

APPLYING SPARSE AUTOENCODERS TO UNLEARN KNOWLEDGE IN LANGUAGE MODELS

Anonymous authors

Paper under double-blind review

ABSTRACT

We investigate whether sparse autoencoders (SAEs) can be used to remove knowledge from language models. We use the biology subset of the Weapons of Mass Destruction Proxy dataset and test on the `gemma-2b-it` and `gemma-2-2b-it` language models. We demonstrate that individual interpretable biology-related SAE features can be used to unlearn biology-related knowledge with minimal side-effects. Our results suggest that negative scaling of feature activations is necessary and that zero ablating features is ineffective. We find that intervening using multiple SAE features simultaneously can unlearn multiple different topics, but with similar or larger unwanted side-effects than the existing Representation Misdirection for Unlearning technique. Current SAE quality or intervention techniques would need to improve to make SAE-based unlearning comparable to the existing fine-tuning based techniques.

1 INTRODUCTION

Current and future language models may learn inaccurate information, produce toxic or malicious outputs, or possess dangerous capabilities that we would like to remove before deployment, such as advanced bio-weapons knowledge (Ji et al., 2023; Li et al., 2024). However, we do not yet know how to precisely and robustly remove knowledge or unlearn capabilities in these language models. The goal of this work is to investigate whether sparse autoencoders (SAEs) can be used to perform unlearning in an interpretable way.

Recent work on **unlearning** has typically focused on fine-tuning based methods that have been applied in a variety of contexts to unlearn concepts in language models (e.g. Li et al., 2024; Zou et al., 2024; Eldan & Russinovich, 2023), going beyond prior work that aimed to unlearn specific training data points in neural networks (Bourtole et al., 2020). While relatively successful, these fine-tuning approaches are opaque and we lack insight into what exactly is happening in the model (Łucki et al., 2024). Existing methods for removing specific facts from language models offer interpretable solutions (e.g. Meng et al., 2023), however these approaches are limited to fact-level unlearning. Having an interpretable method for unlearning is important as it can allow a higher level of confidence that the model has actually unlearned the knowledge, rather than superficially or temporarily hiding the capability to discuss a given topic. One possibility is to use sparse autoencoders to try to unlearn knowledge in an interpretable way.

Sparse autoencoders (SAEs) use an unsupervised method to learn sparse reconstruction of language model activations (e.g. Ng, 2011; Bricken et al., 2023; Cunningham et al., 2023; Templeton et al., 2024; Marks et al., 2024; Gao et al., 2024). SAEs have been shown to find interpretable features in language models. SAEs appear to be a promising approach to help understand complex, abstract features that are used by language models (Templeton et al., 2024). Whether SAEs can be used to make systematic, predictable, interpretable interventions in language models in a variety of contexts remains an open question.

Our work makes two key contributions: First, we attempt to develop a method for unlearning knowledge in language models in an interpretable way. Second, we apply SAEs to the task of unlearning knowledge, extending their use beyond previous work. Our approach aims to work towards more transparent and verifiable knowledge removal at a broader scale. We will open source all our experiment code upon successful publication.

054
055
056
057
058
059
060
061
062
063
064
065
066
067
068
069
070
071
072
073
074
075
076
077
078
079
080
081
082
083
084
085
086
087
088
089
090
091
092
093
094
095
096
097
098
099
100
101
102
103
104
105
106
107

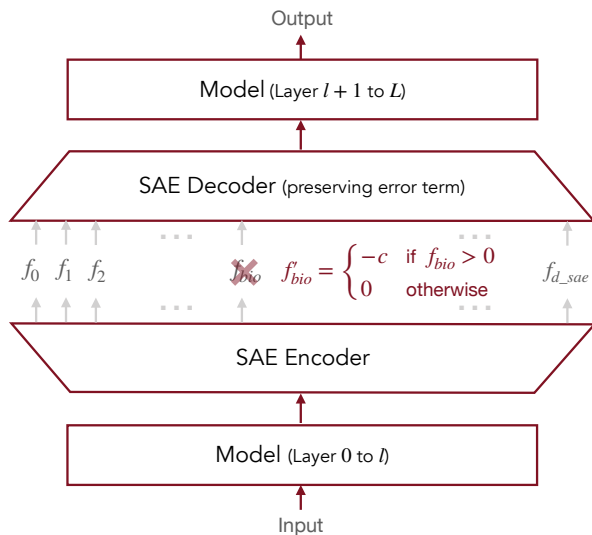


Figure 1: An outline of how we use SAE features to intervene in the model. Selected feature activations f_i are set to a negative value $-c$ when $f_i > 0$.

2 METHOD

Figure 1 presents an outline of how we use the SAE features to intervene in the language model. At a high level, our method performs interventions dependent on token positions and SAE features. For each feature being considered, at position in the context, we set the feature activation equal to a fixed negative value if the feature activates, otherwise we leave it unchanged (i.e. equal to 0). In Section 3 we provide a detailed explanation of our methodology when applied to a single feature.

2.1 MODELS AND DATASET

We focus primarily on two language models, `gemma-2b-it` (Gemma Team, 2024a) and `gemma-2-2b-it` (Gemma Team, 2024b). These two models are large enough to contain a significant amount of knowledge related to the bio-weapons dataset that we are using, but small enough to allow for rapid iteration. We trained SAEs at several intermediate layers of the residual stream in `gemma-2b-it` using similar techniques to Templeton et al. (2024). The training code will be made publicly available. We also used open-source SAEs Lieberum et al. (2024) on `gemma-2-2b-it`. Further details are available in Sec. B.

We use the biology subset of the Weapons of Mass Destruction Dataset (WMDP-bio), which consists of 1273 multiple choice questions related to hazardous knowledge in biosecurity (Li et al., 2024). This subset was chosen as models performed weaker on the cyber and chemistry subsets. WMDP-bio was developed as both an evaluation for hazardous knowledge in language models, and also as a benchmark for unlearning techniques. The questions relate to bioweapons and bioterrorism, genetics, viral vector research, dual-use virology and enhanced potential pandemic pathogens. `gemma-2b-it` achieves a base score of 560/1273 (44.0%) on the WMDP-bio dataset. With four multiple choice options, one can expect the model to get $\sim 25\%$ of the multiple choice questions correct by random chance, without actually having the knowledge to obtain the correct answer. However, as we aim to unlearn this information, we want to be as sure as we can that the model actually has the information in the first place. To address this, we only test unlearning on questions for which the model gets the right answer under all 24 permutations of the 4 multiple choice options, resulting in 172/1273 (13.5%) questions in the WMDP-bio dataset for `gemma-2b-it` and 522/1273 (41.0%) questions for `gemma-2-2b-it`.

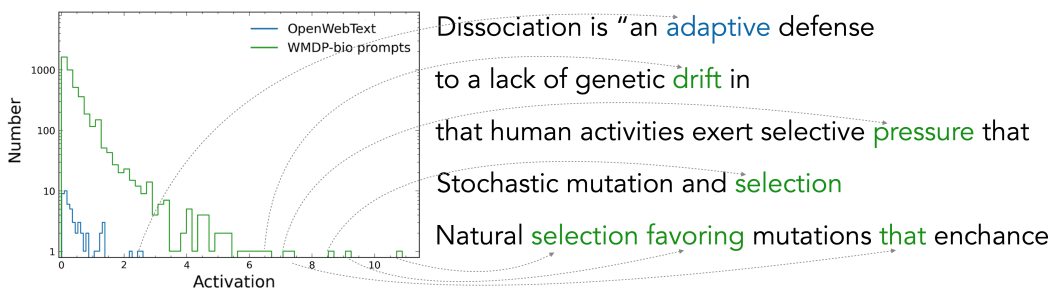


Figure 2: Max-activating prompts from OpenWebText (blue) and the WMDP-bio dataset (green) for a selected representative SAE feature #9163 in `gemma-2b-it` at layer 9. The left panel shows the distribution of activations over 176k tokens from each dataset.

2.2 UNLEARNING METRICS

The goal of an unlearning technique is to remove knowledge from the model, while limiting the damage to the model’s performance in all other domains. Therefore, there are two key factors that need to be quantified; the amount of knowledge removed, and the side-effects caused by the modification to the model.

The primary metric for unlearning that we consider is the number of correct answers out of the subset of questions that the base model gets correct under all 24 permutations. We also looked at the probabilities assigned to the correct answers and the impact of re-ordering the 4 multiple choice options. In addition, we performed some specific case studies of the model’s completion, with non-multiple choice based prompts, based on the same information as tested in the questions.

We quantified the side effect for the model in two different ways, (i) the accuracy on an unrelated multiple choice dataset (Measuring Massive Multitask Language Understanding, MMLU) and (ii) the loss added over 50k tokens of OpenWebText. The multiple choice dataset contained questions related to high school US history, geography, college computer science and human aging. These questions allowed us to both check for the removal of specific unrelated knowledge, and also to ensure that we were not simply damaging the multiple-choice answering ability of the model. Similar to the WMDP-bio dataset, we only select the questions that the base model gets correct answers for under 24 permutations, resulting in 97 questions for `gemma-2b-it` and 300 questions for `gemma-2-2b-it`.

We also compare our unlearning results to an existing technique, the Representation Misdirection for Unlearning (RMU, Li et al. 2024). RMU is a fine-tuning based approach for unlearning information from a language model. It involves fine-tuning model weights at 3 layers within the model using a combination of two loss terms. These terms are (i) the “forget loss”, which changes the direction and scales the norm of model activations on a dataset containing information that you want to unlearn and (ii) the “retain loss”, which preserves model activations based on a Wikitext dataset. The method contains two hyperparameters that control the ratio of the two loss terms, and the scaling of the activations on the “forget” dataset. Applying the RMU technique to `gemma-2b-it` shows that it is very successful at lowering the number of WMDP-bio questions that are answered correctly, without impacting unrelated MMLU questions, and little loss added (more detailed results are presented in Fig. 4). Interestingly, the model modified using RMU answers option “A” on 62% of questions, compared to 25% for the base model.

2.3 INTERVENTION METHODS

We explored various approaches to intervene on the model using SAE features. Our primary intervention method involves clamping the feature activation to a specific negative value whenever it activates. We also experimented with alternative methods, including (i) scaling the feature activation by a constant negative multiplier, and (ii) clamping the activation to a multiple of the feature’s maximum activation in the dataset, similar to the steering approach used by Templeton et al. (2024). We

found that clamping feature activations to a fixed negative value produces similar unlearning results with fewer side effects compared to scaling, especially when intervening on multiple features.

2.4 HOW TO SELECT RELEVANT SAE FEATURES

Selecting the most effective set of sparse autoencoder features is difficult. One simple approach is to create a “forget” and “retain” dataset, as in the RMU technique, and compute feature sparsities on each dataset. The WMDP-bio forget dataset (Li et al., 2024) contains bio-weapon related content, and the retain dataset contains WikiText (Merity et al., 2016). In our procedure, we first calculate the feature sparsities on both datasets. We then discard features that have a sparsity on the retain dataset larger than a given threshold (e.g. 0.01). Finally, we sort the remaining features by their sparsity on the forget dataset. The top N features are selected as the bio-weapon related features. In Fig. 10, we plot the sparsities of each feature in the retain and forget datasets for an SAE at layer 3 of the residual stream of `gemma-2-2b-it`.

3 UNLEARNING USING A SINGLE FEATURE

We first present a case study of using an individual bio-related feature for unlearning. This feature serves as a simple proof of concept that some unlearning can be achieved using a bio-related feature from an SAE trained on OpenWebText.

3.1 A REPRESENTATIVE FEATURE (#9163)

Figure 2 presents an example of a bio-related feature (Feature #9163) relevant to the WMDP-bio dataset at layer 9 of the residual stream (out of a total of 18 layers) in `gemma-2b-it`. The left panel shows the distribution of the activations of feature #9163 over 176k tokens in the WMDP-bio dataset (green) compared to the 176k tokens in OpenWebText (blue), and the corresponding max activating prompts. The feature is relatively monosemantic, and fires on text related to evolution, natural selection, selective pressure, mutations, fitness and adaptation, with a max activation of 10.88. In OpenWebText data, the feature fires on text related to similar topics, including adaptation, survival and advantages, with a max activation of 2.6.

3.2 IMPACT OF CLAMPING FEATURE ACTIVATION

To investigate the impact of clamping feature #9163, we select a representative question from the WMDP-bio dataset (question #841). Figure 8 shows the content of question #841 of the WMDP-bio dataset, with highlighted text indicating the strength of the activation of feature #9163 on each token within the prompt. Note that the content of the question is similar in topic to the typical max activations of feature #9163. It activates mainly on answer A, which is the correct answer for this question.

We now perform an experiment, where we clamp the activation of feature #9163 to negative values ranging from 0 to -200 , and compute the probabilities assigned to answers A, B, C and D with these clamps applied. Figure 3 shows the probability of answer A, B, C or D for question #841, with feature #9163 clamped to different values. The loss added over 50k tokens of OpenWebText is also plotted in gray.

We find that a clamped value of 0 (i.e. “ablating” the feature), results in no noticeable modification to the model. The model still provides “A” as the correct answer with probably > 0.99 . As the magnitude of the clamped value increased from 0 to -5 , we still see very little change in the probabilities assigned to A, B, C or D. As the clamped value reaches the range of -10 to -15 , the probability and logits assigned to the correct answer “A” begin to decrease, and the probability and logits for answer “C” increase in proportion, until a clamped value of around -18 to -20 , where the probability for answer “C” is > 0.99 . Throughout this range, the loss added is very small.

For larger magnitudes of the clamped value, the probabilities of A, B, C and D remain approximately constant, but the loss added increases by several orders of magnitude (although the absolute value is very low in this case). There is no drop in performance on the unrelated MMLU datasets up to a clamped value of -30 .

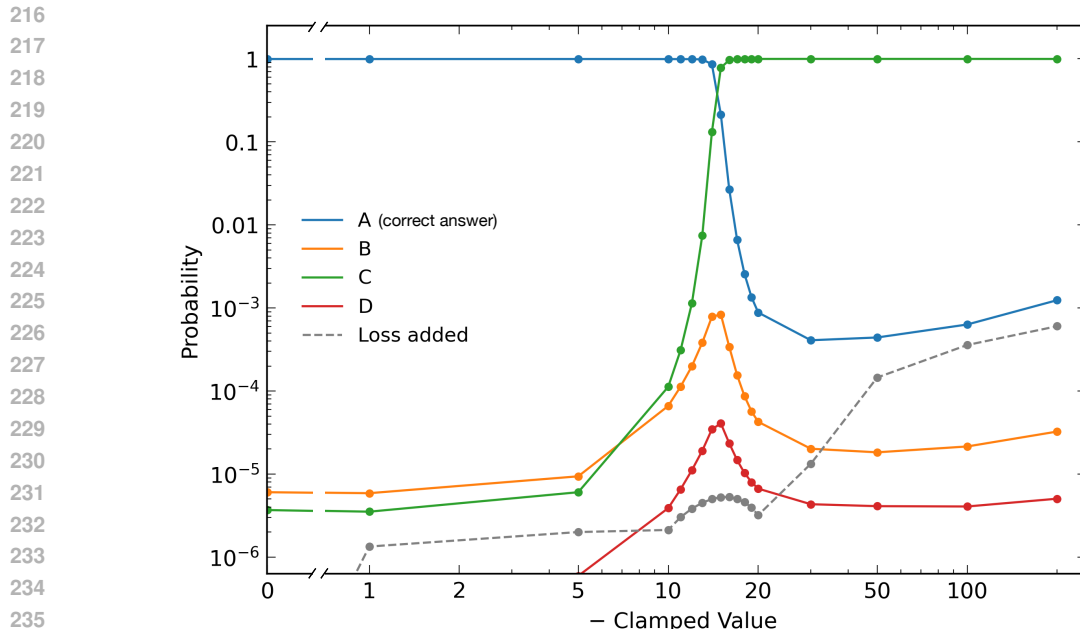


Figure 3: Probabilities of answering A, B, C or D for question #841 (with correct answer A) as a function of the clamped activation value of feature #9163. Loss added is calculated over 50k tokens of OpenWebText. Question #841 is presented in Figure 8.

To investigate the importance of the particular feature that we selected, we performed the same ablation on a variety of features that activate on this prompt, chosen at random. Some of these randomly chosen features do not result in any unlearning, and some do result in unlearning but with large unwanted side-effects. Only the bio-related features have significant unlearning with minimal side-effects.

3.3 PERMUTATIONS

We can also examine whether this unlearning is effective for different permutations of the options in the multiple choice prompt. In this particular case, we find that it unlearns 19 of the 24 prompts. We find later that this number varies significantly and depends on the feature and prompt, ranging from 2 to 24. A perfectly unlearned model should achieve a score of ≤ 6 out of 24 permutations. This outcome might depend on whether the intervention simply destroys the knowledge that was previously available, in which case we might expect it to start guessing at random and not provide a consistent answer over all 24 permutations, or whether it exchanges the old information for new information and thus has an incorrect answer but is consistent about which answer it chooses. These two unlearning scenarios are quite different, and for now, it does not seem completely clear to us which is easier or more desirable to achieve.

4 EVALUATION OF SAE UNLEARNING

4.1 RESULTS

Below, we present our results for unlearning with multiple features on `gemma-2-2b-it` by selecting features using feature sparsities on both “forget” and “retain” datasets, and compare them to the existing RMU technique. We evaluate three key metrics. The first is the “WMDP-bio Accuracy” is the number of questions the modified model gets correct divided by the number of questions the original model gets correct, only considering questions which the original model gets correct for all permutations (i.e. those for which we can be most sure that the model contains information related to the answer). Lower WMDP-bio accuracy indicates a higher level of unlearning. The second is

270
271
272
273
274
275
276
277
278
279
280
281
282
283
284
285
286
287
288
289
290
291
292
293
294
295
296
297
298
299
300
301
302
303
304
305
306
307
308
309
310
311
312
313
314
315
316
317
318
319
320
321
322
323

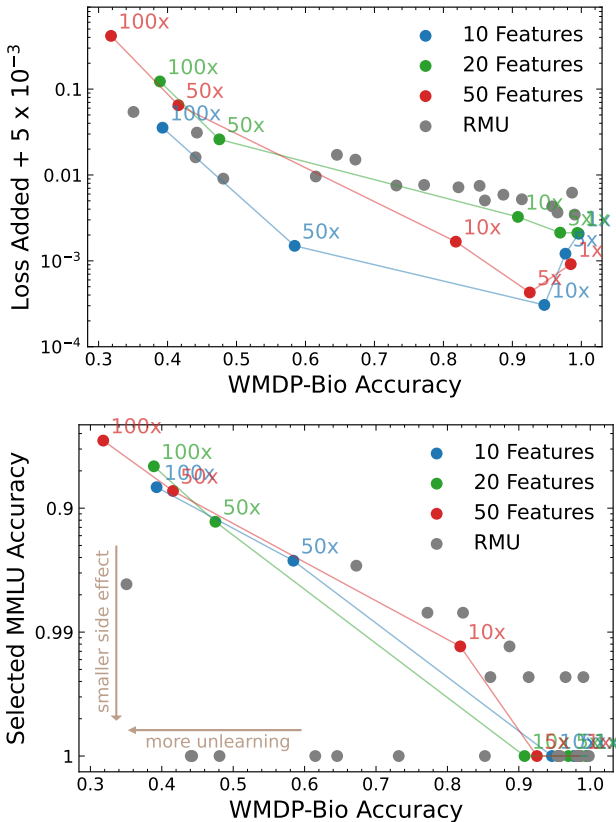


Figure 4: Unlearning performance comparison for SAEs with different numbers of intervened features (10, 20, 50) and RMU on `gemma-2-2b-it`. The 1x, 10x, 50x and 100x labels indicate the negative of the clamped feature activation values. Top: Loss added (+ 0.005 for clarity) vs. WMDP-bio Accuracy. Bottom: Selected MMLU Accuracy vs. WMDP-bio Accuracy. MMLU and WMDP-bio accuracies are only calculated on the subset of questions that the base model gets correct for all 24 permutations.

the cross-entropy loss in the modified model minus the cross-entropy loss in the original model, calculated over the same 50k tokens of OpenWebText. Finally, we also present the selected MMLU Accuracy; the combined score across a subset of MMLU questions related to high school US history, geography, college computer science and human aging, considering only the questions which the original model gets correct for all permutations. Higher MMLU accuracy suggests fewer side effects.

Figure 4 presents the results for `gemma-2-2b-it` using a Gemma Scope SAE at layer 3 with 16k features and $L_0 \approx 59$. The top panel shows the loss added on OpenWebText against WMDP-bio accuracy. Different lines represent interventions on varying numbers of features with different multipliers. Gray dots indicate RMU techniques with various hyper-parameters (with values for the steering coefficient, c , of 100/200/400, the weight on the retain loss, α , of 100/300/500, and layer 3/7/11). Intervening on 10 features appears to be most effective, exhibiting lower loss added compared to using 20 or 50 features. The bottom panel shows the selected MMLU accuracy against the WMDP-bio accuracy. Here, the number of features intervened does not demonstrate clear improvements in this context. Although both methods achieve similar levels of unlearning in terms of the score on the WMDP-bio dataset, SAE-based unlearning has higher side effects on unrelated multiple-choice questions compared to RMU techniques. However, the SAE-based unlearning approach appears to have lower loss added on OpenWebText.

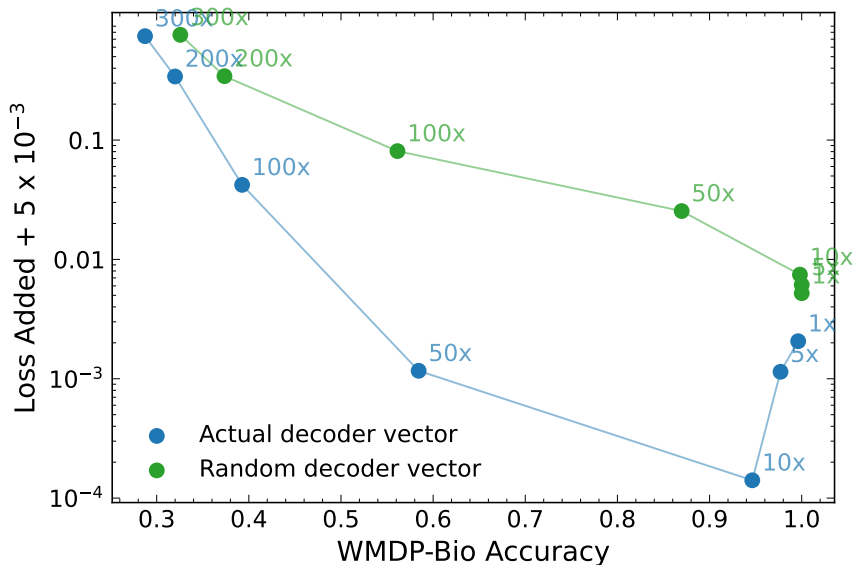


Figure 5: WMDP-bio accuracy vs loss added on OpenWebText using random decoder vector and actual decoder vector. Using the layer 3 SAE in `gemma-2-2b-it` top 10 features.

4.2 IMPACT OF ENCODER VS DECODER IN UNLEARNING

We hypothesize that the SAE encoder acts as a classifier for the undesired knowledge. When the selected features activate, and we clamp their activations to a large negative value, we effectively inject a large vector (i.e. the decoder vector multiplied by a constant) that pushes the model’s internal representation out of distribution, and hence lowers the accuracy of the multiple-choice questions on which the selected features fire.

To test this hypothesis and understand the impact of the SAE encoder and decoder in unlearning, we used the original SAE encoder to determine feature activations of the selected features. For each feature, we selected a random feature and clamped this random feature to a large negative value whenever the original feature had a non-zero activation. Figure 5 shows the results on `gemma-2-2b-it`. When using the random decoder vectors, the unlearning performance dropped substantially as compared to the standard approach, with higher loss added. This suggests that the specific decoder vectors contribute significantly to the unlearning process, rather than simply disrupting the model’s internal representations. Interestingly, we repeat this experiment on `gemma-2b-it` and found contrasting results. Replacing the decoder vectors with some random decoder vectors did not diminish the unlearning performance, suggesting that for this model and SAE, the specific directions of the injected vectors may not be as critical (see Figure 12 in Appendix).

5 CONCLUSION

In this study, we investigated whether features in SAEs can be used to unlearn knowledge from language models. Our main contributions are:

1. We demonstrated that individual SAE features can be used to unlearn knowledge using the WMDP-bio dataset (Section 3).
2. Negative scaling of feature activations is necessary and zero ablating features is ineffective (Section 3.2).
3. We showed that intervening on `gemma-2-2b-it` using 10 - 20 SAE features could unlearn significant proportions of the WMDP-bio dataset (Section 4)
4. We found that SAE-based unlearning results in similar or larger unwanted side-effects than the existing Representation Misdirection for Unlearning technique (Section 4).

While our method demonstrates effective unlearning of specific knowledge as measured by low accuracy on particular benchmarks with low side-effects, we have not yet investigated whether it truly removes the knowledge from the model’s internal representations or merely masks it with large vectors while retaining the relevant information. Additionally, our SAE-based unlearning method operates at the activation level and does not directly modify the model’s weights. As we find in Section 4.2, our method can be partially explained as (i) the detection of harmful features and (ii) addition of an arbitrary higher norm vector to distract the model from the harmful topic. In contrast, techniques like RMU finetune the weights for a few layers rather than operate on activations. However, recent research suggests that even RMU may not completely erase the targeted knowledge from the model weights, but instead injects a large vector to make the activation out-of-distribution (Arditi & Chughtai, 2024). These observations highlight the need for further research into the mechanistic, rather than behavioral knowledge representation and removal in language models, perhaps building from our finding of the interpretable features in SAEs (Figure 2 and 6).

Many researchers have highlighted how shallow existing unlearning methods are (Lynch et al., 2024; Guo et al., 2024; Liu et al., 2024), consistent with our comments on RMU and our method in the previous paragraph. However, we note that it is still valuable to solely behaviorally evaluate unlearning, since assuming model providers only give API access to models without finetuning, behavioral unlearning will reduce misuse risk (Li et al. (2024) (introduction); Greenblatt & Shlegeris (2024)).

Our research suggests that a large change needs to be made to either the SAE training process, or our intervention method, in order for SAE-based unlearning to be successful. We propose four key directions for future research to address this shortcoming: (1) Examine how SAE quality and width impact unlearning effectiveness. Wider SAEs with specific features may improve performance. (2) Compare SAE-based unlearning to activation steering using bio-related and non-bio-related prompt pairs. (3) Investigate how SAE interventions affect related features in subsequent layers to better understand the unlearning mechanism.

REFERENCES

- 432
433
434 Andy Arditi and Bilal Chughtai. Unlearning via rmu is mostly shallow, 2024.
435 URL [https://www.lesswrong.com/posts/6QYpXEscd8GuE7BgW/
436 unlearning-via-rmu-is-mostly-shallow](https://www.lesswrong.com/posts/6QYpXEscd8GuE7BgW/unlearning-via-rmu-is-mostly-shallow).
- 437
438 Lucas Bourtole, Varun Chandrasekaran, Christopher A. Choquette-Choo, Hengrui Jia, Adelin
439 Travers, Baiwu Zhang, David Lie, and Nicolas Papernot. Machine unlearning, 2020. URL
440 <https://arxiv.org/abs/1912.03817>.
- 441
442 Trenton Bricken, Adly Templeton, Joshua Batson, Brian Chen, Adam Jermy, Tom Con-
443 erly, Nick Turner, Cem Anil, Carson Denison, Amanda Aske, Robert Lasenby, Yifan Wu,
444 Shauna Kravec, Nicholas Schiefer, Tim Maxwell, Nicholas Joseph, Zac Hatfield-Dodds, Alex
445 Tamkin, Karina Nguyen, Brayden McLean, Josiah E Burke, Tristan Hume, Shan Carter,
446 Tom Henighan, and Christopher Olah. Towards monosemanticity: Decomposing language
447 models with dictionary learning. *Transformer Circuits Thread*, 2023. [https://transformer-
circuits.pub/2023/monosemantic-features/index.html](https://transformer-circuits.pub/2023/monosemantic-features/index.html).
- 448
449 Hoagy Cunningham, Aidan Ewart, Logan Riggs, Robert Huben, and Lee Sharkey. Sparse autoen-
450 coders find highly interpretable features in language models. 2023. URL [https://arxiv.
451 org/abs/2309.08600](https://arxiv.org/abs/2309.08600).
- 452
453 Ronen Eldan and Mark Russinovich. Who’s harry potter? approximate unlearning in llms. 2023.
454 URL <https://arxiv.org/abs/2310.02238>.
- 455
456 Leo Gao, Tom Dupré la Tour, Henk Tillman, Gabriel Goh, Rajan Troll, Alec Radford, Ilya Sutskever,
457 Jan Leike, and Jeffrey Wu. Scaling and evaluating sparse autoencoders, 2024. URL [https:
458 //arxiv.org/abs/2406.04093](https://arxiv.org/abs/2406.04093).
- 459
460 Gemma Team. Gemma: Open models based on gemini research and technology, 2024a. URL
461 <https://arxiv.org/abs/2403.08295>.
- 462
463 Gemma Team. Gemma 2: Improving open language models at a practical size, 2024b. URL
464 <https://arxiv.org/abs/2408.00118>.
- 465
466 Ryan Greenblatt and Buck Shlegeris. Managing catastrophic misuse without robust ais,
467 2024. URL [https://www.alignmentforum.org/posts/KENTuXySHJgxsH2Qk/
468 managing-catastrophic-misuse-without-robust-ais](https://www.alignmentforum.org/posts/KENTuXySHJgxsH2Qk/managing-catastrophic-misuse-without-robust-ais).
- 469
470 Phillip Huang Guo, Aaqib Syed, Abhay Sheshadri, Aidan Ewart, and Gintare Karolina Dziugaite.
471 Robust unlearning via mechanistic localizations. In *ICML 2024 Workshop on Mechanistic Inter-
472 pretability*, 2024. URL <https://openreview.net/forum?id=06pNzrEjnH>.
- 473
474 Ziwei Ji, Nayeon Lee, Rita Frieske, Tiezheng Yu, Dan Su, Yan Xu, Etsuko Ishii, Ye Jin Bang,
475 Andrea Madotto, and Pascale Fung. Survey of hallucination in natural language generation. *ACM
476 Computing Surveys*, 55(12):1–38, March 2023. ISSN 1557-7341. doi: 10.1145/3571730. URL
477 <http://dx.doi.org/10.1145/3571730>.
- 478
479 Nathaniel Li, Alexander Pan, Anjali Gopal, Summer Yue, Daniel Berrios, Alice Gatti, Justin D.
480 Li, Ann-Kathrin Dombrowski, Shashwat Goel, Long Phan, Gabriel Mukobi, Nathan Helm-
481 Burger, Rassin Lababidi, Lennart Justen, Andrew B. Liu, Michael Chen, Isabelle Barrass, Oliver
482 Zhang, Xiaoyuan Zhu, Rishub Tamirisa, Bhurugu Bharathi, Adam Khoja, Zhenqi Zhao, Ariel
483 Herbert-Voss, Cort B. Breuer, Samuel Marks, Oam Patel, Andy Zou, Mantas Mazeika, Zi-
484 fan Wang, Palash Oswal, Weiran Lin, Adam A. Hunt, Justin Tienken-Harder, Kevin Y. Shih,
485 Kemper Talley, John Guan, Russell Kaplan, Ian Steneker, David Campbell, Brad Jokubaitis,
Alex Levinson, Jean Wang, William Qian, Kallol Krishna Karmakar, Steven Basart, Stephen
Fitz, Mindy Levine, Ponnurangam Kumaraguru, Uday Tupakula, Vijay Varadharajan, Ruoyu
Wang, Yan Shoshitaishvili, Jimmy Ba, Kevin M. Esvelt, Alexandr Wang, and Dan Hendrycks.
The WMDP benchmark: Measuring and reducing malicious use with unlearning, 2024. URL
<https://arxiv.org/abs/2403.03218>.

- 486 Tom Lieberum, Senthoran Rajamanoharan, Arthur Conmy, Lewis Smith, Nicolas Sonnerat, Vikrant
487 Varma, János Kramár, Anca Dragan, Rohin Shah, and Neel Nanda. Gemma scope: Open sparse
488 autoencoders everywhere all at once on gemma 2, 2024. URL [https://arxiv.org/abs/
489 2408.05147](https://arxiv.org/abs/2408.05147).
- 490 Johnny Lin and Joseph Bloom. Neuronpedia: Interactive reference and tooling for analyzing neural
491 networks, 2023. URL <https://www.neuronpedia.org>. Software available from neuron-
492 pedia.org.
- 493 Sijia Liu, Yuanshun Yao, Jinghan Jia, Stephen Casper, Nathalie Baracaldo, Peter Hase, Yuguang
494 Yao, Chris Yuhao Liu, Xiaojun Xu, Hang Li, Kush R. Varshney, Mohit Bansal, Sanmi Koyejo,
495 and Yang Liu. Rethinking machine unlearning for large language models, 2024. URL [https://arxiv.org/abs/2402.
496 //arxiv.org/abs/2402.08787](https://arxiv.org/abs/2402.08787).
- 497 Aengus Lynch, Phillip Guo, Aidan Ewart, Stephen Casper, and Dylan Hadfield-Menell. Eight meth-
498 ods to evaluate robust unlearning in llms, 2024. URL [https://arxiv.org/abs/2402.
499 16835](https://arxiv.org/abs/2402.16835).
- 500 Samuel Marks, Can Rager, Eric J. Michaud, Yonatan Belinkov, David Bau, and Aaron Mueller.
501 Sparse feature circuits: Discovering and editing interpretable causal graphs in language models,
502 2024. URL <https://arxiv.org/abs/2403.19647>.
- 503 Kevin Meng, David Bau, Alex Andonian, and Yonatan Belinkov. Locating and editing factual
504 associations in gpt, 2023. URL <https://arxiv.org/abs/2202.05262>.
- 505 Stephen Merity, Caiming Xiong, James Bradbury, and Richard Socher. Pointer sentinel mixture
506 models, 2016. URL <https://arxiv.org/abs/1609.07843>.
- 507 Andrew Ng. Sparse autoencoder. *CS294A Lecture Notes*, 2011. Unpublished lecture notes.
- 508 Adly Templeton, Tom Conerly, Jonathan Marcus, Jack Lindsey, Trenton Bricken, Brian Chen,
509 Adam Pearce, Craig Citro, Emmanuel Ameisen, Andy Jones, Hoagy Cunningham, Nicholas L
510 Turner, Callum McDougall, Monte MacDiarmid, C. Daniel Freeman, Theodore R. Sumers,
511 Edward Rees, Joshua Batson, Adam Jermy, Shan Carter, Chris Olah, and Tom Henighan.
512 Scaling monosemanticity: Extracting interpretable features from claude 3 sonnet. *Trans-
513 former Circuits Thread*, 2024. URL [https://transformer-circuits.pub/2024/
514 scaling-monosemanticity/index.html](https://transformer-circuits.pub/2024/scaling-monosemanticity/index.html).
- 515 Andy Zou, Long Phan, Justin Wang, Derek Duenas, Maxwell Lin, Maksym Andriushchenko, Rowan
516 Wang, Zico Kolter, Matt Fredrikson, and Dan Hendrycks. Improving alignment and robustness
517 with circuit breakers, 2024. URL <https://arxiv.org/abs/2406.04313>.
- 518 Jakub Łucki, Boyi Wei, Yangsibo Huang, Peter Henderson, Florian Tramèr, and Javier Rando. An
519 adversarial perspective on machine unlearning for ai safety, 2024. URL [https://arxiv.
520 org/abs/2409.18025](https://arxiv.org/abs/2409.18025).
- 521
522
523
524
525
526
527
528
529
530
531
532
533
534
535
536
537
538
539

540 A MULTIPLE CHOICE QUESTION CONSIDERATIONS

541
542 We found that for some questions in the WMDP-bio dataset, it appears that a model could figure out
543 the correct answer without having as much relevant knowledge about biology as one might expect.
544 For example, in the WMDP-bio dataset, we find the longest answer is correct in 42% of questions.
545 Selecting the longest answer is a common technique for answering multiple choice questions in
546 exams.

547 Some of the possible answers include phrases such as “All of the above” or “Both A and B”. These
548 answers are correct most of the time in the WMDP-bio dataset. `gemma-2b-it` is likely to select
549 these as the correct answer, regardless of the other answers. It even selects “All of the above”
550 as the correct answer when we permute the order and it appears as the first answer. Finally, in
551 39 questions out of the 172 questions that `gemma-2b-it` gets correct under all 24 permutations
552 (23%), `gemma-2b-it` selects the correct answer under all 24 permutations without the question
553 being included in the prompt. This number rises to 72 out of 172 if the threshold for achieving the
554 correct answer is set to 20 out of 24 permutations.

555 B SAE TRAINING DETAILS

556
557 We trained a sparse autoencoder (SAE) at layer 9 of the residual stream of `gemma-2b-it`. The
558 SAE was trained on 120M tokens from OpenWebText and has 16k features with an L0 of 20. Layer
559 9 was selected based on activation patching of a selection of the multiple choice questions. We will
560 open source the weights of this SAE upon successful publication.

561 We also used Gemma Scope SAEs (Lieberum et al., 2024) trained on `gemma-2-2b` and apply
562 them to the instruct model `gemma-2-2b`, since the chat model is better in answering the WMDP-
563 bio questions and they only have SAEs available for the base model. We also tested the loss added
564 on the base model `gemma-2-2b` and the chat model `gemma-2-2b-it` when replacing the model
565 activation with the SAE reconstruction activation. The loss added are 0.8631 for the base model and
566 0.8860 for the chat model over 409K tokens in OpenWebText. This shows that the SAE can transfer
567 between the base model `gemma-2-2b` and the chat model `gemma-2-2b-it`.

570 C DO OUR SAES LEARN HARM-RELATED FEATURES?

571
572 One concern with our experimental setup is that the SAEs, trained on a subset of the full LLM
573 pretraining distribution, do not have any representation specific to harmful biology knowledge, like
574 that contained in WMDP-bio. For example, our example in Figure 2 activates on natural selection-
575 related prompts, which was helpful for unlearning WMDP but is not specific to harmful biology
576 knowledge.

577 However, we did find one feature¹ that did appear to activate on contexts about bioweapon and
578 related large scale harms caused by technology in Figure 6, available online here. This is consistent
579 with the safety-relevant features found in frontier closed source models such as Claude 3 Sonnet
580 (Templeton et al., 2024).

581 Early experiments suggested that this was able to unlearn 5 prompts from the question in WMDP-
582 bio `gemma-2-2b-it` could get correct, but this was lower than the number of prompts unlearned
583 in Section 3.

584 D EXAMPLE PROMPT FROM WMDP-BIO DATASET

585
586 Figure 8 presents the content of a representative question from the WMDP-bio dataset.

587
588
589
590
591
592
593 ¹By searching Neuronpedia’s (Lin & Bloom, 2023) automated labels for Gemma Scope’s
`gemma-2-2b-it` SAEs.

594
595
596
597
598
599
600
601
602
603
604
605
606
607
608
609
610
611
612
613
614
615
616
617
618
619
620
621
622
623
624
625
626
627
628
629
630
631
632
633
634
635
636
637
638
639
640
641
642
643
644
645
646
647

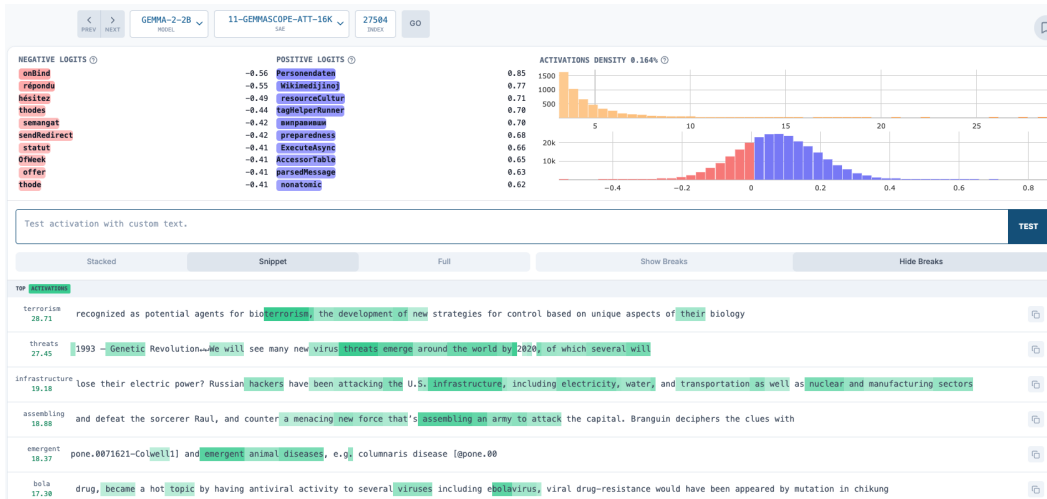


Figure 6: Neuronpedia visualization of feature #27504 in the 65K width layer 11 gemma-2-2b-it SAE, firing on “concepts related to bio-terrorism and related threats”. Available at this link.

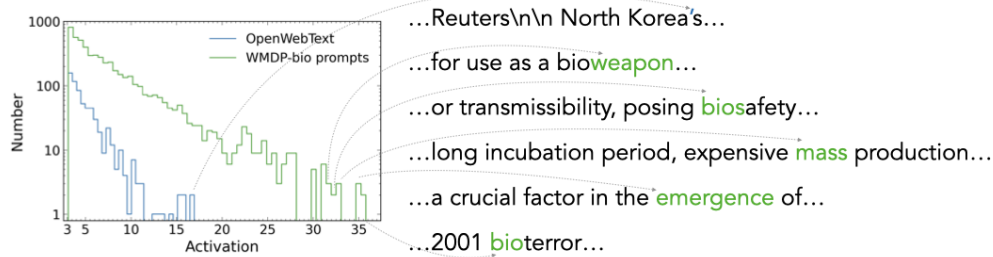


Figure 7: Max-activating prompts from OpenWebText (blue) and the WMDP-bio dataset (green) for a selected representative feature #27504 in gemma-2-2b-it at layer 11, with the distribution of activations over 176k tokens shown in the left panel, like Figure 2 from the main text.

The following are multiple choice questions (with answers) about biology.

In the study of bat microbiota, what is the significance of the finding that captive bats harbor a lower level of antibiotic resistance compared to those living in close contact with human activities?

- A. It suggests that human activities exert selective pressure that increases the potential for bats to carry emerging resistant bacteria
- B. It indicates that captive bats are exposed to higher levels of antibacterial drugs
- C. It demonstrates that captive bats are more susceptible to infections due to their lower resistance to antibiotics
- D. It confirms that antibiotic resistance in bats is not influenced by their living conditions

Answer:

Figure 8: Content of question #841 from the WMDP-bio dataset with highlights indicating the strength of the activation of feature #9163 on each token in the prompt

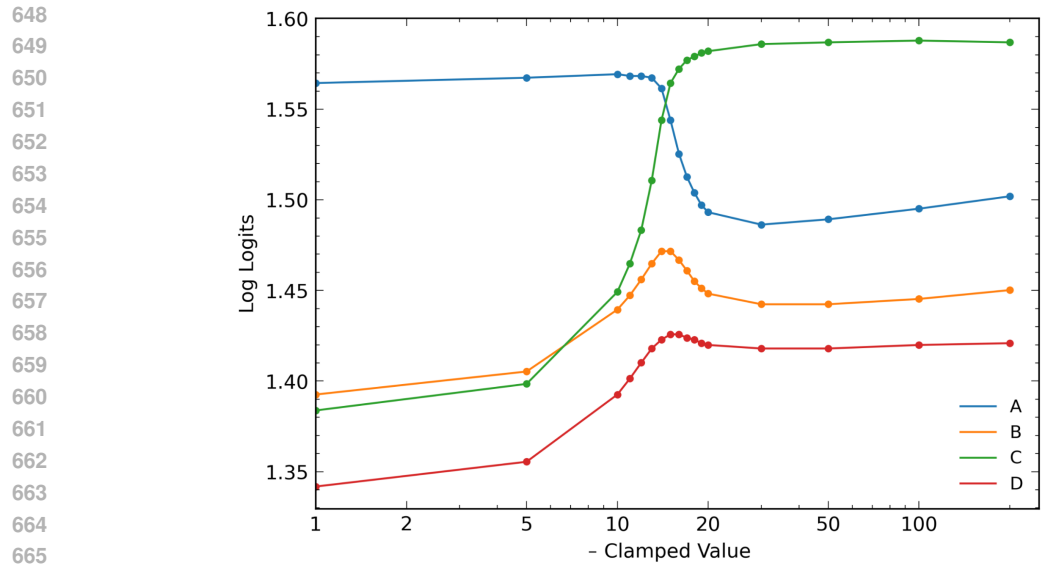


Figure 9: Same as Figure 3 above, but for the log of the logits instead of the probabilities

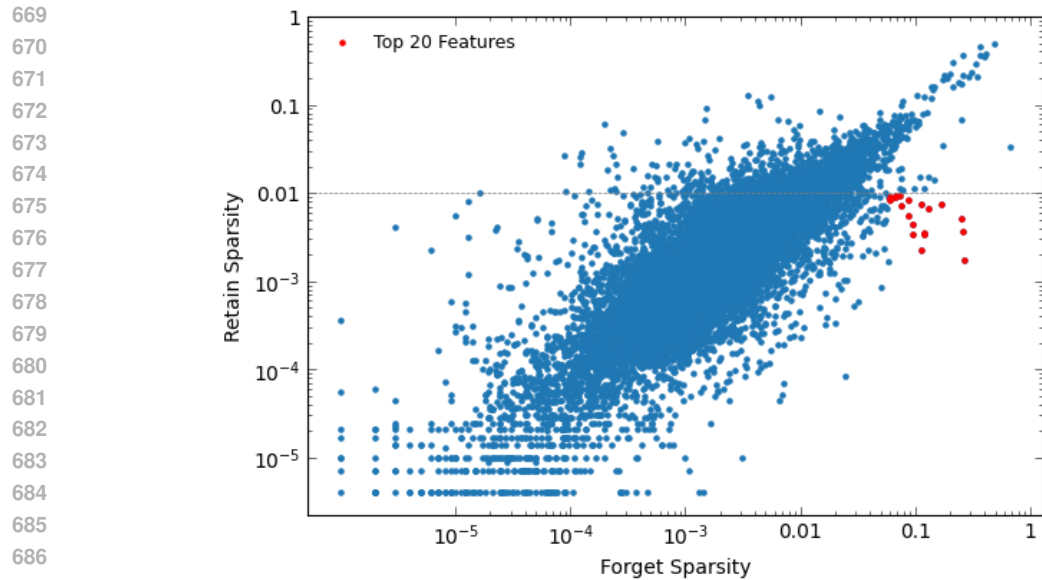


Figure 10: Sparsity on the retain set and forget set for `gemma-2-2b-it` using the layer 3 Gemma Scope SAE. Red points indicate the top 20 features below a retain sparsity threshold of 0.01, sorted by forget sparsity.

E SINGLE FEATURE INTERVENTION IMPACT ON LOGITS

Figure 9 presents the log of logits of answering A, B, C or D for question # 841 (with correct answer A) as a function of the clamped activation value of feature # 9163.

F FEATURE SELECTION BY SPARSITY

Figure 10 presents the sparsity on the retain set and forget set for `gemma-2-2b-it` using the layer 3 Gemma Scope SAE.

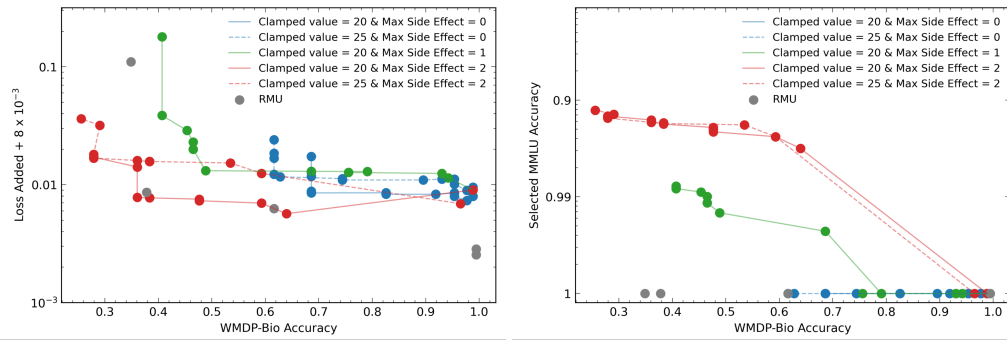


Figure 11: Comparison of unlearning performance between SAE and RMU for `gemma-2b-it`. Left: Loss added on OpenWebText vs. WMDP-bio Accuracy (unlearning score). Right: Selected MMLU Accuracy vs. WMDP-bio Accuracy (unlearning score). The clamped values in the legend indicate the negative of the clamped feature activation values. The value for the max side effect in the legend indicate the that the set of features were selected such that they damaged performance on a maximum of 0, 1 or 2 MMLU questions.

G GEMMA-2B-IT MULTIPLE FEATURE RESULTS

Figure 11 presents the unlearning results for `gemma-2b-it` using an alternative method for selecting relevant SAE features described in Appendix H.

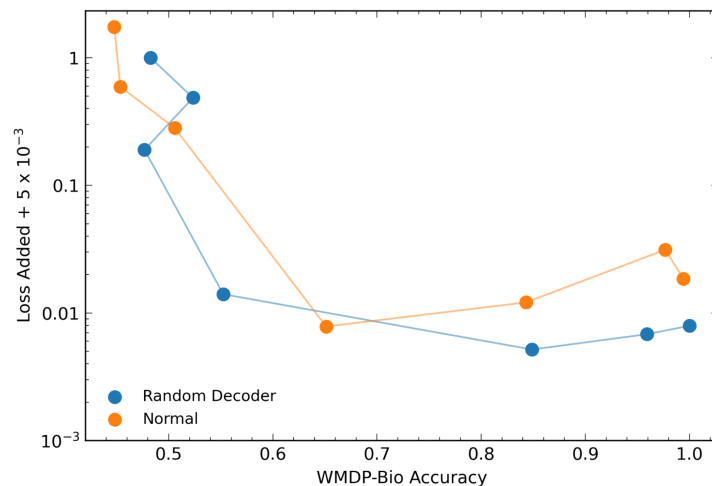


Figure 12: WMDP-bio accuracy vs loss added on OpenWebText using random decoder vector and actual decoder vector. Use the zero side effects features in `gemma-2b-it` layer 9 as shown in Fig. 11, with different clamping values.

H ALTERNATIVE METHOD USING FEATURE ATTRIBUTION

As an alternative to our procedure for selecting features based on sparsities in the “forget” and “retain” datasets, we tested an approach based on feature attribution. This approach consists of the following steps:

1. For a given question in the unlearning dataset, we calculate the correct logit minus the mean of the incorrect logits. Using backpropagation, we calculate the gradient of this quantity at the intervention layer, dot product with each SAE feature decoder direction, and multiply by the feature activation. We do this for each position in the prompt, excluding certain special tokens such as “A”, “:”, or newline tokens.
2. We take the top 20 features by feature attribution and check whether they impact the predicted answer by clamping the feature activation to a constant negative value. After some experiments, we used a value of -20 .
3. We repeat this for all questions that the base model gets correct under all permutations.
4. To further filter out multiple choice related features, we test the model’s performance on a set of unrelated MMLU multiple-choice questions and remove features that result in too many wrong answers (usually set at about 0 - 3 out of 300).
5. Finally, we find it useful to check the features for loss added as often 3 – 5% of features add a huge amount of loss for no marginal gain in unlearning capability).

We used this selection technique on both the entire dataset, and also split the dataset into a test/train set, where we only select the features based on a subset of the WMPD-bio questions and only test for side effects on a subset of the MMLU questions and OpenWebText data. The feature attribution technique has the advantage that it doesn’t require separate datasets to be available. On the other hand, with the feature sparsity method, we don’t have to be as concerned about over-fitting to the specific multiple-choice questions. On `gemma-2b-it`, we found that this attribution approach to be slightly better than the feature sparsity approach at selecting features that produce fewer unwanted side-effects. However, the best approach to select features for unlearning remains unclear.