LayoutLLM: Layout Instruction Tuning with Large Language Models for Document Understanding

Supplementary Material

A. Dataset Details

A.1. Dataset Description

Details of the publicly available document understanding datasets used in layout-aware pre-training and layout-aware SFT are as follows:

RVL-CDIP [14] is a document classification dataset that consists of 400,000 grayscale document images in 16 classes. The 16 classes encompass diverse document types such as letter, form, email, handwritten, advertisement, scientific report, scientific publication, specification, file folder, news article, budget, invoice, presentation, questionnaire, resume, and memo. To enhance the diversity of the data in training, sampling is performed within each class. The text and layout information are extracted by Tesseract OCR.

DocILE [65] is a large dataset for key information localization and extraction. It consists of 6,680 annotated business documents. And there are 932k unlabeled documents and 100k synthetically generated documents in the dataset for unsupervised pre-training. It also provides both word-level text and corresponding locations for the document images in the dataset by using DocTR OCR.

PubLayNet [62] is a document layout analysis dataset that covers typical document layout elements such as text, title, list, figure, and table. It consists of over 360K PDF documents sourced from articles on PubMed Central. By parsing the PDF page using PDFMiner and matching the layout with the XML representation, annotations for both page layout and text information are generated.

DocBank [24] is a document layout analysis dataset that contains 500K document pages with fine-grained tokenlevel annotations for document layout analysis. These documents are sourced from articles on arXiv.org, covering various areas such as Physics, Mathematics, Computer Science, and others. PDFPlumber, which is a PDF parser built on PDFMiner, is used to extract text lines and non-text elements with their bounding boxes.

DocLayNet [40] is a human-annotated document layout segmentation dataset containing 80863 manually annotated PDF documents with 11 complex layout classes from diverse data sources including Finance, Science, Patents, Tenders, Law texts, and Manuals. DocLayNet also provides original PDF pages, parsed PDF text, and text-cell coordinates.

PubTabNet [63] is a large-scale table recognition dataset containing over 568K tables from scientific publications.

It contains heterogeneous tables in both image and HTML format. To support more diverse model designs, it also provides the position (bounding box) of table cells.

FeTaQA [34] is a dataset consisting of 10K Wikipediabased table question answering pairs along with tabular data extracted from webpages. These question answering pairs require complex reasoning and integration of table information. The tabular data supplied can be rendered into an HTML document, facilitating document understanding tasks. FetaQA also provides annotations of highlighted cells, which are table regions corresponding to question answering pairs, and these annotations are used to construct the intermediate inference information for LayoutCoT.

A.2. Layout-aware Pre-training Data Construction

This section describes the data construction process for layout-aware pre-training tasks used to train LayoutLLM, including the preprocessing of document data, the prompt templates for prompting GPT (GPT-3.5 Turbo), and the instruction templates utilized during training.

As mentioned in Sec. 4.1, GPT (GPT-3.5 Turbo) is used to generate detailed descriptions of documents for the document-level pre-training task, Document Dense Description (DDD). Fig. 6 illustrates the data generation process for the DDD task and the instruction templates for pretraining DDD. As Fig. 6 (a) shows, the document is represented as layout text. Considering training efficiency and to prevent excessively long generated content, a requirement that the number of words generated should be less than 500 is in the prompt. During pre-training, the instructions that are shown in Fig. 6 (b) are randomly sampled as question instructions for DDD. Fig. 7 shows the instruction templates for the document-level pre-training task: the Text and Layout Reconstruction (TLR). The TLR task aims to reconstruct the complete text and layout information of a document and present it in a specific format, such as the prescribed "<{box}, {text} >" format, JSON format, or Markdown format.

For region-level pre-training tasks, pre-training is conducted by transforming document layout annotations and table annotations from the original dataset into instructions, as illustrated in the templates shown in Fig. 8.

The segment-level pre-training tasks are all selfsupervised. Utilizing the original text and layout information, the input involves masking text or coordinates, or performing geometric-related calculations based on coordinates to obtain corresponding self-supervised targets. The obtained self-supervised targets are transformed into instructions in Fig. 9 for pre-training.

A.3. Layout-aware SFT Data Construction

This section describes the process of constructing layoutaware SFT data. Fig. 10 presents an overall construction process of the layout-aware SFT data from Algorithm 1, including the document representation, QA&Text CoT Generation, LayoutCoT Generation, and Document Images Generation.

For the document representation, image documents (D_I) and text documents (D_M) are from publicly available document understanding datasets. As mentioned in Sec. 4.1, the HTML document (D_H in Algorithm 1) is from GPT's free generation. Fig. 11 shows an example of the GPT's free generation pipeline for D_H . To generate diverse HTML documents through GPT, some images and captions are randomly sampled from the LAION-5B dataset, which is a large-scale dataset consisting of more than 5B imagetext pairs, as the topic and figure source of the generated D_H . A list of document types is provided for randomly sampling a document type as a constraint when prompting GPT. The detailed prompt is illustrated in Fig. 11. For the QA&Text CoT Generation, Fig. 12 shows the prompts and a specific example used for generating QA and the corresponding Text CoT (T_c) based on document representation (\mathcal{R}) using GPT (GPT-3.5 Turbo). In addition, the \mathcal{D}_M includes the QA pairs and intermediate inference infoamtion process, thereby directly reusing the QA and organizing T_c using a rule-based method. Then, as shown in the Fig. 10 (3), the step 1 & 3 in T_c are used as the step 1 & 3 in \mathcal{L}_c . To construct the step 2 (relevant area concentration) of \mathcal{L}_c , the union bounding-box of all located relevant sentences in \mathcal{T}_c are taken as the relevant area. Finally, the text documents (D_M) and generated HTML documents (D_H) are converted to images.

B. Training Setup

The encoder weight of LayoutLLM is initialized from the LayoutLMv3-large [17] which is a widely-used document pre-trained model. And the LLM backbone is initialized from Vicuna-7B-v1.5 [61]. To further validate the adaptability of the LayoutLLM to different LLMs, llama2-7B-chat [50] is also employed, initializing the LayoutLLM's LLM backbone for experiments. Other parameters are randomly initialized. d_0 is 1024 and d_1 is 4096. Following LayoutLMv3 [17], the maximum tokens of the document are set to 512 for training. The maximum instruction tokens are set to 2048 for training. The AdamW optimizer is used for both pre-training and SFT.

During pre-training, the LLM is frozen, and the parameters of the two projectors and document pre-trained model encoder are updated. Only 1 epoch is pre-trained. The learning rate is set to 1e-4 with a cosine scheduler. The weight decay is set to 0.0001. The warmup ratio is 0.03. The max grad norm is set to 1.0. The batch size is 32 for each GPU.

During SFT, both LLM and two projectors are finetuned while keeping the document pre-trained model encoder frozen. The SFT stage contains 3 epochs. The learning rate is set to 2e-5 with a cosine scheduler. The weight decay is set to 0. The warmup ratio is 0.03. The max grad norm is set to 1.0. The batch size is 8 for each GPU.

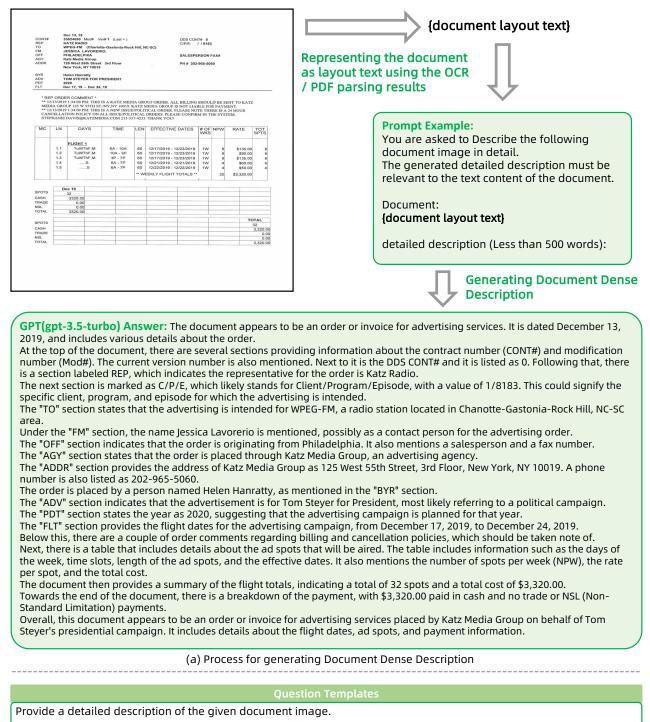
C. Evaluation Setup

This section introduces the construction of test data for visual information extraction using a QA-based approach. To prompt LLMs/MLLMs for zero-shot VIE, annotations in VIE datasets are transformed into question answering format (QA for VIE).

As mentioned in Sec. 4.3, the **FUNSD** [19] dataset is a widely used VIE dataset that is annotated in entity-level headers, questions, answers, and others, along with entity linking annotations. As shown in Fig. 13, for questionanswer annotations with linking in the FUNSD, the question answering pairs of evaluation are constructed by asking the values of the linking keys. To ensure an absolute answer of an evaluation question to avoid ambiguity, cases where one entity links to multiple entities in the FUNSD dataset are filtered out.

Different from the FUNSD dataset, the VIE annotations in the **CORD** [37] and **SROIE** [18] datasets can be directly transformed to {"entity type":"entity text"} as shown in Fig. 14. Therefore, for entity annotations in CORD and SROIE, the question&answer is constructed by directly asking the entity content. Similar to the filter rules conducted on the FUNSD dataset, cases where a specific entity type appears multiple times in the document are filtered out.

In order to avoid the influence of randomness in generation on the evaluation, sampling methods are not used for any of the LLMs/MLLMs during testing. The beam search with a beam size of 5 is employed for generation across all models.



Describe the following document image in detail.

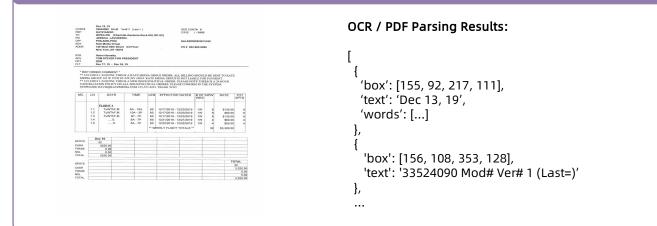
...

Characterize the document image using a well-detailed description.

(b) Question Templates of Document Dense Description Instruction

Figure 6. The data construction of Document Dense Description (DDD) task for document-level pre-training. (a) Given a document, generating its dense description as the instruction answer using its layout text with the help of GPT; (b) The shown question templates are randomly sampled as DDD instructions.

Input: Document Image + OCR / PDF Parsing Results



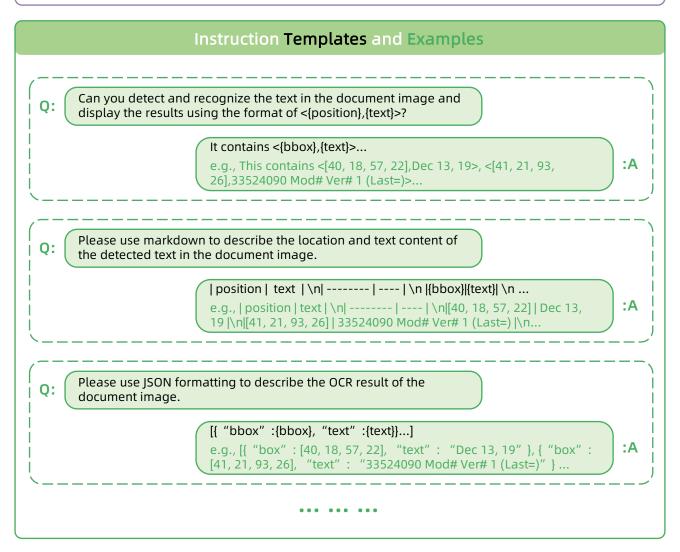
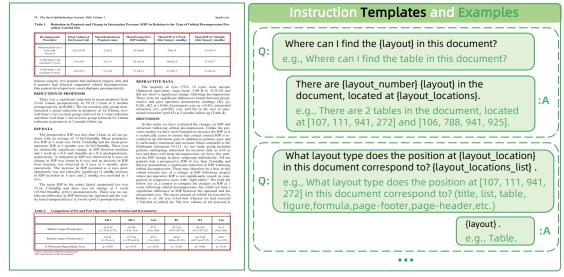
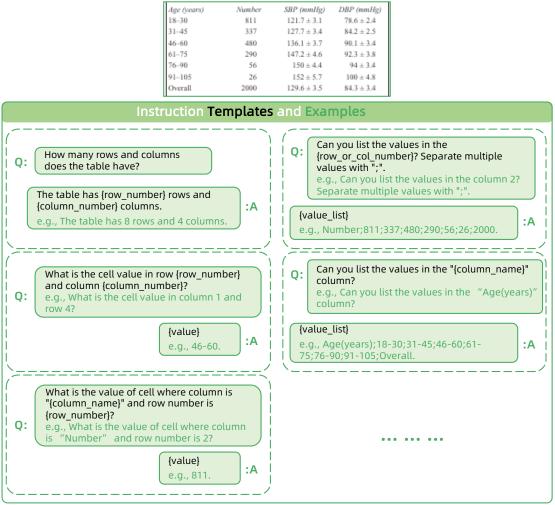


Figure 7. The data construction of Text and Layout Reconstruction (TLR) task for document-level pre-training. Given a document image with OCR or PDF parsing results, constructing TLR instructions by reconstructing the complete text and layout information of the document in a specific format.

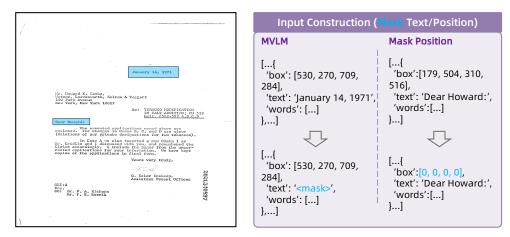


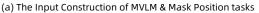


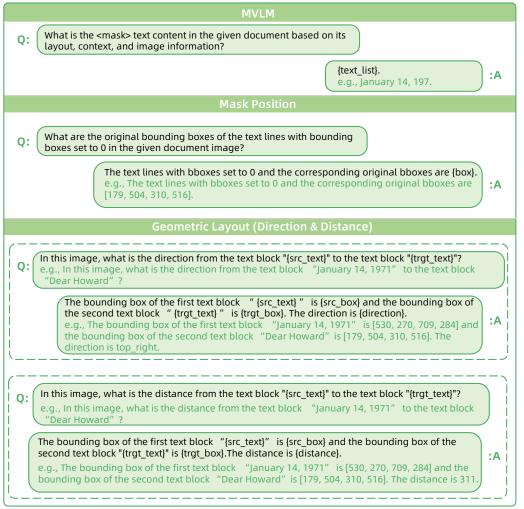


(b) Instruction Templates & Examples for Table Understanding

Figure 8. The data construction of Document Layout Analysis task and Table Understanding task for region-level pre-training. (a) Constructing Document Layout Analysis task instructions by transforming layout annotations to the presented templates; (b) Constructing Table Understanding task instructions by transforming table annotations to the presented templates.







(b) Instruction Templates & Examples for Segment-level Pre-training Tasks

Figure 9. The data construction of MVLM instruction, Mask Position instruction and Geometric Layout instruction tasks for segmentlevel self-supervised pre-training. (a) For the MVLM and Mask Position instructions, randomly masking the text or position coordinates respectively as the inputs for LayoutLLM's document pre-trained model encoder. The masked information is utilized as the target for selfsupervised learning. (b) For the three segment-level pre-training tasks, constructing the instructions for text masking, position masking, and geometric-related tasks based on the presented templates respectively.

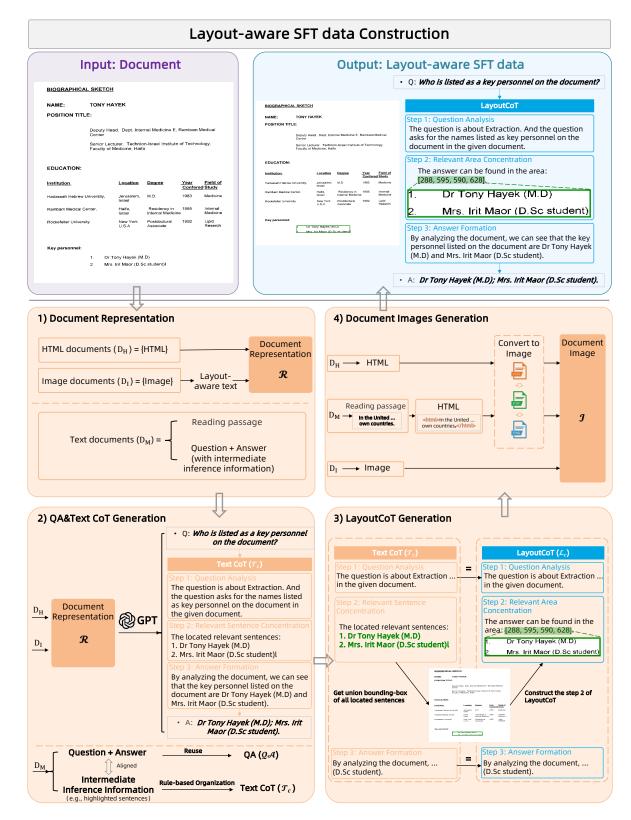


Figure 10. Overview of Layout-aware SFT data construction, involving 4 steps: Document Representation, QA & Text CoT Generation, LayoutCoT Generation, and Document Images Generation.

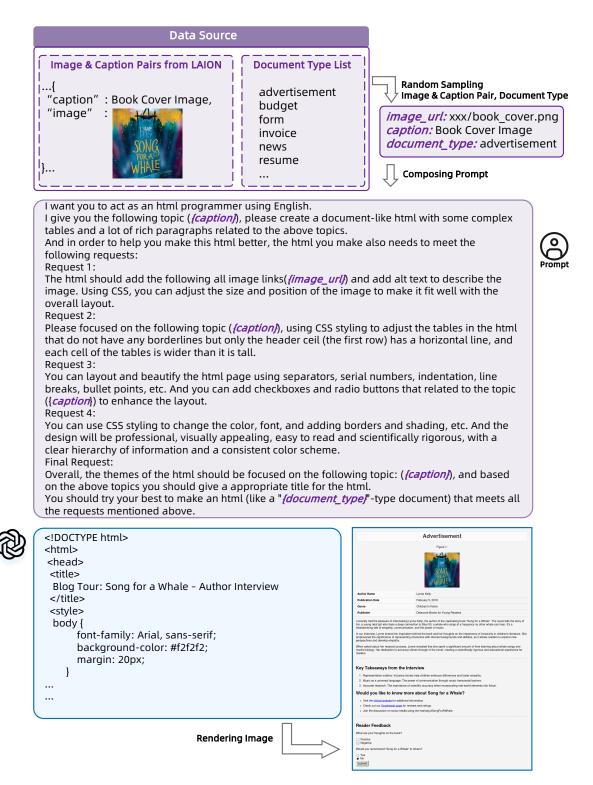


Figure 11. An example of the HTML documents D_H generation pipeline using GPT. To generate HTML documents with diverse layout types by GPT, the data source (including image & caption pairs from LAION and document type list) are randomly sampled as the inputs for composing the prompts of D_H generation.

Market State	You are asked to generate 10 question & answer pairs on a document image. The generated question must be relevant to the text content of the document. The answer to the question is better to be (but not limited to) the short text spans taken webatim from the document. This means that the answers comprise a set of contiguous text tokens present in the document. <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i> <i>Idocument</i>	Ompt
Response	###SEP Q&A 1: Q: Who is the Executive Vice President? A: W. T. Hoyt. ###SEP Q&A 2: Q: How is the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 allocated among the various tobacco companies?	
	You are tasked with generating Chain-of-thought (CoT) based on an document and a question and answer pair related to the document. Document: [document layout text / HTML] 10 Q&A pairs: Q&A 1: Q: Who is the Executive Vice President? A: W. T. Hoyt. Q&A 2: Q: How is the \$120,000.00 allocated among the various tobacco companies? A: The allocation of the \$120,000.00 among the various tobacco companies is as follows: - American Brands, Inc.: 11.92% (amount: \$14,300) - Brown & Williamson Tobacco Corporation:	Prompt
	The generated CoT should include 3 steps: Step 1 (question analysis): Analyze the question type (e.g., "table", "counting", "reasoning", "key-value extraction", "layout", "title", etc.), and determine what information is being asked for. Step 2 (find all the relevant sentences): Find all the relevant sentences from the input document that can inference the answer to the question. Every sentence must be the contiguous original text tokens present in the document. Step 3 (answer analysis): Provide a clear and comprehensive explanation of the logical process used to obtain the answer. Notice! The generated question & answer pairs should be in this format: ###SEP Q&A1: Step 1 (question analysis): guestion type: XXX. The question is asked for XXX. Step 2 (find all the relevant sentences): All the relevant sentences are: 1. xxxx 2. xxxx	
ക	 Step 3 (answer analysis): XXX. Please generate corresponding Chain-of-thought (CoT) based on the document separately for the each Q&A (10 Q&A pairs) mentioned above: Q&A1: Q&A1:	
Response	Step 1 (question analysis): question type: <i>key-value extraction</i> . The question is asking for the Executive Vice President's name. Step 2 (find all the relevant sentences): All the relevant sentences are: Sincerely, 1. W. T. Hoyt U. J. Hoyt 2. Executive Vice President Executive Vice President Step 3 (answer analysis): The Executive Vice President mentioned in the letter is <i>W. T. Hoyt</i> . ###SEP	
	Q&A2: Step 1 (question analysis): question type: <i>table</i> . The question is asking for the allocation of the <i>\$120,000.00</i> among the <i>various tobacco companies.</i> Step 2 (find all the relevant sentences): All the relevant sentences are: 1. Following is a table indicating percentage allocations m. R. J. Reynolds Tobacco Corporation 33.52 40,225	
	Step 3 (answer analysis): According to the table in the document, the allocation of the \$120,000.00 among the various tobacco companies is as follows: - American Brands, Inc.: 11.92% (amount: \$14,300) - Brown & Williamson Tobacco Corporation: 14.87% (amount: \$17,845) - Lorillard: 9.96% (amount: \$11,953) - Philip Morris Incorporated: 29.73% (amount: \$35,677) - R. J. Reynolds Tobacco Corporation: 33.52% (amount: \$40,225)	

Figure 12. An example of QA and corresponding Text CoT (T_c) generation. Given a document representation (layout text or HTML), generating its QA & Text CoT with the help of GPT.

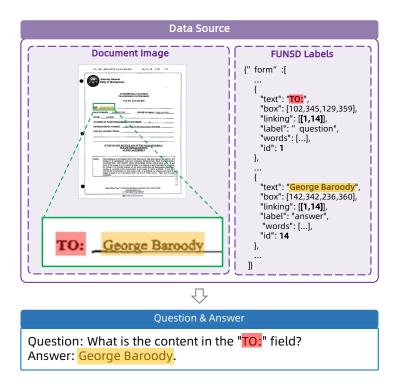


Figure 13. Evaluation data construction example of the QA for VIE task through question-answer with linking annotations in VIE (FUNSD).

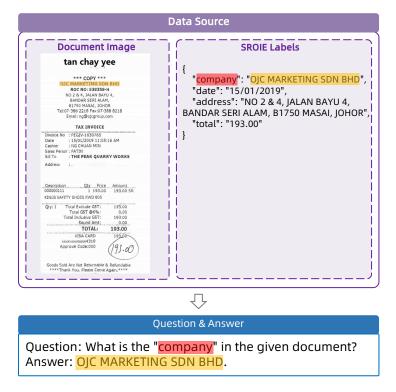


Figure 14. Evaluation data construction example of the QA for VIE task through entity annotations in VIE (SROIE&CORD).