [2023\)](#page-10-4). **428** We compare PEMA with the following methods: **429** Full fine-tuning (FT) updates all pre-trained **430** model parameters, including weights and biases. **431** Fine-tuning top-2 (FT-Top2) updates the last two **432** layers while the remaining layers are frozen. **433**

k-Nearest Neighbors Language Model (kNN- **434** LM) [\(Khandelwal et al.,](#page-9-13) [2020\)](#page-9-13) uses kNN search **435** within an external memory to derive a next-token **436** distribution P_{kNN} , which is then interpolated with 437 PLM to produce an adapted next-token distribution. **⁴³⁸** LoRA [\(Hu et al.,](#page-9-5) [2022\)](#page-9-5) uses two additional train- **439** able matrices. We apply LoRA at the last layer out- **440** put projection matrices in the self-attention module. **441** UniPELT [\(Mao et al.,](#page-9-12) [2022\)](#page-9-12) is a state-of-the- **442** art PEFT method that combines Adapter tun- **443** [i](#page-9-9)ng [\(Houlsby et al.,](#page-9-4) [2019\)](#page-9-4), Prefix tuning [\(Li and](#page-9-9) **444** [Liang,](#page-9-9) [2021\)](#page-9-9), and LoRA [\(Hu et al.,](#page-9-5) [2022\)](#page-9-5) with a **445** gating mechanism to select the optimal approaches. **446** We apply UniPELT at the last layer. 447

Offsite-Tuning [\(Xiao et al.,](#page-10-5) [2023\)](#page-10-5) is an offsite- **448** tunable method that uses a distilled PLM emulator **449** with an adapter, which includes multiple copies at 450

Table 2: Comparison of various models across different tasks. The evaluated tasks include WMT22 (EN→DE) translation and GYAFC Family & Relationships (F&R) and GYAFC Entertainment & Music (E&M) style transfer. The models considered for evaluation are OPT-IML-MAX-1.3B, LLaMA-7B, and OPT-IML-MAX-30B, each with specific adaptations and configurations.

451 the PLM's beginning and end. We use four adapter **452** layers for training and inference.

453 We use widely used evaluation metrics to assess **454** the performance of PEMA as follows:

 Sacre-Bleu (sBLEU) [\(Post,](#page-9-17) [2018\)](#page-9-17) is a commonly used metric to calculate the n-gram accuracy be- tween the source and target sentences. It evalu- ates how well the generated sentence preserves the meaning of the reference and captures target do-main distribution. Higher scores are better.

 Perplexity (PPL) [\(Jelinek et al.,](#page-9-18) [1977\)](#page-9-18) is to as- sess the fluency of generated sentences. We use pre-trained GPT-2 large [\(Radford et al.,](#page-10-7) [2019\)](#page-10-7) to calculate the exponential of the negative log- likelihood of a current token given the previous context. Lower scores are better.

 COMET [\(Rei et al.,](#page-10-8) [2020\)](#page-10-8) is a neural network- based metric for assessing machine translation qual- ity. It shows a positive correlation with human judg- ments. We utilize the default, pre-trained COMET 471 model^{[2](#page-6-0)} for the WMT22. Higher scores are better. Formality Improvement (FormImp) measure for- [m](#page-8-9)ality improvement based on XFORMAL [\(Bri-](#page-8-9) [akou et al.,](#page-8-9) [2021a\)](#page-8-9). To measure the formality score of a sentence, we train a BERT-Large [\(Devlin et al.,](#page-8-10) [2019b\)](#page-8-10) on an external formality dataset consist- [i](#page-9-19)ng of 4K human-annotated examples [\(Pavlick and](#page-9-19) [Tetreault,](#page-9-19) [2016\)](#page-9-19). We compute the formality score for each formal reference sentence (F R), informal

input sentence (II) , and generated sentence (G) . 480 Then, we measure the relative distance using the **481** formula: $\frac{G}{FR - II} \times 100$. We employ this metric for **482** the GYAFC task. Higher scores are better. **483**

5.2.1 Results **484**

For the WMT22 (EN→DE) translation task, we **485** evaluated sBLEU, PPL, and COMET metrics. As **486** Table [2](#page-6-1) shows, PEMA outperforms baselines in **487** sBLEU and COMET. Offsite-Tuninig, LoRA, and **488** UniPELT perform slightly better than a naive pre- **489** trained language model and PEMA in terms of **490** PPL. However, they require more memory con- **491** sumption for training than PEMA. Finally, PEMA 492 generates more appropriate translated sentences **493** than other baselines for sBLEU with relatively **494** small memory consumption. **495**

For the GYAFC style transfer task, we evalu- **496** ated sBLEU, PPL, and Formality Improvement **497** (FormImp) metrics. As Table [2](#page-6-1) shows, PEMA con- **498** sistently achieves favorable performance. PEMA **499** shows the highest sBLEU scores, effectively main- **500** taining meaning preservation across different do- **501** mains and models. PEMA performs slightly better **502** than a naive pre-trained language model and is com- **503** parable to other baselines in terms of FormImp. Fur- **504** thermore, we observe a trade-off between sBLEU **505** and formality. These findings support previous ob- **506** servations in the same formality style transfer task 507 with multilingual formality [\(Briakou et al.,](#page-8-11) [2021b\)](#page-8-11). **508**

² <https://github.com/Unbabel/COMET>

WMT22 $(EN\rightarrow DE)$	sBLEU	PPI.	COMET
OPT-30B	18.22	45.81	77.41
OPT-30B+ B_{nd}	18.74	48.05	77.76
OPT-30B+ B_{pd} + GU	19.17	48.60	78.57
OPT-30B+ B_{pd} + GU + B_{rct} (PEMA)	19.22	46.62	79.21
GYAFC (F&R)	sBLEU	PPI.	FormImp
OPT-30B	60.41	20.04	29.33
OPT-30B+ B_{nd}	70.00	20.38	47.38
OPT-30B+ B_{pd} + GU	70.29	16.95	51.24
OPT-30B+ B_{nd} + GU + B_{rct} (PEMA)	70.84	22.04	52.35
GYAFC (E&M)	sBLEU	PPI.	FormImp
OPT-30B	57.60	21.97	23.88
OPT-30B+ B_{nd}	64.37	26.76	38.80
OPT-30B+ B_{pd} + GU	64.82	25.62	42.61
OPT-30B+ B_{nd} + GU + B_{rct} (PEMA)	65.43	25.53	44.63

Table 3: Ablation results of PEMA over our proposed approaches. The techniques include a token prediction decoder (B_{pd}) , Gradual Unrolling (GU) , and a reconstruction decoder (B_{rct}) . We use OPT-IML-MAX-30B as a baseline. Implementing all techniques together enhances overall performance.

Table 4: Impact of Gradual Unrolling (GU) on perplexity across different λ/λ_{max} values. Using GU consistently outperforms the approach without GU for all λ/λ_{max} values, ranging from 0.1 to 0.9.

509 5.3 Ablation Study

 To assess the effectiveness of PEMA, we conduct ablation studies to demonstrate the incremental im- provement achieved by incorporating each com- ponent of PEMA. We utilize a token prediction decoder (B_{pd}) to predict the target token based on the context representation obtained from the pre-trained language model. As shown in Table [3,](#page-7-0) the token prediction decoder enhances task perfor- mance. Building on this, we incorporated Gradual Unrolling (GU) and the Reconstruction Decoder (B_{rct}) to further improve performance. The inclu- sion of these three methods yields the highest per-formance gains, as shown in the results.

 Interpolation Parameter (λ_{max}) We propose the Gradual Unrolling (GU) interpolation strategy, where PEMA initially guides the generation of a new task and subsequently leverages the language model for contextual completion of sentences. Ta- ble [3](#page-7-0) shows the effectiveness of GU in enhancing performance by enabling the language model to provide context completion. We further compare 531 with and without GU by adjusting the λ_{max} hy- perparameter in the WMT22 task. As shown in Figure [4,](#page-7-1) with GU maintains better performance

Figure 4: Performance variations on the WMT22 task with interpolation values λ_{max} (left) and κ (right). For λ_{max} , using Gradual Unrolling (GU) prevents performance degradation and enhances results, unlike without GU, where performance drops sharply. With κ when λ_{max} is set at 0.7, combining reconstruction loss with next-token prediction loss improves performance over excluding reconstruction loss (red dotted line), as indicated by better results when κ is above zero.

stability at higher λ_{max} values while achieving no- 534 ticeable performance improvement over without **535** GU. We also report details on the impact of in- **536** corporating λ_{max} in Figure [5](#page-13-0) in the appendix. Ad- 537 ditionally, we conduct an experiment to measure **538** perplexity. Table [4](#page-7-2) shows that GU consistently out- **539** performs across λ/λ_{max} values from 0.1 to 0.9. **540 Interpolation Parameter** (κ) We investigate the 541 effectiveness of the reconstruction decoder, which **542** reconstructs the original vector $f(c_i)$. Table [3](#page-7-0) and 543 Figure [4](#page-7-1) demonstrate that incorporating the recon- 544 struction decoder improves performance across de- **545** sired tasks, demonstrating its efficacy in enhancing 546 generation quality. We also report details on the im- **547** pact of incorporating κ in Figure [6](#page-13-1) in the appendix. 548

6 Conclusion **⁵⁴⁹**

In this paper, we present PEMA, a novel parameter- **550** efficient fine-tuning approach for language mod- **551** els. Unlike existing PEFT methods, PEMA utilizes **552** minimal pre-trained model parameters during train- **553** ing, making it an efficient and adaptable method **554** for offsite-tuning. PEMA includes a token predic- **555** tion decoder, Gradual Unrolling, and a reconstruc- **556** tion decoder to improve model performance. Our **557** comprehensive evaluations on translation and style **558** transfer tasks demonstrate PEMA's effectiveness **559** in generating text that more closely follows target **560** domain distributions. Additionally, PEMA proves **561** its computational efficiency by utilizing minimal **562** training memory and achieving faster training la- **563** tency with a syntactic dataset. Overall, PEMA of- **564** fers efficient fine-tuning and presents a promising **565** direction for an offsite-tunable PEFT approach in **566** downstream NLP tasks. **567**

⁵⁶⁸ Limitations

 PEMA introduces a novel Parameter-Efficient Fine-Tuning (PEFT) method for privacy-preserving offsite-tuning. However, this process requires data owners to share predicted next-tokens with PLM owners during inference, which raises potential pri- vacy concerns. These concerns necessitate further investigation of effective mitigation strategies.

Additionally, sharing the W_{hd} weight between PLM owners and data owners poses challenges re- lated to model privacy. In our experiments, we used open-source PLMs due to the confidentiality issues associated with proprietary PLMs. Our future work will explore enabling data owners to generate a new Language Model (LM) head using a shared tokenizer from the PLM owner, enhancing privacy between the PLM and the data owner.

 Finally, through PEMA, data and PLM owners can fine-tune efficiently and effectively with mini- mal communication. However, the way data own- ers use PEMA could unintentionally lead to data leakage issues. Subsequent research will explore solutions to address this challenge.

 While our research has been focused on machine translation tasks, it can be applied to various NLP tasks depending on the initial input. Consequently, future studies will investigate the application of our method across a range of NLP tasks.

⁵⁹⁶ Ethics Statement

 The results of our research are based on existing studies, and all generation models and datasets used are publicly available and used for their intended use with no ethical concerns.

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A Performance on Different Rank Sizes **⁸⁴⁸**

Table 5: Experiment on LoRA and PEMA on meaning preservation (sBLEU) across rank variations ($r =$ {8, 512}). The result shows PEMA consistently outperforms LoRA on sBLEU and COMET.

LoRA [\(Hu et al.,](#page-9-5) [2022\)](#page-9-5) states performance re- **849** mains comparable with a small rank size. However, **850** AdaLoRA [\(Zhang et al.,](#page-10-9) [2023\)](#page-10-9) finds a large rank 851 size in the last layer of PLMs is needed for better **852** performance. Performance evaluation on PEMA **853** and baseline PEFT methods is conducted at the last **854** layer of PLMs. For this reason, we set $r = 512$ 855 for LoRA and PEMA to minimize the effect on **856** performance with rank size. However, LoRA uses **857** a rank size between 1 to 64 for their experiment. As **858** PEMA is a LoRA-based PEFT method, we com- **859** pared the performance on meaning preservation **860** using the rank size employed in LoRA (8) and the **861** rank size used in our experiment (512). As Table [5](#page-10-10) **862** shows, a larger rank size generally achieves favorable performance. In the case of LoRA, using a **864** rank size of 512 outperforms 8 in 6 out of 9 cases. **865** PEMA with a rank size of 512 performs better than **866** PEMA with a rank size of 8 at all tasks. **867**

B Measuring Informal Language Patterns **⁸⁶⁸**

The GYAFC dataset for style transfer includes com- **869** mon informal input patterns that are frequently oc- **870** cur. To analyze the amount of mitigation, we cate- **871** gorize these patterns into four types. The four infor- **872** mal patterns are as follows. Slang abbreviations **873**

11

	Informal Input	Formal Reference	Naive OPT-30B	kNN-LM	LoRA	UniPELT	Offsite-Tuning	PEMA
Family & Relationships								
Slang Abbreviation	525	307.75	346	339	356	322	361	289
All Capital	68	Ω	61	60	8		65	3
Redundant Word	39	\overline{c}			2	0	17	3
Non-Capital Start	636	1.5	16	2			2	0
Entertainment & Music								
Slang Abbreviation	651	485.75	541	538	530	534	529	463
All Capital	36	Ω	31	34	9	9	37	0
Redundant Word	49	17.75	5	5	7	3	16	32
Non-Capital Start	655		24	2	$\mathbf{0}$		3	0

Table 6: Count of informal patterns for each generated formal sentence. The result shows that PEMA performs better in mitigating informal patterns than baseline approaches. Lower is better.

 are informal short forms of words or phrases (e.g., "LOL"-"laughing out loud"). To identify the pres- ence of slang words, we check how many words from the predicted target sentence are present in the slang dictionary from [\(Productions,](#page-10-11) [2023\)](#page-10-11). All capital is a pattern in which all characters in a generated word are capitalized (e.g., "FUNNY"). We calculate how many generated words are all capitalized. Redundant word occurs when two consecutive words are the same. For example, "I lie lie lie and then I lie some more." has two redun- dant words. Non-capital start is counted when a sentence does not start with a capital letter (e.g., "i only want points").

 Table [6](#page-11-0) shows the count of each informal pattern in generated sentences for both the baseline and PEMA. We also show an informal pattern count on informal input and formal reference. There are four reference sentences for each example in the test set. We show the average count for each pat- tern using the formal reference. It shows PEMA is good at mitigating slang abbreviation, all capital, and non-capital start compared to other baseline approaches. Interestingly, PEMA outperforms for- mal references in mitigating slang abbreviations and non-capital start.

⁹⁰⁰ C Dataset

901 C.1 Data Statistic

 Table [7](#page-11-1) shows data statistics of GYAFC and WMT22. For WMT22, we use a news-commentary 904 v16 (EN→DE) for training. The test set for GYAFC has four references, while WMT22 has one refer-ence for each test input.

Dataset	Train	Valid		Test Length of $\mathcal E$
GYAFC (F&R) GYAFC (E&M)	51.967 52.595	2.788 2.877	1.332 1.416	691.531 695,465
WMT22	388,482 2.203		1.984	20,983,482

Table 7: Data statistic of GYAFC and WMT22 with length of external memory \mathcal{E} .

Task	Example	
	WMT22 English: German:	In better shape, but not alone. In besserer Verfassung, aber nicht allein.
GYAFC	Formal:	Informal: I'd say it is punk though. However, I do believe it to be punk.

Table 8: Example of parallel dataset GYAFC and WMT22.

C.2 Dataset Examples **907**

Table [8](#page-11-2) demonstrates examples of parallel datasets **908** of GYAFC and WMT22. **909**

C.3 Prompts **910**

Table [9](#page-12-0) presents prompt input used for evalua- **911** tion. WMT22 and GYAFC have two placeholders. **912** This includes [English Input] and [Informal Input]. **913** [Generated Output] is a predicted output sentence **914** generated by PLMs. 915

[English Input] represents the English input sen- **916** tence in WMT22. [Informal Input] is the informal **917** input sentence in GYAFC. An example of the par- **918** allel data input can be found in Table [8.](#page-11-2) **919**

C.4 Post-processing **920**

We use three decoder-based pre-trained language **921** models for evaluation: OPT-IML-MAX-1.3B, **922** LLaMA-7B, and OPT-IML-MAX-30B. These **923**

Task	Prompt
WMT22	Translate this from English to German: [English Input] German: [Generated Output]
GYAFC	Convert the following informal sentence into a formal sentence: Informal: [Informal Input] Formal: [Generated Output]

Table 9: Prompt used for evaluation. [] represents the placeholder.

Table 10: Common hallucination patterns after generating a predicted sentence.

 models are capable of generating tokens contin- uously. This characteristic makes decoder-based language models generate beyond the predicted sentences, typically called hallucinations. We find common hallucination patterns in each pre-trained language model. We post-process hallucinations generated after the predicted sentence for evalua- tion. Table [10](#page-12-1) shows common hallucination pat-terns that are removed.

933 D Implementation Details

 We use three RTX 8000 GPUs with 48GB GDDR6 memory for our experiment. For OPT-IML-MAX- 1.3B, we use full precision (FP32) for training and inference. For LLaMA-7B and OPT-IML-MAX- 30B, we use half-precision (FP16) and distribute the model across three GPUs using the Hugging- Face Accelerate library. The hyperparameters for PEMA and the baselines are in Table [11.](#page-12-2) The best hyperparameter is selected using a grid search.

943 E Examples of Generated Outputs

 The generated formal outputs of GYAFC are shown in Table [13](#page-15-0) and Table [12.](#page-14-0) In WMT22, the German output generated is presented in Table [14.](#page-15-1) It shows PEMA understands the meaning of abbreviated

PEMA	
Random seed	123
Batch size	40,960
Adam <i>lr</i>	$1e-03$
Adam (β_1, β_2)	(0.9, 0.999)
Adam eps	$1e-08$
Number of rank	512
Optimal λ_{max}	0.7 to 0.9
Offsite-Tuning	
Random seed	42
Batch size	18
Emulator size	$\frac{1}{3}$ of PLM
Adam <i>lr</i>	1e-04
Adam (β_1, β_2)	(0.9, 0.999)
Adam eps	$1e-08$
LoRA	
Random seed	123
Batch size	10 to 30
Adam lr	1e-03
Adam (β_1, β_2)	(0.9, 0.999)
Adam eps	$1e-08$
Number of rank	512
LoRA α	1
Merge weight	FALSE
$kNN-LM$	
Random seed	1
Number of centroids learn	4,096
Quantized vector size	64
Number of clusters to query	32
Distance function	L2 Distance
UniPELT	
Random seed	123
Batch size	10 to 30
Adam <i>lr</i>	$1e-03$
Adam (β_1, β_2)	(0.9, 0.999)
Adam eps	1e-08
Prefix gate	True
Prefix length	10
Prefix mid dimension	512
LoRA gate	True
Number of rank	10
LoRA α	16
Adapter gate	True
Adapter down sample	$D_{hid}/2$
	Adapter
Used PEFT methods	Prefix tuning
	LoRA

Table 11: Hyper-parameter setup of each baseline method. We select the batch size between 10 to 30. D_{hid} represent hidden size of a model.

Figure 5: Performance variation for each interpolation value λ_{max} in the WMT22 task. With both Gradual Unrolling (GU) (blue) and without GU (red), there is a decline in performance at a specific point of λ_{max} . However, when utilizing GU, the model is not only robust to performance degradation but also gains performance improvement.

Figure 6: Impact of mixing ratio values between reconstruction loss and predicting the next-token loss in the WMT22 task. When κ is 0, it means excluding reconstruction loss (red dashed line). We fix the λ_{max} value as 0.7. The graphs show that combining reconstruction loss and predicting the next-token loss is superior to excluding reconstruction loss.

 igating common informal patterns such as all capi- tal words (e.g., "PINK FLOYD" to "Pink Floyd") while preserving the meaning of input (e.g., "Wir" means "We" in German).

955 F Difference Between PEMA and LoRA 956 **at** W_{bd}

Applying LoRA to $W_{hd} \in \mathbb{R}^{v \times d}$, a larger set of parameters is required due to the difference in in- put and output sizes (d and v). Conversely, PEMA operates more efficiently, utilizing computation re- sources by receiving an input of size d and yielding an output of the same size. For instance, OPT-1.3B 963 has $d = 2,048$ and $v = 50,272$.

964 G Impact on Interpolation λ and κ

 In the WMT22 task, we observe performance vari-**ation with different interpolation values,** λ_{max} in Figure [5.](#page-13-0) Additionally, we investigate the impact of the mixing ratio values between reconstruction loss and predicting the next-token loss in Figure [6.](#page-13-1)

H Licensing Information **970**

Table 12: Examples of generated formal output of GYAFC (Family & Relationships) for given informal input. One interesting example is PEMA can understand the meaning of abbreviated height descriptions like "5'4" and "6'2". And rewrite them into more formal forms "5 feet 4 inches" and "6 feet 2 inches".

Table 13: Examples of generated formal output of GYAFC (Entertainment & Music) for given informal input. It shows that PEMA is capable of restoring All Capital patterns to their formal format. For example, PEMA successfully restore "Oprah Winfrey" given "OPRAH" as an input.

Table 14: Examples of generated German output in WMT22 test set. The result shows that PEMA is capable of generating German output that preserves its meaning.