SpLU-RoboNLP 2024

The 4th Workshop on Spatial Language Understanding and Grounded Communication for Robotics

Proceedings of the Workshop

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Introduction

Leveraging the foundation built in the prior workshops SPLU-RoboNLP-2022, SPLU-RoboNLP-2021, SpLU 2020, SpLU-RoboNLP 2019, SpLU 2018, and RoboNLP 2017, we organize the fourth combined workshop on Spatial Language Understanding and Grounded Communication for Robotics, SpLU-RoboNLP-2024. To achieve the long-term goal of natural conversation with robots in our homes, workplaces, hospitals, and warehouses, it is essential that we develop new techniques for linking language to perception and actions in the physical world.

This requires developing tools and theories to find insights into addressing some fundamental questions in NLP and HRI. Some important questions are the following. Can we give instructions to robotic agents to assist with navigation and manipulation tasks in remote settings? Can we talk to robots about the surrounding physical world, and help them interactively learn the language needed to finish a task? Can we develop robots that reply to us via grounded language generation, and eventually lead to an effective, two-way grounded dialogue? Given the rise of generative large language models, another question is how these large models can be deployed in situated dialogue settings and act meaningfully.

Human-robot dialogue often involves developing an understanding of grounded spatial descriptions. These capabilities invariably require understanding spatial semantics that relate to the physical environments where robots are embodied. Spatial semantics are the part of language semantics that is most related to grounding language into perception and the physical world. Spatial language meaning representation includes research related to cognitive and linguistically motivated spatial semantic representations, spatial knowledge representation and ontologies, qualitative and quantitative representation models, spatial annotation schemes, and efforts for creating specialized corpora. Spatial language learning considers both symbolic and sub-symbolic (with continuous representations) techniques and computational models for spatial information extraction, semantic parsing, and spatial co-reference within a global context that includes discourse and pragmatics from data or formal models. Recent studies show that one of the semantic aspects that pre-trained language models and even the recent large generative language models struggle with is reasoning over spatial language. We are interested in investigating whether qualitative and quantitative formal representations are helping spatial reasoning based on natural language and the possibility of learning such representations from data. Moreover, we emphasize on multimodality aspect of spatial language understanding as well as human-robot interaction. Some interesting related questions include, which representations are appropriate for different modalities, and which ones are modality independent? How can we exploit visual information for language learning and reasoning? The main goal of this joint workshop is to bring in the perspectives of researchers working on physical robot systems and with human users and align spatial language understanding representation and learning approaches, datasets and benchmarks with the goals and constraints encountered in HRI and robotics. Such constraints include high costs of real-robot experiments, computational costs for real-time interactions, human-in-the-loop training and evaluation settings, scarcity of embodied data, as well as non-verbal communication.

The invited speakers, program committee, and organizing committee consist of researchers who belong to language, robotics, and vision communities or work in the intersection of these research areas. We have 4 invited speakers, 3 archived papers, and several non-archival papers. Our workshop will

accommodate the relevant ACL findings papers.

Organizing Committee

Organizing Committee

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Language-Guided World Models 🤯 A Model-Based Approach to AI Control

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 Project website: language-guided-world-model.github.io

Abstract

This paper introduces the concept of Language-Guided World Models (LWMs)-probabilistic models that can simulate environments by reading texts. Agents equipped with these models provide humans with more extensive and efficient control, allowing them to simultaneously alter agent behaviors in multiple tasks via natural verbal communication. In this work, we take initial steps in developing robust LWMs that can generalize to compositionally novel language descriptions. We design a challenging world modeling benchmark based on the game of MESSENGER (Hanjie et al., 2021), featuring evaluation settings that require varying degrees of compositional generalization. Our experiments reveal the lack of generalizability of the state-of-the-art Transformer model, as it offers marginal improvements in simulation quality over a no-text baseline. We devise a more robust model by fusing the Transformer with the EMMA attention mechanism (Hanjie et al., 2021). Our model substantially outperforms the Transformer and approaches the performance of a model with an oracle semantic parsing and grounding capability. To demonstrate the practicality of this model in improving AI safety and transparency, we simulate a scenario in which the model enables an agent to present plans to a human before execution, and to revise plans based on their language feedback.

1 Introduction

Model-based agents are artificial agents equipped with probabilistic "world models" that are capable of foreseeing the future state of an environment (Deisenroth and Rasmussen, 2011; Schmidhuber, 2015). World models endow these agents with the ability to plan and learn in imagination (i.e., internal simulation) and have led to exciting results in the field of reinforcement learning (Finn and

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Levine, 2017; Ha and Schmidhuber, 2018; Chua et al., 2018; Hafner et al., 2023). These models have been studied extensively for the purpose of improving the autonomous performance of artificial agents.

In this paper, we endorse and enhance the model-based approach for a different goal: to strengthen the controllability of artificial agents. Since all policies of a model-based agent are optimized with respect to a common world model, a human can adjust multiple policies simultaneously by making appropriate changes to this model. This mechanism complements the model-free approach that updates policies individually, offering greater efficiency and flexibility in control. For example, by incorporating the fact that the floor is slippery into the world model of a robot, a person can effectively remind it to handle every object in a room with greater caution. If the performance of the robot on a task remains unsatisfactory, the person can continue to fine-tune its policy for that specific task. In contrast, without a world model, they have to separately adapt the robot's policies to the slippery-floor condition.

The model-based approach requires world models that can be easily modulated by humans. Traditional world models fall short in this quality because they can only be modified using observational data, which is not a suitable medium for humans to convey intentions (Sumers et al., 2023; Zheng et al., 2023). To overcome the limitations of these models, we develop Language-Guided World Models (LWMs)—world models that can be effectively steered through human verbal communication. Agents equipped with LWMs inherit all the benefits of model-based agents while being able to incorporate language-based supervision. This capability reduces human teaching effort and mitigates the risk of agents taking harmful actions in an environment to explore its dynamics. LWM-based agents can also self-improve by reading "free" texts



Figure 1: Language-guided world models (LWMs) offer human an efficient mechanism to regulate artificial agents. (a) We illustrate a potential application of LWMs to improving AI safety and transparency. These models enable an agent to generate visual plans and invite a human supervisor to validate them. Moreover, the human can adjust the plans by modifying the agent's world model with language feedback, in addition to directly correcting its policy. (b) We design an architecture for LWMs that exhibits strong compositional generalization. We replace the cross-attention mechanism of the standard Transformer with a new attention mechanism inspired by Hanjie et al. (2021) to effectively incorporate language descriptions. We then train a model that auto-regressively generates tokenized observations conditioned on language descriptions and actions.

composed to guide humans (e.g., game manuals), reducing the subsequent effort to fine-tune them through direct interaction.

Building LWMs poses a unique research challenge: grounding language to environmental dynamics. This problem is difficult because the language used to describe environment dynamics can be incredibly rich and complex, encompassing a wide range of concepts such as entity names, appearances, motions, interactions, spatial and temporal relations, and more. Moreover, in natural settings, especially when describing artificial environments (e.g., games), new concepts are often introduced but may not always be clearly defined. Humans deal effectively with this issue because they possess remarkable reasoning capabilities that allow them to infer word meanings from observations. For example, a caption like "the Ziff, which is chasing the player, is extremely hostile" and a video depicting this scene likely provide enough clues for a person to determine what "the Ziff" refers to, assuming that they are familiar with the concept of "chasing". Not only understanding word meanings, humans are also capable of applying newly learned words in novel ways, enabling imagination of new dynamics, such as envisioning a "fleeing Ziff" that runs away from the player.

Toward building world models with similar capabilities, we construct a benchmark based on the game of MESSENGER (Hanjie et al., 2021). In this benchmark, a model is given trajectory "videos" of games involving several entities interacting with each other. Each video is accompanied by language descriptions of the attributes of the entities. The model begins with almost zero language understanding and has to identify the entities and learn the grounded meanings of their attributes purely by watching the videos. At test time, it must demonstrate compositional generalization by being able to simulate environments featuring entities with attributes different from those it observes during training. For example, it has to portray a "fleeing mage" despite having only seen the mage chase the player in training games. We design three evaluation settings that test for incrementally greater degree of compositional generalization.

Despite its apparent simplicity, our benchmark covers many complications in building robust LWMs. We find that the prominent Transformer model (Vaswani et al., 2017) struggles in the harder evaluation settings. Even with a ground-truth disentangled representation of the observations, the model cannot learn generalizable grounding functions and yields minimal improvements in simulation quality compared to a model that ignores the language descriptions entirely. We augment the model with the EMMA attention (Hanjie et al., 2021), which mimics a two-step reasoning process. Our results confirm the effectiveness of this new architecture, as it robustly generalizes even in the hardest evaluation setting, outperforming baselines by substantial margins in various evaluation metrics. It is even competitive with a skyline model with an oracle semantic parsing and grounding capability.

Last but not least, we illustrate a promising application of LWMs by simulating a cautious agent that, instead of performing a task right away, uses its LWM to generate an execution plan and asks a human to review it (Figure 1a). This form of preexecution communication can potentially improve the agent's safety and transparency, following the spirit of the guaranteed safe AI approach proposed by Dalrymple et al. (2024). Moreover, it allows the human to improve the performance of the agent by revising the plan. In this setting, our LWM-based agent has the advantage of being able to assimilate language feedback describing the environment dynamics. We demonstrate that the language understanding capabilities of our proposed LWM are sufficient to enact this strategy. In the most challenging evaluation setting, without gathering additional interactions in the environment, the agent equipped with our model achieves an average reward three to four times higher than that of an agent using an observational world model.

We hope that our work will serve as a catalyst for exploring novel approaches to developing robust language-guided world models. More generally, we call for the design of modular agents whose components are parameterized by natural language. As previously argued, a modular design can dramatically boost communication efficiency, because the same component may be involved in the learning of various policies. We hypothesize that this approach can potentially surpass the efficiency of the currently prevalent approach that integrates language into a monolithic policy (e.g., Bisk et al. (2016); Misra et al. (2018); Anderson et al. (2018); Narasimhan et al. (2018); Hanjie et al. (2021); Zhong et al. (2021) and work on large language models like Ouyang et al. (2022)).

2 Background: world models

We consider a Markov Decision Process (MDP) environment E with state space S, action space A, and transition function $M : S \times A \to \Delta(S \times \mathbb{R} \times \{0, 1\})$, where Δ denotes the set of all probability distributions over a set. An agent implementing a policy $\pi(a \mid s) : S \to \Delta(A)$ interacts with the environment by choosing actions using its policy. Taking an action $a_t \sim \pi(s_t)$ in state s_t transitions the agent to a new state s_{t+1} , and incurs a reward r_{t+1} and a termination signal d_{t+1} , where $s_{t+1}, r_{t+1}, d_{t+1} \sim M(s_t, a_t)$.

A (one-step) world model M_{θ} (Robine et al., 2023; Micheli et al., 2023; Hafner et al., 2023) is an approximation of $M(s_{t+1}, r_{t+1}, d_{t+1} | s_t, a_t)$. A model-based agent uses data gathered in the environment to construct a world model and leverages it to learn policies for accomplishing tasks.¹ In contrast, a model-free agent learns its policies directly from data collected in the environment.

Model-based agents can require less effort to adapt. Because all policies of a model-based agent are derived from a shared world model, any modifications made to this model would affect all of them. This feature can be exploited to reduce human effort in controlling this type of agent. Specifically, suppose we concern m tasks in the environment, necessitating m policies. If there is a change in the environment dynamics, a modelbased agent only needs task-agnostic data to replicate this change in its world model. It can then re-optimize its policies with respect to the updated model. Meanwhile, a model-free agent needs to collect task-specific data to re-train all of its mpolicies. The data collection cost of the modelfree approach scales with m, whereas that of the model-based approach is independent of m, since the policy re-optimization step uses only data generated by the world model.

Observational world models. The dominant approach to world modeling learns a function $M_{\theta}(s_{t+1}, r_{t+1}, d_{t+1} \mid h_t)$ parameterized by a neural network θ and conditioned on a history $h_t =$ $(s_1, r_1, d_1, a_1, \dots, s_t, r_t, d_t, a_t)$. We refer to this class of models as *observational world models* because they can be adapted with only observational data, through either in-weight learning (updating the model parameters to fit a dataset of observations), or in-context learning (plugging in a history of observations).

Relying on observation-based adaptation leads to two drawbacks. First, controlling these models is difficult because observations are inadequate for conveying complex, abstract human intentions. Second, collecting observations requires taking real actions in the environment, which can be expensive, time-consuming, and risky.

¹Note that M_{θ} includes a reward function but can be combined with any other reward function for learning.

3 Language-guided world models (LWMs)

We introduce LWMs, a new class of world models that can interpret language descriptions to simulate environment dynamics. These models address the drawbacks of observational world models. They allow humans to easily adapt their behavior through natural means of communication. Consequently, humans can effectively assist these models, significantly reducing the amount of interactive experiences that they need to collect in environments. In addition, these models can also leverage pre-existing texts written for humans, saving human effort to fine-tune them.

3.1 Formulation

We consider a family of environments E(v)whose transition function has the form $M(s_{t+1}, r_{t+1}, d_{t+1} | h_t, v)$ where v is a parameter vector. Plugging in a specific v gives rise to an environment. We assume that each environment E(v) is accompanied by a *language manual* $\ell = (l_1, \dots, l_N)$ consisting of language descriptions l_i . This manual describes v and the internal operations of M. Our goal is to learn a world model $M_{\theta}(s_{t+1}, r_{t+1}, d_{t+1} | h_t, \ell)$ that approximates the true dynamics $M(s_{t+1}, r_{t+1}, d_{t+1} | h_t, v)$.

The training data for our LWMs is a dataset $\{(\tau^i, \ell^i)\}$ where τ^i is a trajectory generated in an environment $E(v_i)$ with v_i drawn from some distribution P_{train} , and ℓ^i is the accompanying manual. Each trajectory $\tau = (s_1, r_1, d_1, a_1, \dots, s_T, r_T, d_T)$ is a sequence of states, actions, rewards, and termination signals. It can be viewed as a "video" that is annotated with actions and rewards. The trajectories are generated using a behavior policy, which can be a rule-based or learned policy, or a human.

3.2 Modeling entity-based environments

We view an environment as a set of C entities interacting with each other within a constrained space. Each entity c has a set of K attributes, each of which has value v_k^c . There is a special attribute called the identity of the entity (e.g., the name of a character or object in a video game). Each action triggers an event that changes a subset of attributes of a group of entities. The specific change is determined by the attributes of the entities involved in the event (e.g., an enemy entity attacks a player when colliding with them). In this work, we as-



Figure 2: MESSENGER environment with manual.

sume that each description in a manual portrays all attributes of an entity; hence, the number of descriptions N is equal to C.

Testing for compositional generalization. With this formulation, the environment parameters $v = (v_1^1, \dots, v_K^1, v_1^2, \dots, v_1^C, \dots, v_K^C)$ is a vector that contains the attributes of the *C* entities depicted in a manual. We are concerned with building LWMs that, at test time, can simulate environments whose paramerer vectors are compositionally novel. The term "compositionally novel" means that all components of the vector are individually seen during training, but the vector as a whole is previously unseen. This implies that the manuals at test time are also new.

This problem requires a LWM to be able to learn a representation of the transition function M(v) by studying the language of the manuals, and to extract the specific parameters v described by each manual. The function M(v) has two important properties. The first is the *independence* among its parameters because they represent orthogonal attributes. The second is the *locality* of the parameters, as each is an attribute associated with only a single entity. These properties make it difficult to recover the function exactly from purely observational data without injecting strong inductive biases into the learning model.

3.3 The MESSENGER-WM benchmark

The game of MESSENGER, developed by (Hanjie et al. (2021); Figure 2) exemplifies the class of environments discussed in the previous section. Despite being a simple grid-world environment, the dynamics possess the independence and locality properties that we want to study. In fact, it is our intention to use this visually simplistic environment to highlight the challenges in building LWMs that are orthogonal to the computer graphics challenge of mapping state representations to realistic-looking outputs. **Environment dynamics.** The game takes place in a 10×10 grid world. A player interacts with entities of three *roles*: message, goal, and enemy. We use the stage-two version of the game, in which there are three entities, one of each role, in a game instance. In addition to the role, each entity is assigned an *identity* among twelve possibilities (mage, airplane, orb, etc.) and a movement pattern (chasing the agent, fleeing from the agent, immobile). The objective of the player is to acquire the message and deliver it to the goal while avoiding the enemy. Fetching the message is awarded 0.5 points and delivering it to the goal adds another point. If the player collides with the enemy or reaches the goal without carrying the message, the game ends, and the player receives -1 points.

Game manual. A game's manual consists of three descriptions corresponding to the three entities. MESSENGER provides a dataset of 5,316 language descriptions, each of which describes a combination of identity, role, and movement. The descriptions employ various linguistic expressions for each identity, role, or movement pattern (e.g., an airplane can be mentioned as a "plane", "jet", or "airliner"), making it non-trivial to interpret.

Evaluation settings. To test for compositional generalization, we construct three evaluation settings, ordered in increasing degree of difficulty:

- NewCombo (easy). Each game features a combination of three identities that were never seen together in a training game. However, the role and movement pattern of each identity are the same as during training.
- NewAttr (medium). The three identities were seen together in a training game, but each identity is assigned at least a new attribute (role, or movement pattern, or both).
- NewAll (hard). This setting combines the difficulties of the previous two. The identity triplet is novel, and each identity is assigned at least a new attribute.

To generate trajectories, we implement rulebased behavior policies that execute various intentions: act randomly, avoid the enemy, suicide (go to the enemy), obtain the message, and win the game (obtain the message and deliver it to the goal). We generate a total of 100K trajectories for training, each of which is generated by rolling out a uniformly randomly chosen rule-based policy. More details of the data are given in Appendix B. Our evaluation is more comprehensive than the original MESSENGER paper's evaluation, which does not construct different levels of compositional generalization, and is more difficult than the setting of Lin et al. (2024), which does not concern generalization.

To succeed in MESSENGER-WM, a model must be able to understand the non-trivial concepts represented by the attributes. For example, the concept of "chasing" involves planning actions to reduce the distance between two entities. The model must also capture the independence of the attributes, despite observing correlations in the training data (e.g., the "mage" is never immobile during training). Finally, to reflect the locality of the attributes, the model needs to learn a representation that disentangles the entities and to route attributes to the right entities. For example, the movement of one entity should not influence that of another. These are among the difficult, under-explored problems in machine learning, making MESSENGER-WM a respectable research challenge. We will empirically show that the state-of-the-art Transformer architecture struggles to perform well on the benchmark, suggesting that it may be insufficient for tackling more complex world-modeling problems.

4 Modeling approach

State representation. In MESSENGER, a state *s* is represented by an $H \times W$ grid with C channels (an $H \times W \times C$ tensor), where each channel corresponds to an entity. In each channel c, there is a single non-zero cell s(h, w, c) that represents the identity of the entity. The position of this cell is the location of the entity in the grid. We note that this is an idealized representation that disentangles the entities. Even so, the problem remains challenging, as the model needs to recognize attributes mentioned in the manual and associate them with the right entity token. This requires a special attention mechanism, which we will introduce shortly. Meanwhile, learning entity-disentangled representations for pixel-based environments remain an open problem, which we defer to future work.

World modeling as sequence generation. Our model (illustrated in Figure 1b) is an encoderdecoder Transformer (Vaswani et al., 2017) which encodes a manual ℓ and decodes a trajectory τ . We transform the trajectory into a long sequence of tokens and train the model as a sequence generator.

Concretely, our model processes a data point (τ, ℓ) as follows. For the manual $\ell = \{l_i\}_{i=1}^N$, we

first use a pre-trained BERT model to convert each description l_i into a sequence of hidden vectors. We feed each sequence to a Transformer encoder, which outputs a tensor $\boldsymbol{m}^{\text{enc}}$ of size $N \times L \times D$, where N = C is the number of descriptions, L is the maximum number of words in a description, and D is the hidden size.

For the trajectory, we convert each tuple (a_{t-1}, s_t, r_t, d_t) into a token block B_t . The first action a_0 is set to be a special $\langle s \rangle$ to-Each state s_t is mapped to 3C token. kens $(i_t^1, h_t^1, w_t^1, \cdots, i_t^C, h_t^C, w_t^C)$, which represents each of the C entities by its identity i followed by its location (h, w). The real-valued reward r_t is discretized into an integer label, and the termination signal d_t is translated into a binary label. In the end, B_t consists of 3C + 3 tokens $(a_{t-1}, i_t^1, h_t^1, w_t^1, \cdots, i_t^C, h_t^C, w_t^C, r_t, d_t)$. Finally, we concatenate all T blocks in the trajectory into a sequence of $T \times (3C + 3)$ tokens, embed them into a $T \times (3C+3) \times D$ tensor, and add positional embeddings. We will use bold notation (e.g., a, i) to refer to the resultant embeddings of the tokens.

Entity mapper with multi-modal attention. We implement a variant of EMMA (Hanjie et al. (2021)) that first identifies the description that mentions each entity and extracts from it words corresponding to the attributes of the entity. From the tensor m_n^{enc} computed by the encoder, we generate a key tensor m^{key} and a value tensor m^{val} , both of which are of size $N \times L \times D$, where

$$\begin{split} \boldsymbol{m}_n^{\text{key}} &= \texttt{Softmax}(\texttt{Linear}_{\text{key}}(\boldsymbol{m}_n^{\text{enc}})^\top) \boldsymbol{m}_n^{\text{enc}} \\ \boldsymbol{m}_n^{\text{val}} &= \texttt{Softmax}(\texttt{Linear}_{\text{val}}(\boldsymbol{m}_n^{\text{enc}})^\top) \boldsymbol{m}_n^{\text{enc}} \quad (1) \end{split}$$

for $1 \leq n \leq N$. Here, $\text{Linear}_{\text{key}}^{D \to 1}$ and $\text{Linear}_{\text{val}}^{D \to 1}$ are linear layers that transform the input's last dimension from D to 1, and $\text{Softmax}(\cdot)$ applies the softmax function to the last dimension. Intuitively, we want each m_n^{key} to retain words that signal the identity of the entity mentioned in the *n*-th description (e.g., *ferry*, *plane*, *researcher*), and m_n^{val} to retrieve words depicting the other attributes (e.g., *approaching*, *deadly*, *fleeing*).

Let i_t^c be the embedding of the identity of entity c. We perform a dot-product attention with i_t^c as the query, m^{key} as the set of keys, and m^{val} as the set of values to compute the attribute features of c

$$\boldsymbol{z}_{t}^{c} = \mathsf{DotAttend}(\boldsymbol{i}_{t}^{c}, \boldsymbol{m}^{\mathsf{key}}, \boldsymbol{m}^{\mathsf{val}})$$
 (2)

The features are added to the identity tokens i_t^c . The final input of the model is as follows:

$$(a_{t-1}, (i_t^c + z_t^c, h_t^c, w_t^c)_{c=1}^C, r_t, d_t)$$
 (3)

Unlike the standard encoder-decoder Transformer, our architecture does not perform cross-attention between the encoder and the decoder because information from the encoder has already been incorporated into the decoder through EMMA.

Model training. We train the model to minimize cross-entropy loss with respect to the ground-truth (tokenized) trajectories in the training set. The label at each output position is the next token in the ground-truth sequence. In particular, we do not compute the losses at the positions of the action tokens and the first block's tokens, because those tokens will be set during inference.

5 Experiments

5.1 Baselines

We compare our model, which we call EMMA-LWM, with the followings:

- (a) **Observational** world model does not leverage textual information. It is identical to EMMA-LWM except that we zero out the manual representation m^{enc} ;
- (b) Standard is the encoder-decoder Transformer model following Vaswani et al. (2017) with multi-headed cross-attention between the decoder and the encoder. Similarly to EMMA-LWM, the model uses BERT to initially encode the manual into hidden vectors. The encoder applies self-attention to the hidden vectors of each description separately, instead of joining all vectors into a sequence and applying self-attention to it;
- (c) **GPTHard** is similar to EMMA-LWM but uses ChatGPT instead of EMMA to ground descriptions to entities. More details about this model are in Appendix A;
- (d) OracleParse is the same as GPTHard, but uses an oracle information extraction function. A description like "the crucial target is held by the wizard and the wizard is fleeing from you" is converted into "mage fleeing goal" for this model.

We train all models using AdamW (Loshchilov and Hutter, 2017) for 10^5 iterations. For further details, please refer to Appendix C.



Figure 3: A qualitative example taken from the NewAll split. The Observational model mistakenly captures the movement patterns of the immobile queen goal and the chasing whale message. It also misrecognizes the whale as an enemy, predicting a wrong reward r and incorrectly predicting a termination state d after the player collides with this entity. The GPTHard model incorrectly identifies the queen as the message and predicts the whale to be fleeing. Meanwhile, our model EMMA-LWM accurately captures all of those roles and movements.

Table 1: Cross entropy losses (\downarrow) of different models on test ground-truth trajectories. Note that the minimum loss is non-zero because the MESSENGER environment is stochastic. We run each model with five different random seeds, selecting the final checkpoint for each seed based on the loss in the development NewAll split. We report the mean losses with 95% t-value confidence intervals. The bold number in each column indicates the best non-oracle mean.

World model	NewCombo (easy)	NewAttr (medium)	NewAll (hard)
Observational	0.12 ± 0.04	0.18 ± 0.02	0.19 ± 0.01
Standard	0.10 ± 0.04	0.15 ± 0.04	0.16 ± 0.03
GPTHard	0.10 ± 0.02	0.15 ± 0.01	0.16 ± 0.00
EMMA-LWM	$\textbf{0.08} \pm 0.01$	$\textbf{0.10} \pm 0.02$	$\textbf{0.13} \pm 0.01$
OracleParse	0.08 ± 0.01	$\textbf{0.09} \pm 0.02$	0.12 ± 0.06

5.2 Results

Evaluation with ground-truth trajectories. Table 1 shows the cross-entropy losses of all models on ground-truth trajectories sampled from the true environment dynamics (more in Appendix E). In the more difficult NewAttr and NewAll splits, our EMMA-LWM model consistently outperforms all baselines, nearing the performance of the OracleParse model. As expected, the Observational model is easily fooled by spurious correlations between identity and attributes, and among attributes. A specific example is illustrated in Figure 3. There, the Observational model incorrectly captures the movement of the whale and the queen. It also mistakenly portrays the whale as an enemy, whereas, in fact, the entity holds the message. In contrast, EMMA-LWM is capable of interpreting the previously unseen manual and accurately simulates the dynamics.

The performance of the Standard model is sensitive to initialization; in some runs, it performs as well as EMMA-LWM, but in others it performs as badly as Observational. A plausible explanation is that the model's attention mechanism lacks sufficiently strong inductive biases to consistently find generalizable solutions. Our results agree with previous work on the lack of compositional generalizability of Transformers, which is often remedied by adding various forms of inductive bias (Keysers et al., 2020; Jiang and Bansal, 2021; Chaabouni et al., 2021; Dziri et al., 2023).

Another interesting finding is that the GPTHard model does not perform as well as expected. As a reminder, this model relies on ChatGPT to parse identities from descriptions and only needs to learn to extract attributes. Its underperformance compared to EMMA-LWM can be attributed to (i) the imperfection of ChatGPT in identifying identities in descriptions (its accuracy is around 90%; see Appendix B) and (ii) the fact that EMMA-LWM jointly learns to extract both identity and attribute words, which may be more effective than learning to extract only attribute words.

Evaluation with imaginary trajectories. In this evaluation, for each world model and test trajectory, we reset the model to the initial state of the trajectory and sequentially feed the actions in the trajectory to the model until it predicts the end of the episode. This process generates an imaginary trajectory. We refer to the evaluation trajectory as the real trajectory. We compute precisions of predicting non-zero rewards $(r \neq 0)$ and terminations (d = 1). To evaluate movement prediction, we compare the distances from the player to an entity in the real and imaginary trajectories. Concretely, let $\delta_{c,t}^{\text{real}}$ and $\delta_{c,t}^{\text{imag}}$ be the Hamming distances from the player to entity c at the *t*-th time step in a real trajectory τ_{real} and an imaginary trajectory τ_{imag} , respectively. We cal-

Table 2: Results on imaginary trajectory generation. Δ_{dist} measures the similarity between the distances from the player to an entity in a real trajectory and the corresponding imaginary trajectory. The bold number in each column represents the best non-oracle result. EMMA-LWM outperforms all baselines in all metrics.

		$\Delta_{\text{dist}}(\downarrow)$		Non-zero	reward precis	ion (†)	Termina	tion precisior	n (†)
World model	NewCombo (easy)	NewAttr (medium)	NewAll (hard)	NewCombo (easy)	NewAttr (medium)	NewAll (hard)	NewCombo (easy)	NewAttr (medium)	NewAll (hard)
Observational	2.04	2.91	3.00	0.39	0.20	0.15	0.51	0.33	0.28
Standard	0.82	1.48	1.68	0.68	0.43	0.50	0.75	0.55	0.62
GPTHard	0.89	2.74	2.89	0.75	0.34	0.25	0.79	0.45	0.45
EMMA-LWM	0.57	1.14	1.29	0.88	0.69	0.70	0.88	0.75	0.71
OracleParse	0.49	0.77	0.92	0.93	0.81	0.77	0.89	0.84	0.79

culate the average difference in a specific time step: $\Delta_{\text{dist}} = \frac{1}{|\mathcal{D}_{\text{eval}}|} \sum_{\tau_{\text{real}} \in \mathcal{D}_{\text{eval}}} \frac{1}{T_{\min}} \sum_{t=1}^{T_{\min}} |\delta_{c,t}^{\text{real}} - \delta_{c,t}^{\text{imag}}|$ where $\mathcal{D}_{\text{eval}}$ is an evaluation split, $T_{\min} = \min(|\tau_{\text{real}}|, |\tau_{\text{imag}}|)$, and τ_{imag} is generated from τ_{real} . For example, for a chasing entity, $\delta_{c,t}^{\text{real}}$ decreases as t increases. If a model mistakenly predicts the entity to be immobile, $\delta_{c,t}^{\text{imag}}$ remains a constant as t progresses. In this case, Δ_{dist} is nonnegligible, indicating an error. All evaluation metrics are given in Table 2. The ordering of the models is similar to that in the evaluation with ground-truth trajectories. EMMA-LWM is still superior to all baselines in all metrics.

5.3 Application: agents that discuss plans with humans

In this section, we showcase the practicality of our LWM by illustrating that it can facilitate *plan discussions* between an agent and a human supervisor. This approach has the potential to improve the transparency, safety, and performance of real-world agents.

We imagine an agent ordered to perform a task in a previously unseen environment (Figure 1a). Letting the agent perform the task immediately would be extremely risky because of its imperfect knowledge of the environment. Implementing a world model enables the agent to imagine a solution trajectory and present it to a human as a *plan* for review. Conveying plans as trajectories helps the human envision the future behavior of the agent in the real world. Furthermore, the human can improve this behavior by providing feedback to enhance the policy that produces the plan.

A human can update the policy by telling the agent which actions it should have taken. This type of feedback can be incorporated using some form of imitation learning. An agent equipped with a LWM additionally enables the human to **update its policy by giving language feedback that** **aims to modify its world model**. Although an observational world model also allows this form of adaptation, it requires much more effort from the human to generate the feedback. Concretely, the human has to generate observations in the same format as those in the agent's plan (e.g., they have to draw grids in this setting). Furthermore, many abstract concepts may not be efficiently or precisely specified through non-verbal communication.

We simulate this scenario by placing agents with randomly initialized policies in test environments. These agents are forbidden to interact with the environments. However, they are equipped with world models, which allows for imaginary policy update. The world models are the ones we evaluated in the previous section. Importantly, the models were not trained on any data collected in the environments, simulating the fact that these environments are completely new to the agents.

We train all policies with imitation learning, considering two types of feedback: in *online imitation learning* (Ross et al., 2011), the expert suggests the best actions to take in the states present in the plan; in the *filtered behavior cloning* setting, the expert simply overwrites the agent's plan with their own plan. In the latter setting, the agent chooses the plans that achieve the highest returns according to their world models to imitate. We experiment with a near-optimal expert and a suboptimal expert. We provide more details in Appendix D.

The agents endowed with LWMs can also process language feedback aiming to change their world models. This feedback is simulated by the game manuals accompanying the environments. It serves as the input ℓ of the LWMs. We suppose that a human gives this feedback once to an agent, before adapting it via imitation learning.

We present the performance of the agents after adaptation in Table 3. Learning with the Observational world model amounts to the case where the human provides only imitation-learning feedback and cannot adapt the world model via language. Meanwhile, learning with EMMA-LWM represents the case where the human can use language feedback to improve the world model. In all evaluation settings, we observe significant improvements in the average return of policies that adopt our EMMA-LWM. There are still considerable gaps compared to using the OracleParse model, indicating that our model still has room for improvement.

Table 3: Average returns (\uparrow) in real environments of policies trained with imaginary imitation learning using world models. Bold numbers indicate the best non-oracle means in the corresponding settings. An expanded table with all models and details on how the metric was computed are available in Appendix E.

Setting	World model	NewCombo (easy)	NewAttr (medium)	NewAll (hard)
Online IL (near-optimal)	Observational EMMA-LWM (ours) OracleParse	$\begin{array}{c} \textbf{0.75} \pm 0.16 \\ \textbf{1.01} \pm 0.12 \\ \textbf{1.04} \pm 0.13 \end{array}$	$\begin{array}{c} \textbf{-0.41} \pm 0.21 \\ \textbf{0.96} \pm 0.17 \\ \textbf{0.85} \pm 0.20 \end{array}$	$\begin{array}{c} \textbf{-0.21} \pm 0.21 \\ \textbf{0.62} \pm 0.21 \\ \textbf{0.91} \pm 0.18 \end{array}$
Filtered BC (near-optimal)	Observational EMMA-LWM (ours) OracleParse	0.77 ± 0.14 1.18 ± 0.10 1.17 ± 0.11	$\begin{array}{c} \textbf{-0.42} \pm 0.15 \\ \textbf{0.75} \pm 0.20 \\ \textbf{0.84} \pm 0.19 \end{array}$	$\begin{array}{c} \textbf{-0.30} \pm 0.16 \\ \textbf{0.44} \pm 0.18 \\ \textbf{0.80} \pm 0.18 \end{array}$
Filtered BC (suboptimal)	Observational EMMA-LWM (ours) OracleParse	0.71 ± 0.15 0.98 ± 0.13 1.09 ± 0.13	$\begin{array}{c} \textbf{-0.35} \pm 0.18 \\ \textbf{0.29} \pm 0.25 \\ \textbf{0.50} \pm 0.24 \end{array}$	$\begin{array}{c} \textbf{-0.33} \pm 0.17 \\ \textbf{0.13} \pm 0.19 \\ \textbf{0.49} \pm 0.18 \end{array}$

6 Related work

World models. World models have a rich history dating back to the 1980s (Werbos, 1987). The base architecture has evolved from feed-forward neural networks (Werbos, 1987), to recurrent neural networks (Schmidhuber, 1990a,b, 1991), and most recently, Transformers (Robine et al., 2023; Micheli et al., 2023). In RL settings, world models are the key component of model-based approaches, which train policies in simulation to reduce the amount of interactions with real environments. Model-based RL has been successful in a variety of robotic tasks (Finn and Levine, 2017) and video games (Hafner et al., 2019, 2020, 2023). However, the incorporation of language information into world models has been underexplored. Cowen-Rivers and Naradowsky (2020) propose language-conditioned world models but focus on emergent language rather than human language. Poudel et al. (2023) incorporate features language into the representations of the model. These approaches, however, do not use language to control a world model.

Language-based adaptation. Language information has been incorporated into various aspects of learning. In instruction following (Bisk et al., 2016; Misra et al., 2018; Anderson et al., 2018; Nguyen and Daumé III, 2019), agents are given descriptions of the desired behaviors and learn to interpret them to perform tasks. Language-based learning (Nguyen et al., 2021; Scheurer et al., 2023) employs language-based feedback to train models. Another line of work uses language descriptions of environment dynamics to improve policy learning (Narasimhan et al., 2018; Branavan, 2012; Hanjie et al., 2021; Wu et al., 2023a; Nottingham et al., 2022; Zhong et al., 2020). Rather than using texts to directly improve a policy, our work leverages them to enhance a model of an environment. Recently, several papers propose agents that can read text manuals to play games (Wu et al., 2023a,b). Our work differs from these papers in that we aim to build models that capture exactly the transition function of an environment.

Compositional generalization for languageguided world models. Lin et al. (2024) model a variety of text-augmented environments but do not demonstrate the generalizability of their approach in MESSENGER. Recent work (Zhao et al., 2022; Du et al., 2024; Zhou et al., 2024; Zhang et al., 2024) has developed LWMs with compositional generalizability. While these papers operate on more visually realistic domains than ours, the language they study is simpler, focusing on concepts that correspond to straightforward mappings from input to output such as colors and objects. In contrast, the concepts in MESSENGER are more intricate, regarding interactions among multiple entities.

7 Conclusion

We introduce *Language-Guided World Models*, which can be adapted through natural language. We outline numerous advantages of these models over traditional observational world models. Our model is still lacking in performance and the gridworld environments we experiment with severely underrepresent the real world. Nevertheless, we hope that this work helps envision the potential of LWMs in enhancing the controllability of artificial agents and inspires future efforts to address the compositional generalization challenge.

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A GPTHard model

This approach leverages the languageunderstanding capabilities of ChatGPT. Through few-shot prompting, we instruct this model to determine the identity of the entity mentioned in each manual description. In this approach, we generate only the set of values m^{val} as in Eq 1. Instead of learning soft attention, we directly route the values to the identity embeddings. Concretely, the feature vector added to i_t^c in Eq 3 is $z_t^c = m_{j_c}^{val}$ where j_c is the index of the description that mentions entity c according to ChatGPT.

We compose the following prompt for parsing descriptions. We use the "May 3, 2023" release of ChatGPT. We feed to the model one description at a time instead of a whole manual of three descriptions. We ask it to also extract the role and movement pattern, but use only the parsed identity in the GPTHard model. The "ChatGPT identity-parsing" column in Table 4 shows the fraction of games in each split in which ChatGPT correctly identifies all three identities in a game. Note that the OracleParse model uses the ground-truth parses rather than these parses.

```
You are playing a role-playing video
  game where you will need to read
  textual descriptions to figure out
  the attributes of a character.
This is a list of characters and their
  corresponding IDs:
airplane: 2
mage: 3
dog: 4
bird: 5
fish: 6
scientist: 7
thief: 8
ship: 9
```

```
sword: 13
This is a list of movement types and
    their corresponding IDs:
chasing: 0
fleeing: 1
stationary: 2
This is a list of role types and their
    corresponding IDs:
dangerous enemy: 0
secret message: 1
```

```
essential objective: 2
```

ball: 10

robot: 11

queen: 12

```
Now, read a description and tell me
which character is being mentioned
and what are its movement type and
role type. Your answer should follow
this format:
```

```
Answer: Character ID, movement type ID,
role type ID
Here are a few examples:
Description: the plane that's flying
   near where you are is the critical
   objective.
Answer: 2, 0, 2
Description: the escaping humanoid is an
    important goal.
Answer: 11, 1, 2
Description: the mage is inching near
   you is a lethal opponent.
Answer: 3, 0, 0
Description: the classified document is
   the hound coming your way.
Answer: 4, 0, 1
Description: the important goal is the
   orb which is creeping close to you.
Answer: 10, 0, 2
Now provide the answer for the following
    description. Follow the format of
   the previous answers:
Description: [PLACEHOLDER]
```

B Dataset

Statistics of our dataset are provided in Table 4. The maximum trajectory length is 32. We implement five rule-based behavior policies: survive (avoid the enemy and goal), win the game, suicide (go to the enemy), obtain the message, and act randomly. The survive policy acts randomly when the distances to the enemy and the goal are greater than or equal to 6. Otherwise, it takes the action that makes its distance to those entities at least 3. If that is impossible, it chooses the action that maximizes the minimum distance to one of the two entities. The win the game policy is not optimal: it simply aims to obtain the message and then run to the goal, without having a strategy to avoid the enemy. We run a breadth-first search to find the next best action to get to an entity.

For the training split, we generate 66 trajectories per game. The behavior policy for each trajectory is chosen uniformly randomly among the five rulebased policies. For each evaluation split, we generate 5 trajectories per game, using every rule-based policy to generate trajectories.

Split		Unique games	Unique descriptions	Trajectories	ChatGPT identity-parsing accuracy (%)
Train		1,536	986	101,376	92
	NewCombo	896	598	4,480	89
Dev	NewAttr	204	319	1,020	88
	NewAll	856	1,028	4,280	86
	NewCombo	896	587	4,480	90
Test	NewAttr	204	306	1,020	93
	NewAll	856	1,016	4,280	88

Table 4: MESSENGER data statistics. The last column shows the fraction of games in each split in which ChatGPT correctly identifies all three identities in a game.

Hyperparameter	Value
Hidden size	256
Number of encoder layers	4
Number of decoder layers	4
Number of decoder token blocks	33
Dropout rate	0.1
Batch size	32
Number of training batches	100K
Evaluation every	500 batches
Optimizer	AdamW
Learning rate	1e-4
Max. gradient norm	10

Table 5: Training hyperparameters.

С **Training details**

Our implementation of Transformer is largely based on the IRIS codebase (Micheli et al., 2023).² We implement cross-attention for the Standard baseline, and EMMA for our model.

Initialization. We find that the default PyTorch initialization scheme does not suffice for our model to generalize compositionally. We adopt the following initialization scheme from the IRIS codebase:

```
def init_weights(module):
    if isinstance(module, (nn.Linear, nn.Embedding)):
         module.weight.data.normal_(mean=0.0, std=0.02) Ior 2,000 iterations.
if isinstance(module, nn.Linear) and module.bias is not None: The test environments are randomly chosen from
             module.bias.data.zero_()
    elif isinstance(module, nn.LayerNorm):
         module.bias.data.zero_()
         module.weight.data.fill_(1.0)
```

which is evoked by calling self.apply(init_weights) in the model's constructor. We initialize all models with this scheme, but only EMMA-LWM and OracleParse

perform well consistently on various random seeds.

Compute resources. Experiments were primarily run on a cluster of NVIDIA RTX2080 GPUs, and each experiment was run on a single device. To generate Table 1, we trained each world model for 24 GPU hours, 5 seeds each. To generate Table 3 and 6, we trained each of the 5 world models on each of the 90 games (3 difficulties for 30 game configurations) using the 3 different downstream policy training strategies, with each game being 12 GPU hours.

D **Imitation learning experiments**

The learning policy follows the EMMA-based policy architecture of (Hanjie et al., 2021), which at each time step processes a stack of 3 most recent observations with a convolution-then-MLP encoder. We train the policy with 2,000 batches using the same optimizer hyperparameters as those of the world models.

For the online IL setting, we use the win the game rule-based policy (Appendix B) as the expert. For the filtered BC setting, we train an EMMA policy to overfit the test environment. We then use a fully converged checkpoint of the policy as the near-optimal expert, and a not fully converged checkpoint as the suboptimal expert. The former is trained for 10.000 iterations and the latter is trained for 2,000 iterations.

the test splits. We select 10 environments per split. We evaluate each policy for 48 episodes in the real environment. These episodes cover all 24 initial configurations of a stage-two MESSENGER game.

E **Extended results**

Figure 4 studies the performance of the models when conditioned on prefixes of the ground-truth

²https://github.com/eloialonso/iris



Figure 4: The cross entropy losses of the models when conditioned on ground-truth trajectory prefixes up to a certain length. We plot the means with 95% t-value confidence intervals. The losses generally decrease as the prefix length increases. EMMA-LWM outperforms baselines given any prefix length.

trajectories. The losses of all models decrease as the prefix length increases, but the baselines cannot close the gaps with EMMA-LWM. Across all splits, EMMA-LWM conditioned on a one-step history outperforms Observational conditioned on one third of a ground-truth trajectory, demonstrating that our model has effectively leveraged the textual information.

Table 6 presents the results of all the models in the simulation of plan discussion (§5.3).

Table 6: Average returns (\uparrow) in real environments of policies trained with imaginary imitation learning using world models. For each world model type, we use the best checkpoint of a run chosen randomly among the five runs mentioned in Table 1. Experiments are conducted in 90 environments randomly chosen from the test splits (30 from each split). For each environment and learned policy, we compute the average return over 48 runs. For each split, we report the means of the average returns in the 30 environments with 95% t-value confidence intervals. Bold numbers indicate the best non-oracle means in the corresponding settings. EMMA-LWM outperforms all baselines in all settings.

Setting	World model	NewCombo (easy)	NewAttr (medium)	NewAll (hard)
	Observational	0.75 ± 0.16	$\textbf{-0.41} \pm 0.21$	$\textbf{-0.21} \pm 0.21$
	Standard	0.93 ± 0.13	0.04 ± 0.26	0.30 ± 0.22
(near-optimal expert)	GPTHard	0.82 ± 0.15	$\textbf{-0.20} \pm 0.20$	$\textbf{-0.06} \pm 0.21$
(neur optimut expert)	EMMA-LWM (ours)	$\textbf{1.01} \pm 0.12$	$\textbf{0.96} \pm 0.17$	$\textbf{0.62} \pm 0.21$
	OracleParse	1.04 ± 0.13	0.85 ± 0.20	0.91 ± 0.18
	Observational	0.77 ± 0.14	$\textbf{-0.42} \pm 0.15$	$\textbf{-0.30} \pm 0.16$
Eilten d DC	Standard	1.05 ± 0.14	0.20 ± 0.27	0.17 ± 0.20
(near-optimal expert)	GPTHard	0.79 ± 0.15	$\textbf{-0.10} \pm 0.20$	$\textbf{-0.07} \pm 0.20$
(near optimal expert)	EMMA-LWM (ours)	$\textbf{1.18} \pm 0.10$	$\textbf{0.75} \pm 0.20$	$\textbf{0.44} \pm 0.18$
	OracleParse	1.17 ± 0.11	0.84 ± 0.19	0.80 ± 0.18
	Observational	0.71 ± 0.15	$\textbf{-0.35} \pm 0.18$	$\textbf{-0.33} \pm 0.17$
	Standard	0.68 ± 0.15	$\textbf{-0.15} \pm 0.21$	$\textbf{-0.10} \pm 0.17$
(suboptimal expert)	GPTHard	0.75 ± 0.22	0.05 ± 0.25	$\boldsymbol{0.06} \pm 0.17$
(one optimation port)	EMMA-LWM (ours)	$\textbf{0.98} \pm \textbf{0.13}$	$\textbf{0.29} \pm \textbf{0.25}$	$\textbf{0.13} \pm 0.19$
	OracleParse	1.09 ± 0.13	0.50 ± 0.24	0.49 ± 0.18

Learning Communication Policies for Different Follower Behaviors in a Collaborative Reference Game

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Abstract

In this work, we evaluate the adaptability of neural agents towards assumed partner behaviors in a collaborative reference game. In this game, success is achieved when a knowledgeable guide can verbally lead a follower to the selection of a specific puzzle piece among several distractors. We frame this language grounding and coordination task as a reinforcement learning problem and measure to which extent a common reinforcement training algorithm (PPO) is able to produce neural agents (the guides) that perform well with various heuristic follower behaviors that vary along the dimensions of confidence and autonomy. We experiment with a learning signal that in addition to the goal condition also respects an assumed communicative effort. Our results indicate that this novel ingredient leads to communicative strategies that are less verbose (staying silent in some of the steps) and that with respect to that the guide's strategies indeed adapt to the partner's level of confidence and autonomy.

1 Introduction

Sometimes we feel like we could continue another person's sentence. This happens in particular with people we know well or we often interact with. A common phrase coined to this phenomenon is that "people are on the same wavelength". Indeed Davidesco et al. (2023) found that brain activities somewhat synchronize between teachers and students during lessons. Even more surprising, synchronicity becomes a good predictor of the learning success of the students. A psycho-linguistic study by Clark and Wilkes-Gibbs (1986) observed the language use of collaborative partners during an ongoing goal-oriented interaction: They (implicitly) agree on newly introduced noun phrases and a common strategy to achieve the goal together. Interestingly, the number of used words drastically decreases during the collaboration. The participants



Figure 1: An exemplary interaction between a guide and a follower who controls the gripper (the black dot). The guide observes the scene v_0 and refers to a piece initially with l_0 . The follower has only a partial view p_0 (the grey box) and might go wrong. The guide can provide further information based on the follower's actions until a piece is selected at time step T. The guide should learn that fewer utterances are necessary with a more autonomous and confident follower.

strive towards reduced individual efforts while the number of successful outcomes stays high. We see that human-human interaction is characterized by synchronicity (adaption) and the reduction of individual efforts. Still, the modelling of changing behaviors (or different others) remains an open problem "due to the essentially unconstrained nature of what other agents may do" (Albrecht and Stone, 2018). Are neural agents capable of adapting to their interactants and converge to useful strategies when the partner's behavior becomes apparent only during an ongoing interaction itself?

In this work, we frame a collaborative language coordination and grounding task (see Figure 1) as a reinforcement learning problem (Sutton and Barto, 2018) and evaluate, if and to which extent a common training algorithm Proximal Policy Optimization (PPO) (Schulman et al., 2017) is able to produce neural agents that perform well with a variety of partner behaviors. To study how learning agents potentially adapt to an assumed partner's behavior, we propose a challenging vision and language grounding task where two players have to coordinate on the selection of a puzzle piece (a Pentomino, a shape of five adjacent squares; Golomb (1996)) among several distractors while (i) the actual target piece is only known to one of them (the guide), and (ii) only the other can perform the selection (the follower).

The main idea is that we assume an ongoing interaction in which the follower's behavior changes. After some time the follower should become more autonomous and more confident in choosing actions and executing its own plan (as pointed out by Clark and Wilkes-Gibbs (1986)). But instead of treating this as a multi-agent setting directly, we follow Yang et al. (2022) with the notion of assigning different agents to different sub-tasks and learn a policy for each of the controllable follower behaviors (the sub-tasks) separately. The resulting policies represent a guide's communicative strategy at certain points in time of the assumed ongoing interaction.

Our expectations on the learned communicative strategies of the guide are that in the beginning (with a less autonomous, less confident follower) more is to be said. Later on, with a more autonomous and confident follower, the guide learns that it "does not need to say anything" to be successful and consequently reduces its effort. Our contributions are as follows¹:

- We propose a challenging RL environment: a reference game in which a neural agent (the guide) has to learn communication strategies that are **successful and reduce an assumed effort**, and
- contribute a plausible follower policy (the training partner) that is variable on two dimensions: **confidence** and **autonomy**, and
- present strong baseline guide policies for this difficult cooperative reference game that are indeed able to balance out episode success and their individual effort by **learning to stay silent**.

2 Related Work

Vision and language navigation. The use of natural language to guide an instruction following agent has been heavily studied for the vision and language navigation task (Gu et al., 2022; Nguyen et al., 2019; Nguyen and Daumé III, 2019; Fried et al., 2018; Thomason et al., 2019). For example, Nguyen and Daumé III (2019) train an instruction giver (IG) on a pre-collected dataset of instructions. The follower is then allowed to ask the IG for more information during task execution. Although the setting is very similar, but in our work the guide has to learn when to provide more information to the follower. In our setting, the language back-channel for the follower is cut, so the players must use the vision signal in their coordination and the guide's must monitor the follower's behavior.

Natural language goals in RL. Using natural language to describe the goal state in an RL problem has become a common theme (Chevalier-Boisvert et al., 2019; Gao et al., 2022; Padmakumar et al., 2022; Pashevich et al., 2021; Suhr and Artzi, 2023). This research direction is interesting because it could allow humans to interact more easily with learned agents. There is work that shows that intermediate language inputs are a valuable signal in task-oriented visual environments (Co-Reyes et al., 2019; Mu et al., 2022). Indeed Huang et al. (2023) found that natural language can "provide a gradient" towards the goal state. But they also point out the "brittleness" of these signals because the language input might align badly with sub-trajectories. A key challenge here is the variability of expressions in language that can be produced and understood in the defined action space. Even in relatively simple environments, there might arise an overwhelming amount of situations for an agent to handle (Chevalier-Boisvert et al., 2019). We weaken the action space exploration problem by using ideas from natural language understanding (Moon et al., 2020; E et al., 2019) and let the guide produce language actions in a well-defined reduced "intent space". These intents are then verbalized (using templates; which could be a conditioned pretrained language model) and given to the follower.

Interactive sub-goal generation in RL. Sun et al. (2023) use a pre-trained large language model to generate possible plans (in the form of source code) for the completion of a task. The learning process is extended with a mechanism that allows

¹Source code is publicly available at: https://github. com/clp-research/different-follower-behaviors



Figure 2: The general information and decision-making flow of the reference game. The guide observes v_t which contains the full scene in pixel space and additionally the gripper position (4th-channel) and target piece (5th-channel). Given this, the guide chooses an intent action a_t that gets verbalized into a template-based sentence l_t . Then, the follower receives the utterance l_t , the gripper coordinate g_t and a symbolic representation of a partial view of the scene p_t . The hand-crafted policy updates the plan accordingly based on its given representation of the world. Finally, the follower's next planned action (or wait) is performed with a certain chance defined by the attached confidence. The process repeats until a piece is taken or time runs out.

the model to learn the refinement of single actions or an entire plan respectively. Indeed neural agents perform better when they self-predict sub-goals to be achieved (with an intrinsic reward) instead of reaching for the final goal immediately (Jurgenson and Tamar, 2023; Chane-Sane et al., 2021; Pertsch et al., 2020; Jeon et al., 2022). For example, Lee and Kim (2023) study the task of finding the best route in a simple visual domain by training a subgoal system that predicts intermediate coordinates. In contrast to them, our guiding agent has to produce utterances to describe a sub-goal (and we use referring expressions or directions). Gürtler et al. (2021) also address the question of "when to provide sub-goals", which is necessary in our task. Nevertheless, in distinction to these works, we treat the sub-goal generation not just as additional information for the follower's success but are interested in the learned communicative strategies themselves. We treat the sub-goal providing guide as an individual participant in the environment similar to a multi-agent setting.

Skill learning in cooperative multi-agent RL. We treat both guide and follower as agents in a cooperative setting and follow work that uses hand-crafted policies (Wang et al., 2021; Ghosh et al., 2020; Xie et al., 2020). In this sense, our approach is similar to heterogeneous skill learning (Chang et al., 2022; Liu et al., 2022; Hu et al., 2023) where a single agent is trained to acquire a variety of

skills (in our case communication strategies). This is, in particular, helpful due to the differences in the action spaces of the guide (language acts) and the follower (movements). In addition, this method of having a hand-crafted follower policy allows us to avoid the problem of emergent communication where agents agree on a language that becomes inaccessible to humans (Lowe et al., 2019).

3 The Collaborative Reference Game

We use a collaborative game of referential and interactive language with Pentomino pieces (Sadler et al., 2023) and extend it for guidance learning. A guide has to instruct a follower to select a specific target piece with a gripper. In this setting, both players are constrained as follows: The guide can provide utterances but cannot move the gripper. The follower can move the gripper but is not allowed to provide an utterance. This asymmetry in knowledge and skill forces them to work together and coordinate. Zarrieß et al. (2016) found that such a reference game leads to diverse language use on the guide's side.

3.1 Problem Formulation

We frame this game as an RL problem with sparse rewards. At each time-step t, given an observation $o_t \in \mathcal{O}$ of the environment (see Figure 2), the guide has to choose an action a_t such that the overall resulting sequence of actions $(a_0, ..., a_t, ..., a_T)$ (which become verbalized into $(l_0, ..., l_t, ..., l_T)$) maximizes the sparse reward $\mathcal{R}(o_T) = r$ that is given on episode end, either when a piece is selected by the follower or t reaches $T_{max} = 30$. This maximal number of steps is sufficient to navigate to the target piece with some extra steps for corrections on our 21×21 tile maps. The follower starts in the center of the map so that the farthest tile would be 10 horizontal plus 10 vertical steps away.

3.2 Actions

We let the guide predict "intent" actions and translate them into sentences instead of predicting words directly to reduce the agent's burden on action space exploration (later this verbalization process could be done by a language generation system). Here we focus on the guide's choice among five intent categories: silence, confirm, decline, directive, reference. For the directives, we allow more fine-grained control over the utterance production, so that the agent has to choose between left, right, up, down and take. Similarly, for the references the agent has to choose among possible preference orders PCS, PSC, SPC, CPS, SCP and CSP (in which P, C and S stand for piece, color, and shape, respectively). These preference orders (PO) define the order in which properties are compared between the target piece and its distractors. This means, for example, that a CSP-based reference is likely to mention the target piece's color because the color is tried first to distinguish the target from its distractors (and it is very unlikely that all pieces share the same color). These six reference actions, five directive actions, silence, confirm and decline lead to a total of |A| = 14 actions. In comparison, the vocabulary contains 37 tokens and the maximal sentence length is 12 which results in 37^{12} possible utterances when predicting individual words instead of intents.

3.3 Verbalization

The chosen intent is then verbalized based on templates by application of the following rules:

```
\begin{array}{l} \mbox{silence} \rightarrow \mbox{sempty string} \\ \mbox{confirm} \rightarrow \mbox{Yes this [way|<piece>]} \\ \mbox{decline} \rightarrow \mbox{Not this [way|<piece>]} \\ \mbox{directive(take)} \rightarrow \mbox{Take <piece>} \\ \mbox{directive(dir)} \rightarrow \mbox{Go <dir>} \\ \mbox{reference(PO)} \rightarrow \mbox{Take the <IA(PO)>} \end{array}
```

where <piece> resolves to a piece's color and shape when the current gripper position is located over a piece (or otherwise simply piece). The direction <dir> resolve to the according intent name. The fine-grained reference intent (PO) is given to the "Incremental Algorithm" (Dale and Reiter, 1995), which produces the referring expression for reference verbalization (see Appendix A.1).

3.4 Rewards

Following Chevalier-Boisvert et al. (2019), we define a basic sparse reward for playing the game:

$$\mathcal{R}_{\text{Game}} = 1 - 0.9 * (T/T_{\text{max}}) \tag{1}$$

In addition, we introduce a sparse reward for the guide's individual effort in an episode:

$$\mathcal{R}_{\text{Guide}} = 1 - 0.9 * \left(E_{\text{Guide}} / T_{\text{max}} \right) \qquad (2)$$

where the guide's effort E_{Guide} is the sum over the assumed efforts of taking the respective actions:

$$E_{\text{Guide}} = \sum_{t=1}^{T} \begin{cases} 0, & \text{if } a_t \in \{\text{silence}\} \\ 1.0, & \text{if } a_t \in \{\text{confirm, decline}\} \\ 1.1, & \text{if } a_t \in \{\text{directive}\} \\ 1.2, & \text{if } a_t \in \{\text{reference}\} \end{cases}$$
(3)

These action-based efforts follow the assumed cognitive load for producing them i.e. saying nothing is the cheapest and comparing pieces with each other to produce a reference is the highest. Finally, we give an additional reward ($\mathcal{R}_{Outcome}$) of +1 when the correct piece or a penalty of -1 if the wrong or no piece has been taken at all, so that:

$$\mathcal{R} = (\mathcal{R}_{\text{Game}} + \mathcal{R}_{\text{Guide}})/2 + \mathcal{R}_{\text{Outcome}} \quad (4)$$

Given this formulation, the guide has to play the game by being active (not just stay silent), achieve the goal (get the bonus) and reduce its individual effort (stay mostly silent) to reach a high reward.

3.5 Observations

The environment exposes at each time-step t an observation o_t that contains the following:

- the follower's gripper coordinates $g_t = (x, y)$
- the guide's utterance l_t (might be empty)
- a full view of the scene v_t for the guide
- a partial view p_t of the scene for the follower

The visual observations are 3-dimensional representations of the full $W \times H$ -sized board for the guide (RGB-images) and a 11 × 11-sized cut-out centered on the gripper's position for the follower (CSI-images). We add a 4th channel to the visual observations to indicate the gripper position by setting the values to zero at g_t and one otherwise. In addition, the guide is informed about the target piece coordinates by setting the according values to zero for the target piece and ones otherwise on a 5th channel of its visual observation. For our purposes, the follower receives a symbolic representation of the partial view where colors, shapes and piece IDs are mapped to numbers (see Appendix A.1).

3.6 Task Instances

The task is that a guide provides utterances to a follower who has to take an intended target piece among several other pieces (the distractors). Thus, a game instance of this task is defined by the number and identity of pieces on the board, including which of these is the target piece, and by the size of the board.

The appearance and positioning of the pieces is derived from symbolic piece representations: a tuple of shape (9), color (6), and position (8). We experiment with 360 of these symbolic pieces which include all shapes, colors, and positions and split them into distinct sets (see Table 1). Therefore, the target symbols for the testing tasks are distinct from the ones seen during training (they might share color and shape though, but are for example positioned elsewhere).

We ensure the reproducibility of our experiments by constructing 2500 training, 175 validation, and 420 testing tasks representing scenes with a map size of 21×21 tiles (see Appendix A.2 for the detailed generation process) where each piece occupies five adjacent tiles and overlapping is avoided.

	TPS	Tasks	Boards
Training	275	2500	700
Validation	25	175	175
Testing	60	420	420

Table 1: The number of tasks and boards in each data split. The target pieces for the tasks are chosen from non-overlapping sub-sets of target piece symbols (TPS). For evaluation splits, we mix-in training pieces as distractors. We construct boards with at least 1 and up to 7 distractors.

4 The Follower Behaviors

For the follower, we take inspiration from Sun et al. (2023) who suggest a plan-based approach towards solving text-based tasks with language models: given a task's natural language instruction their model initially produces a plan, which is then executed and repeatedly refined or revised. We implement a policy that keeps track of a plan that contains up to 10 actions (the plan horizon; which is exactly the number of actions needed to reach the diagonal corner of the partial view). Our follower's behavior of following the plan is adjustable along two dimensions: confidence and autonomy.

Confidence. The actions in the plan are associated with a decreasing probability of being executed (the "confidence triangle" in Figure 2) so that given a discount factor $\phi \in [0, 1]$ and a lower threshold $L \in [0, 1]$ we calculate:

$$Confidence(a_i) = \max(\phi^i, L)$$
 (5)

Which introduces a notion of confidence: either the planned action is executed or a wait action occurs (hesitation). Furthermore, this conceptualizes that a follower becomes increasingly unsure about the continuation of the plan without receiving feedback from the guide.

Autonomy. The revision process for our follower policy is conceptually divided into five subprograms that run after the guide's utterance is received, parsed and the assumed intent type is determined, as follows:

- on_silence: The follower executes, based on confidence, the next action in the plan (if available). Otherwise, it waits.
- on_confirm: The follower sets the confidence for all actions in the current plan to 1. Then the next action is chosen as described under on_silence.
- on_decline: The follower erases the current plan. As the plan is then empty, a wait action will be returned.
- on_directive: The follower parses the utterances for the concrete directives (a direction or a "take" prompt). For "take", the plan is replaced with take action under the assumption that this is the last action to be performed. Otherwise, the plan is filled with actions that align with the direction prompt.

Then, the next action is chosen as described under on_silence.

• on_reference: The follower updates its internal target descriptor (color, shape, position) based on the new reference. Given this updated descriptor, the follower identifies candidate coordinates in the symbolic representation of the current field of view, for example, coordinates that are blue given a reference "Take the blue piece". If such a coordinate is identified and the follower has not already approached it, then the shortest path to that candidate is established as a new plan. Otherwise, if the descriptor only contains a position, then a direction towards that position is approached. In the case where the follower is already in that position, a randomly chosen piece in the field of view is approached. When none of this matches, then the current plan proceeds as described under on_silence.

Now, the autonomy defines which procedures the follower undertakes, when intermediate feedback *is missing* (the guide stays silent). The **cautious** follower is performing solely the previously defined procedures: when the plan is exhausted, then it waits until a new directive or reference is given. If this follower is over an assumed target piece, then it waits until the "take" directive is given by the guide. In contrast, the **eager** follower aims to actually take an assumed target piece when approaching it in the current field of view. Furthermore, the eager follower autonomously looks for target candidates at each step (as described in the on_reference procedure) and potentially revises the plan (also when the guide stays silent).

5 Learning Communication Policies for Different Follower Behaviors

Mnih et al. (2015) showed that vision-driven reinforcement learning policies can achieve humanlevel performance in pixel-based environments like Atari games. Similarly, the guide as an agent in our environment has the challenging task to learn:

- (a) when to produce an utterance (or stay silent),
- (b) what to produce (confirm, decline, direct, refer), and
- (c) how to produce it (which directive or preference order)

based solely on visual observation of the board state and the follower actions.



Figure 3: The guide's recurrent vision network.

5.1 The Guide

The observation $o_t = (v_t)$ with $v_t \in \mathbb{R}^{21 \times 21 \times 5}$ is encoded into a 128-dimensional feature vector $\tilde{v}_t \in \mathbb{R}$ using a 4-layer convolutional neural network similar to that by Chevalier-Boisvert et al. (2019). Then, the feature vector \tilde{v}_t is fed through an LSTM (Hochreiter and Schmidhuber, 1997) which functions as a memory mechanism (updating a state vector h_t that is passed forward in time). Given the resulting memory-conditioned visual feature vector \tilde{x}_t , we learn a parameterized actor-critic-based policy $\pi(\tilde{x}_t; \theta) \sim a_t$ where the actor predicts a distribution over the action space (intents) and the critic estimates the value of the current state (Figure 3). For the recurrent policy, we use the implementation of StableBaselines3-Contrib v1.8.0 (Raffin et al., 2021), which performs back-propagation through time until the first step in an episode.

5.2 Experiment Setup

We employ the Proximal Policy Optimization (PPO) algorithm (Schulman et al., 2017) for policy learning in our sparse reward environment that respects an assumed accumulated effort over actions. Then we evaluate to which extent the resulting policies (the guides) are adapted towards the follower behaviors in such ways that align with expectations based on the follower's dimensions of confidence and autonomy. Thus, for the experiments, we initiate different **cautious** and **eager** follower's with increasing confidence discount factors so that $\phi \in [0.75, 0.85, 0.90, 0.95, 0.97, 0.99]$.

We use *StableBaselines3* v1.8.0 (Raffin et al., 2021) to learn for each of these follower behaviors a separate guide. We train each guide with 4 parallel running environments (batch size) and 1 million time steps in total. This means that each board in the training split is seen at least 13 times. Every 100k steps during training, we evaluate the pairings against the validation set. We keep for each pairing the guides that achieve the highest mean episode reward based on these validation runs. We conduct the experiments with three different seeds.

5.3 Results and Discussion

Overall Results. The overall results in Table 2 show that learned policies are communicative strategies that can successfully guide the follower (towards the target piece) in most of the cases (on average in 92% of the test episodes). This indicates that the guide learned the goal of the game and hereby almost reaches the best episode length (on average only 1.93 steps longer than the shortest path). The overall average effort (9.72) covers only about 71.5% of the average episode length (13.58) which means that the policies altogether produce an utterance in about 2 out of 3 steps.

Has the guide learned to stay silent? Indeed, Figure 4 shows that the policies converge to a mode where the silence intent is chosen in at least 23% of the steps: The guides are in general able to learn to say nothing. The most chosen intent is reference which is reasonable because it provides crucial information (the target piece description) and triggers an update of the follower's plan.

What preference orders are chosen for the reference production? The reference intents define the order in which properties are compared between the target piece and its distractors. This means, for example, that a CSP reference is likely to mention the target piece's color because the color attribute is first compared to distinguish the target from its distractors (and it is very likely that at least one distractor gets excluded because otherwise, all pieces would share the same color). Thus, it is reasonable that there are communicative strategies learned that choose CSP in the majority of cases as shown in Figure 5. This means that the guide produces a reference that likely includes the shape and the color of the target piece. These properties are indeed useful for the follower to identify and approach the target in its field of view. On the other hand, preference orders that test positions first (PCS and PSC) are also chosen rather often. These strategies lead the follower to the target piece without having it necessarily already in the field of view.

The effects of the follower's autonomy mode. We experimented with two levels of autonomy of the follower. The results in Table 2 show that the policies that learn from interactions with the **eager** follower require on average 2.00 points less effort than the **cautious** one. This is reasonable as the eager follower is autonomously updating the plan and looking for target candidates at each step. Along

Metrics:	mR ↑	mSR ↑	mEPL↓	mEff.↓				
— Cautious —								
100% Silent	0.00	0.00	30.00	0.00				
100% Ref.	-1.04	0.00	30.00	34.8				
PPO-Guide	1.55	0.94	13.97	10.72				
<i>φ</i> =75	1.52	0.93	15.02	11.07				
φ=85	1.47	0.96	14.13	14.63				
$\phi = 90$	1.59	0.95	13.87	10.33				
<i>φ</i> =95	1.57	0.94	13.67	10.49				
<i>φ</i> =97	1.57	0.93	13.27	10.00				
<i>φ</i> =99	1.57	0.90	13.88	7.78				
		- Eager —	-					
100% Silent	0.45	0.23	16.78	0.00				
100% Ref.	0.86	0.75	18.57	21.09				
PPO-Guide	1.57	0.91	13.19	8.72				
<i>φ</i> =75	1.54	0.92	13.54	10.04				
φ=85	1.60	0.89	14.28	6.15				
$\phi = 90$	1.49	0.92	13.24	11.67				
<i>φ</i> =95	1.59	0.92	12.86	8.39				
<i>φ</i> =97	1.58	0.90	12.64	7.28				
<i>φ</i> =99	1.59	0.93	12.58	8.76				
	— Overall —							
100% Silent	0.23	0.11	23.39	0.00				
100% Ref.	-0.09	0.37	24.29	27.94				
PPO-Guide	1.56	0.92	13.58	9.72				

Table 2: The mean rewards (mR), success rates (mSR in %), episodes lengths (mEPL) and efforts of the agents on the test tasks for the chosen autonomy and confidence combinations of the follower (averaged over all seeds). A shortest path solver reaches 11.65 mEPL (3.13 std). Given this, the upper bound for the mean reward is 1.83. Best values in bold.

	~	~	-		-			
Chosen Intent:	S	С	D	0	R			
— Cautious —								
PPO-Guide	0.27	0.04	/	0.09	0.60			
<i>φ</i> =75	0.27	0.08	/	0.08	0.56			
φ=85	0.06	0.08	/	0.09	0.78			
<i>φ</i> =90	0.29	0.09	/	0.08	0.53			
<i>φ</i> =95	0.28	/	/	0.09	0.63			
<i>φ</i> =97	0.30	/	/	0.09	0.61			
<i>φ</i> =99	0.43	/	/	0.09	0.48			
	— F	Eager —	-					
PPO-Guide	0.34	0.06	0.06	0.09	0.46			
<i>φ</i> =75	0.25	0.26	0.03	0.08	0.38			
φ=85	0.53	0.01	0.09	0.08	0.29			
<i>φ</i> =90	0.16	0.05	0.11	0.08	0.59			
<i>φ</i> =95	0.34	/	0.13	0.09	0.45			
<i>φ</i> =97	0.42	/	/	0.11	0.47			
φ=99	0.33	0.02	/	0.08	0.57			
— Overall —								
PPO-Guide	0.31	0.05	0.03	0.09	0.53			

Table 3: The intent's mean chance of being chosen at a step (for each policy evaluated on the test split) broken down by a follower's confidence and autonomy. The intents are abbreviated as follows: silence (S), confirm (C), decline (D), directive (O) and reference (R). It appears reasonable that the cautious follower's actions are never declined because the behavior is to always wait for the guide's instructions (in contrast to the eager ones that explore occasionally on their own). Similarly, the higher confidence follower's require less re-assurance (confirms) of their actions.

these lines, it is also reasonable that the decline intent is never selected for the cautious follower (see Table 3) because it never tried to approach a target piece without the guide referencing it.

The effects of the follower's confidence. The differences in the intent selection strategy of the learned policies (guides) shown in Table 3 indicate that guides learned from interaction with more confident follower's ($\phi > 0.9$) produce less or no confirm actions. This seems reasonable as the decrease in the execution probability of these followers is less steep and a reference action has a similar effect. Furthermore, we see a slight tendency of guides to stay quieter (on average) when trained with more confident followers as shown in Figure 6. However we cannot see such a tendency for guides trained with less confident followers.

6 Conclusions

In this work, we examined an interesting intersection between psycho-linguistic studies and deep learning with reinforcement learning. We considered neural agents as possible interaction partners (for humans) in a challenging reference game where a guide has to learn when, what, and how information (actionable intents) is to be provided to a follower. As a proxy for different follower behaviors, we implemented a hand-crafted policy that is controllable along two dimensions: autonomy in exploration and confidence in executing an action. We experimented with a learning signal that in addition to the goal condition also respects an assumed communicative effort. Our results indicate that this formulation of the learning signal leads to communicative strategies that are less verbose (stay silent more often) and that the resulting guide behaviors are adapted (in terms of intent selection distributions) to the follower's autonomy and confidence levels. We think this work presents a useful case study of neural agents that have to learn adapted communication strategies in an interactive setting (possibly with humans). In future work, we want to investigate other reward formulations for the reference game and evaluate the learning of communication policies where the utterance production process spans multiple time steps (one word at a time) and the production must be possibly interrupted and revised during the interaction.



Figure 4: An intent's mean chance of being chosen at a step (for all learnt policies evaluated on the test split).



Figure 5: The distribution of the preference order choices for the reference action (from Figure 4). The preferences over position (P), shape (S) and color (C) are given to the IA for reference production.



Figure 6: The mean number of silent turns performed by the learnt policies (incl. all seeds) during the test episodes. We fitted a linear regression with a confidence interval of 99% through the data points separately for the followers with $\phi = \{75, 85\}$ and $\phi = \{90, 95, 97, 99\}$. The latter shows a trend towards more silence turns when the guide is paired with more confident followers.

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A Appendix

Robot image in Figure 1 adjusted from https://commons.wikimedia.org/wiki/File: Cartoon_Robot.svg. That file was made available under the Creative Commons CCO 1.0 Universal Public Domain Dedication.

A.1 Environment Details

Board The internal representation of the visual state is a 2-dimensional grid that spans $W \times H$ tiles where W and H are defined by the map size. A tile is either empty or holds an identifier for a piece (the tile is then occupied). The pieces are defined by their colour, shape and coordinates and occupy five adjacent tiles (within a virtual box of 5×5 tiles). The pieces are not allowed to overlap with another piece's tiles. For a higher visual variation, we also apply rotations to pieces, but we ignore the rotation for expression generation, though this could be an extension of the task. The colors are described in Table 4.

Name	HEX	RGB
red	#ff0000	(255, 0, 0)
green	#008000	(0, 128, 0)
blue	#0000ff	(0, 0, 255)
yellow	#ffff00	(255, 255, 0)
brown	#8b4513	(139, 69, 19)
purple	#800080	(128, 0, 128)

Table 4: The colors for the Pentomino pieces.

Symbols The symbolic repesentations for the shapes are: P (2), X (3), T (4), Z (5), W (6), U (7), N (8), F (9), Y (10). The colors are encoded as: red (2), green (3), blue (4), yellow (5), brown (6), purple (7). The 0-symbol is reserved for out-of-world tiles (which can occur in the partial view). The 1-symbol is reserved for an empty tile.

Gripper The gripper can only move one position at a step and can move over pieces, but is not allowed to leave the boundaries of the board. The gripper coordinates are defined as $\{(x, y) : x \in [0, W], y \in [0, H]\}$. The IA on symbolic properties as based on the formulation by van Deemter (2016)

- **Require:** A set of distractors M, a set of property values \mathcal{P} of a referent r and a linear preference order \mathcal{O} over the property values \mathcal{P}
 - 1: $\mathcal{D} \leftarrow \emptyset$ 2: **for** P in $\mathcal{O}(\mathcal{P})$ **do** 3: $\mathcal{E} \leftarrow \{m \in M : \neg P(m)\}$ 4: **if** $\mathcal{E} \neq \emptyset$ **then**
 - 5: Add P to \mathcal{D} 6: Remove \mathcal{E} from M
- 6: Remove &
- 7: return \mathcal{D}

References The Incremental Algorithm (Algorithm 1), in the formulation of (Dale and Reiter, 1995), is supposed to find the properties that uniquely identify an object among others given a preference over properties. To accomplish this the algorithm is given the property values \mathcal{P} of distractors in M and of a referent r. Then the algorithm excludes distractors in several iterations until either M is empty or every property of r has been tested. During the exclusion process the algorithm computes the set of distractors that do *not* share a given property with the referent and stores the property in \mathcal{D} . These properties in \mathcal{D} are the ones that distinguish the referent from the others and thus will be returned.

The algorithm has a meta-parameter O, indicating the *preference order*, which determines the order in which the properties of the referent are tested against the distractors. In our domain, for example, when *color* is the most preferred property, the algorithm might return BLUE, if this property already excludes all distractors. When *shape* is the preferred property and all distractors do *not* share the shape T with the referent, T would be returned. Hence even when the referent and distractor pieces are the same, different preference orders might lead to different expressions.

There are 3 expression templates that are used when only a single property value of the target piece is returned by the Incremental Algorithm (IA):

- Take the [color] piece
- Take the [shape]
- *Take the piece at [position]*

Then there are 3 expression templates that are selected when two properties are returned:

- Take the [color] [shape]
- Take the [color] piece at [position]
- Take the [shape] at [position]

And finally there is one expression templates that lists all property values to identify a target piece:

• Take the [color] [shape] at [position]

Vocabulary Overall, the property values and sentence templates lead to a small vocabulary of 37 words:

- 9 shapes: P, X, T, Z, W, U, N, F, Y
- 6 colors: red, green, blue, yellow, brown, purple
- 6 position words: left, right, top, bottom, center (which are combined to e.g., right center or top left)
- 12 template words: take, the, piece, at, yes, no, this, way, go, a, bit, more
- 4 special words: <s>, <e>, <pad>, <unk>

The maximal sentence length is 12.

A.2 Task Details

To create a task, we first place the target piece on a board. Then, we sample uniformly random from all possible pieces and place them until the wanted number of pieces is reached (we experiment with 2 to 8 pieces on a board). If a piece cannot be placed after a certain amount of tries, then we resample a piece and try again. The coordinates are chosen at random uniform from the coordinates that fall into an area of the symbolic description. We never set a piece into the center, because that is the location where the gripper is initially located. In this way, we construct 100 training boards (or 1 evaluation board respectively) for each number of pieces (2-8). To ensure that a board scene in the training split cannot be aligned with a target piece, we create 3 extra tasks for a single board by choosing extra targets (when fewer than 4 pieces are on a board, then we create a task for each piece). For evaluation, we only create a single task for each target piece symbol.

A.3 Guide Details

Agent Parameters: 602, 447

feature_dims	128
normalize_images	True
shared_lstm	True
enable_critic_lstm	False
n_lstm_layers	1
lstm_hidden_size	128

Table 5: Policy arguments for the the RecurrentPPOagent

Policy Architecture We instantiate the actorcritic PPO agent with an architecture defined by pi=[64, 64], vf=[64, 64] meaning that the actor is a 2-layer feedforward network with 64 parameters per layer. The critic has the same architecture, but does not share the weights with the actor.

Vision Encoder The visual encoder is a convolutional neural network (CNN) with 4 layers that maps the visual observations $v_t \in \mathbb{R}^{21 \times 21 \times 5}$ into a 128-dimensional features vector $\tilde{v} \in \mathbb{R}$. We consecutively apply four blocks of (nn.Conv2d(),nn.BatchNorm2d(),nn.ReLU()) with same padding where the kernel size is 3×3 , except for the first blocke where we set the kernel size to 1×1 . After the fourth block we apply a nn.AdaptiveMaxPool2d((1, 1)) layer from PyTorch v1.13.0 (Paszke et al., 2019) to collapse the spatial dimensions of the feature maps.

Learning Algorithm We use the RecurrentPPO implementation from StableBaselines-Contrib v1.8.0 (Raffin et al., 2021) with the hyper-parameters in Table 6 (and the defaults otherwise).

learning_rate	3e-4
clip_range	0.2
gamma	0.99
gae_lambda	0.95
ent_coef	0.0
vf_coef	0.5
max_grad_norm	0.5
lr_init	3e-4
n_steps	128
batch_size	128
num_epochs	10

Table 6: RecurrentPPO hyperparameters

A.4 Experiment Details

We trained the agents simultaneously on 8 GeForce GTX 1080 Ti (11GB) where each of them consumed about 4GB of GPU memory. The training

for the 36 configurations took around 144 hours in total (about 4h for the 1 million steps each). The random seeds were set to 49184, 98506 or 92999 respectively. As the evaluation criteria on the testings tasks we chose success rate which indicates the relative number of episodes (in a rollout or in a test split) where the agent selected the correct piece:

mSR =
$$\frac{\sum^{N} s_i}{N}$$
 where $s_i = \begin{cases} 1, & \text{for correct piece} \\ 0, & \text{otherwise} \end{cases}$

Efforts. We choose $E_{\text{Guide}} := \{0, 1.0, 1.1, 1.2\}$ for the efforts of the categories of actionable intent in such a way that the silence action is the one with the least effort. The silence action simply results into the metabolic costs necessary to perform the task over multiple time steps (the game reward). The other language actions introduce an additional effort. These actions should differ on the magnitude in such a way that they can be ordered based on the effort where the reference production is presumably taking the most effort (1.2) and a confirmation ("Yes") or rejection signal ("No") is taking less effort (1.0). We assumed that directive are on the middle ground (1.1) and that they should appear more often, when used. This basically means for around every 10th action an additional non-silence action can be taken, when choosing to use directives over references. Moreover, when using the maximal number of 30 steps and only taking the respective actions, this results into an effort reward of $1 - (0.9 \cdot 1.2) = -0.08$ (slightly negative) for the references and $1 - (0.9 \cdot 1.1) = 0.01$ (slightly positive) for the directives and $1 - (0.9 \cdot 1.0) = 0.1$ (still positive) for the confirmations or corrections. These magnitudes are supposed to be close to the initial formulation for the game reward and thus around -2 and +2 (incl. the outcome) to keep the learning of the value function more stable. We note that the signal for the ordering of the actionable intents is very small, but it should make an effect.

Collection of Japanese Route Information Reference Expressions Using Maps as Stimuli

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Abstract

We constructed a database of Japanese expressions based on route information for languagebased direction instructions to autonomous driving systems. Using 20 maps as stimuli, we requested descriptions of routes between two points on each map from 40 individuals per route, collecting 1600 route information reference expressions. We determined whether the expressions were based solely on relative reference expressions by using landmarks on the maps. In cases in which only relative reference expressions were used, we labeled the presence or absence of information regarding the starting point, waypoints, and destination. Additionally, we collected clarity ratings for each expression using a survey.

1 Introduction

Accurately conveying route information in a language is challenging because it comprises details regarding the starting point, waypoints, and destination. Utilizing surrounding landmarks is crucial for effectively conveying positional information, movement direction, and distance. In languages where case elements such as subjects tend to be omitted (e.g., Japanese), it is difficult to generate clear expressions of route information.

By collecting Japanese route information reference expressions using maps as stimuli, this study aims to shed light on important perspectives for conveying route information for language-based direction instructions to autonomous driving systems. For each of the 20 maps, two starting and ending point patterns were established, resulting in 40 stimuli each. Through crowdsourcing, we sought to gather 40 expressions of route information references per map, articulated solely using specific or relative location information. Following the determination of whether the collected language expressions comprised only specific or relative location information, we annotated the inclusion of starting point, waypoint, or destination information. Furthermore, the clarity ratings for each expression were obtained through surveys.

2 Related Research

Early work on the analysis of direction-giving conversations was conducted by Psathas and Kozloff (1976), who identified three stages: situating, specifying information and directions, and concluding. They pointed out that during the initial directions, a) starting point, b) destination, c) mode of travel, d) time of travel, and e) membership categorization by the parties of each other are important. In a related study, Clark and Wilkes-Gibbs (1986) introduced a collaborative model to make definite references in conversations. In their model, speakers initiate the process by presenting a noun phrase, which is iteratively refined by participants until a mutually accepted version is reached, thus minimizing joint effort. In such dialogues, there is often a significant amount of coreference information regarding locations. Additionally, Levinson (2004) focused on the relationship between language and cognition and explored the role of space in cognitive diversity. Moreover, Lakoff (1987) proposed a SOURCE-PATH-GOAL Schema, identifying four structural elements: a) SOURCE, b) DESTINATION, c) PATH, and d) DIRECTION. Barclay and Galton (2008) constructed 'scene corpus' in which spatial expressions were collected by showing virtual objects. Shelton and McNamara (2004) performed three experiments based on the fictional environments described by Taylor and Tversky (1992). They evaluated the mental costs associated with switching between route and survey perspective stimuli. Their experiments utilized eight patterns of maps rotated at 45° increments. In contrast, this study collects route expressions by showing a real-world map instead of focusing on positions.

3 Data Collection Methodology

3.1 Collection of Route Information Reference Expressions

Route information reference expressions were collected using Yahoo! Crowd Sourcing. Participants were provided with maps, as shown in Figure 1, and were asked to describe any route information starting from \blacksquare and ending at \bigstar (for screening) or \bigoplus (for main task).

During the task, the goal was to collect relative reference expressions. Participants were presented with a rotated version of the original map as stimuli and given the following instructions:

- Use "front, back, left, and right" as if the participants were initially located at the ■ mark on the map.
- Do not use "up, down, left, and right."
- Do not use "east, west, south, and north."



Figure 1: Example map used as stimuli (rotated 30°)

Expression collection was conducted in two stages: a screening survey and main survey. In the screening survey, maps rotated at angles of 30°, 120°, 210°, and 300° were used, as shown in Figure 1. Data were collected from 400 participants for each map for a total of 1600 responses. An example survey screen is shown in Appendix Figure 2. Participants were compensated with 10 yen equivalent PayPay points per response for the screening survey. The screening survey was conducted from 08:01 November 2, 2023, to 03:40 November 3, 2023. Among the participants, those who rated the clarity of expressions in the subsequent survey with a score of 3.0 or higher (206 individuals) were selected for the main survey. A clarity assessment of the screening survey results was conducted from 08:06 November 17, 2023, to 09:55 November 17, 2023.

In the main survey, 40 stimuli were used, each consisting of 20 types of maps with two starting and ending point patterns. A total of 1600 expressions were collected from 10 participants for each of the 160 variations of stimuli, which included four types of rotations for the 40 stimuli. Participants were compensated with 50 yen equivalent PayPal points per response for the main survey. The main survey was conducted from 14:02 November 17, 2023, to 23:55 November 19, 2023. Because we use a real-world map, there are multiple routes to the starting point and destination. In this context, we also attempt to collect expressions regarding which target points on the map are easiest to explain.

3.2 Classification of Collected Expressions

All 1600 expressions collected in the main survey exclusively consisted specific location information expressions and relative location information expressions, without the use of absolute location information such as east, west, south, and north.

However, five expressions were identified as inappropriate route information reference expressions because they mistakenly recognized incorrect marks on the map as the starting and ending points.

Additionally, 29 expressions were identified as inappropriate route information reference expressions because they recognized the starting and ending points in reverse (labeled as "W").

Subsequently, the following classifications were assigned (examples are based on Figure 1 as stimuli):

- X: Detailed description of the starting point
- Y: Description of points along the route
- Z: Detailed description of the destination

For the determination of the starting point (X), if there was a clear indication of the starting point such as "facing [location]," "standing in front of [location]," "between [location A] and [location B]," or "leaving from [location]," it was classified as starting point present (X). Additionally, if the starting point was explicitly stated as "from current location" or "from \blacksquare ," it was also classified as starting point present (X).

For the determination of the route (Y), the presence of verbs indicating movement such as "turn left," "turn right," "go straight," "turn," or "go around" was used.

For the determination of the destination (Z), if explicit words indicating the destination such as "goal," "destination," or "arrive" were identified, it was classified as destination present (Z). Even if explicit words were not present, they were classified as destination present (Z) if there was a specific description of the destination. However, if there was no specificity regarding the destination, such as "after a while, on the left side," "beyond the plaza," or "passed by," it was classified as destination absent.

These classifications were set as multi-labels.

3.3 Clarity Rating of Expressions

The clarity of expressions was assessed through a survey using Yahoo! Crowd Sourcing for 1600 expressions collected in both the screening and main surveys. For the screening survey, 887 individuals who provided expressions consisting only of specific and relative location information were recruited, with 216 participants providing ratings for the screening survey data and 605 participants providing ratings for the main survey data.

A survey screen example is shown in Appendix Figure 3. Seven expressions were randomly presented for each map and ratings were made on a 6-point scale from 0 (difficult to understand) to 5 (easy to understand). Participants were compensated with 2 yen equivalent PayPal points per response. The clarity rating survey for the main survey collected ratings from 35 individuals per expression. The main survey was conducted from 17:01 December 14, 2023, to 13:10 December 16, 2023.

The expression and impression rating collection for this study was approved by the ethical review board of the National Institute for Japanese Language and Linguistics.

4 Data Statistics

Table 1 presents the individual aggregations based on the presence or absence of each aspect (TRUE for presence and FALSE for absence) along with the average clarity for each aspect.

In cases where the starting point and destination were mistaken (W), they tended to be less clear than the correct ones. A t-test was conducted, as-

Misidentification (W)	W=FALSE	W=TRUE
Count	1571	29
Clarity (Average)	2.79	2.07
Starting Point (X)	X=FALSE	X=TRUE
Count	599	1001
Clarity (Average)	2.72	2.81
Route (Y)	Y =FALSE	Y=TRUE
Count	24	1576
Count	24	15/6
Clarity (Average)	24 2.00	1576 2.79
Clarity (Average) Destination (Z)	24 2.00 Z=FALSE	2.79 Z=TRUE
Clarity (Average) Destination (Z) Count	24 2.00 Z=FALSE 51	1576 2.79 Z=TRUE 1549

suming unequal variances between the two samples. The mean clarity rating for W=FALSE was 2.79, whereas that for W=TRUE was 2.07. The difference between the means was significant (t = 10.11, p < 0.001, two-tailed).

Explanations for the starting point (X) were frequently omitted, with 37.5% (599/1600) of the expressions lacking such an explanation. Those without a starting-point explanation exhibited slightly lower clarity than those with an explanation. A t-test assuming unequal variances between the two samples showed a significant difference (t = -4.54, p < 0.001, two-tailed), with a mean clarity rating of 2.72 for X=FALSE and 2.82 for X=TRUE.

The absence of route explanations (Y=FALSE) comprised 1.5% (24/1600) of the expressions, with an average clarity rating of 2.00, which was notably lower than the average clarity rating of 2.79 for expressions with route explanations (Y=TRUE). A t-test with unequal variances revealed a significant difference between the two groups (t = -8.94, p < 0.001, two-tailed).

Similarly, the absence of explanations for the destination (Z) was observed in 3.2% (51/1600) of the responses. These expressions had a lower clarity average of 2.43 compared to those with a destination explanation (clarity average of 2.79). A t-test assuming unequal variances between the two samples revealed a significant difference (t = -5.78, p < 0.001, two-tailed), with a mean clarity rating of 2.43 for Z=FALSE and 2.79 for Z=TRUE.

Hence, it is evident that all three aspects - starting point, route, and destination - play crucial roles in effectively conveying route information. Additionally, it is noteworthy that explanations for the starting point (X) are often omitted, with 37.5% (599/1600) of the expressions lacking a starting point explanation. This observation underscores the challenge of referencing a starting point, which contributes to the complexity of comprehensively conveying route information.

W	Х	Y	Ζ	Clarity	Count
F	F	F	Т	1.75	8
F	F	Т	F	2.42	25
F	F	Т	Т	2.76	558
F	Т	F	F	1.93	2
F	Т	F	Т	2.21	12
F	Т	Т	F	2.52	22
F	Т	Т	Т	2.85	944
Т	F	Т	Т	2.07	8
Т	Т	F	Т	1.87	2
Т	Т	Т	F	2.20	2
Т	Т	Т	Т	2.08	17
Total				2.78	1600

Table 2: Clarity by Aspect (Combinations)

Table 2 presents the aggregation results based on the combination of aspects. From these combinations, it was observed that both route (Y) and destination (Z) explanations were predominant, accounting for 93.9% ((558+944)/1600). There was a difference in clarity depending on the presence of starting point (X) explanations; those with a starting point explanation (clarity average of 2.85) were clearer than those without (clarity average of 2.76).

Appendix Figure 4 shows one of clearest examples. This example was the clearest explanation (avg. 3.74) of the route when showing the map in 13-a. These expressions included all information regarding Starting Point(X), Route(Y), and Destination(Z). Instead of describing complex alleys, the route chosen explains the main streets, selecting landmarks along the route such as Hareza Tower (\mathcal{NVHR} , $\mathcal{P}-$), the elevated highway, and Nitori ($\rightrightarrows \mathcal{VU}$) as reference points.

5 Conclusions

This study aimed to collect clear route information reference expressions using both specific and relative location information for language-based direction instructions to autonomous driving systems. Through crowdsourcing, expressions describing route information on maps were gathered. Each expression was manually annotated to determine whether it contained information regarding the starting point, route, and destination. The data revealed a tendency for the starting point information to be missing from expressions. Additionally, clarity ratings were collected through crowdsourcing, indicating the importance of including information regarding routes and destinations.

Existing studies, particularly map task corpora, have focused on analyzing interactions involving the transmission of new and old information based on map tasks; they lack attention on clear route information explanations using maps. This study, however, uses maps of real locations instead of virtual environments. Generating clearer route information reference expressions from map information requires collecting diverse expressions along with their clarity ratings, and examining what contributes to clarity. This study differs from previous research because it collected route information reference expressions.

In future research, we plan to annotate reference expression information. Relative reference expressions are inherently based on information from three or more points and are known to be abstracted as according to the double-cross model (Freksa, 1992). However, utterances that contain information from three or more points cannot be obtained (Kawabata et al., 2023). Data collected in this study include information from three or more points. Therefore, the data should be annotated based on the double-cross model.

The data gathered in this study, including the map information, classifications, and clarity ratings, are accessible to the public at https://github.com/masayu-a/HRI-JP-RIRE-DB.

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6 Appendix

[Please describe the route from the marker " \blacksquare " to the marker " \bigstar " on the map using surrounding landmarks.]



- Provide an expression of 30 characters or more and less than 200 characters.
- Describe using the perspective of you initially being at the mark on the map, considering front, back, left, and right.
- Refrain from using up, down, left, and right in reference to the map layout.
- Avoid using north, south, east, and west.

Figure 2: Example of the survey screen: Collection of route information reference expressions

[Please assess the clarity of the document describing the route from the marker to the destination, after viewing the map in the following link.]

以下のリンク先の地図を見たうえて■印から★印への経路を説明する文章のわかりやすさを判定してくだい。 い。	đ
✓ チェックするページを見る Link to the map	
新宿三丁目駅を橫断した後、右折して、一つ目の角を左折して、伊勢丹を左手にみて、サプナードという きな通りに突き当たった左手が目的地である。	¥
○ 0 わかりにくい Difficult to understand	
\bigcirc 1	
○ 2	
○ 3	
<u></u>	
◯ 5 わかりやすい Easy to understand	
ビックカメラを育にして見ると、ビックカメラに沿わずに進める道が2本あるので、そのうちた側の緩い をマルイ方面に進む。そのままマルイを左手に沿う形で進むと突き当たりに三葉UFDが見えるので、その を左折、な差点をまっすぐ進み、伊勢内をたに見ながら更に進む。するとたに一本入る道があ。その道を んざ間の連載、「営人本な交差点の色になっているのが目的地の思想。	≦ 角 挾
○ 0 わかりにくい	
\bigcirc 1	
○ 2	
⊖ 3	
○ 4	
○ 5 わかりやすい	
ビックカメラが左方向に見える、三丁目駅の方へ歩いて最初の角を右へ曲がるUFJが右角にある交差点を に2個目の交差点の角	£
○ 0 わかりにくい	
○1	
2	
○ 3	
○ 4	
う 5 わかりやすい	
三数UFJまですすんだあと左に曲がってまっすぐ行くと左に★印がある ○ 0 わかりにくい	
\bigcirc 1	
○ 2	
○ 3	
○ 4	
○ 5 わかりやすい	
ビックカメラを左手にしてビックカメラが途切れるまで進み通りに出ます。 通りに出て右に進むと、それぞれのカドに伊勢丹、三登リFJ、フレンテが見える交差点に出ます。 交差点を左に折れて伊勢丹とフレンテの間を進むとローソンと野村証券がある十字路に差し掛かりますが この十字路の左手前側が当該箇所となります。	
03	
5 5 7070 79 0	
ビックガス>を左手にしくビックガンフが選びれるよく進み通りに出ます。 通りに出てたは遂やと、それそれなか下に使時外、三型にトノンンテが見える交差点に出ます。 交差点を左に折れて伊勢円とフレンテの間を進むとローソンと野村証券がある十字路に差し掛かりますが この十字路の左手前間が当該箇所となります。	
02	
03	
05 DMU 199 U	



(Example) 大通りをハレザタワー方面にしばら く進むと高速が高架になっている大通りにでま す。その大通りを渡らずに右折してください。 高架に沿ってしばらく進むと右手にニトリが見 えてきます。ニトリを過ぎてすぐ右手に隣接し ているのが目的地です。

(Label) W=FALSE, X=TRUE, Y=TRUE, Z=TRUE, Clarity=3.74

(English Translation) Proceed along the main street towards Hareza Tower $(\mathcal{N} \mathcal{V} \mathcal{F} \mathcal{A} \mathcal{P} -)$ for a while until you reach a main street with an elevated highway. Turn right without crossing that main street. Continue along the elevated highway for a while, and you will see Nitori $(\square \mathcal{N} \mathcal{Y})$ on your right. The destination is immediately adjacent to Nitori $(\square \mathcal{N} \mathcal{Y})$ on the right.

Figure 4: Example of collected of route information reference expressions (13-a)

Figure 3: Example of Survey Screen: Clarity Rating Survey

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