

Plan-Grounded Large Language Models for Dual Goal Conversational Settings

Diogo Glória-Silva, Rafael Ferreira, Diogo Tavares, David Semedo, João Magalhães

NOVA LINCS, NOVA School of Science and Technology, Portugal

{dmgc.silva, rah.ferreira, dc.tavares}@campus.fct.unl.pt

{df.semedo, jmag}@fct.unl.pt

Abstract

Training Large Language Models (LLMs) to follow user instructions has been shown to supply the LLM with ample capacity to converse fluently while being aligned with humans. Yet, it is not completely clear how an LLM can lead a plan-grounded conversation in mixed-initiative settings where instructions flow in both directions of the conversation, i.e. both the LLM and the user provide instructions to one another. In this paper, we tackle a dual goal mixed-initiative conversational setting where the LLM not only grounds the conversation on an arbitrary plan but also seeks to satisfy both a procedural plan and user instructions. The LLM is then responsible for guiding the user through the plan and, at the same time, adapting to new circumstances, answering questions, and activating safety guardrails when needed. We propose a novel LLM that grounds the dialogue on a procedural plan, can take the dialogue initiative, and enforces guardrails on the system’s behavior, while also improving the LLM’s responses to unexpected user behavior. Experiments in controlled settings and with real users show that the best-performing model, which we call PlanLLM, achieves a 2.1x improvement over a strong baseline. Moreover, experiments also show good generalization to unseen domains.¹

1 Introduction

Guiding users through manual tasks, such as cooking or DIY (Choi et al., 2022), is a novel and difficult setting for current Large Language Models (LLMs). The problem is challenging because recent LLMs are only trained to follow user instructions, while in this new setting, instructions flow in both directions of the conversation. Solving it requires addressing two objectives: (i) following a plan of procedures, and (ii) answering arbitrary user instructions. To tackle these joint objectives,

¹<https://huggingface.co/dmgcsilva/PlanLLM>

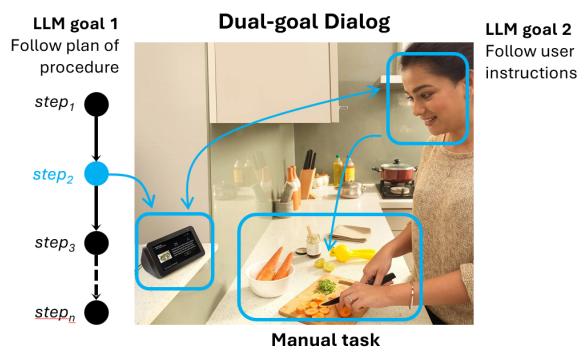


Figure 1: An example of a dual goal conversational setting where the user is executing a manual task with the guidance of an LLM assistant.

LLMs need to be aligned with both a *procedural plan* and *user instructions* in the context of the plan, as illustrated in Figure 1.

In this work, we investigate LLMs with the ability to steer dialogues through a plan of procedures in an end-to-end fashion, while simultaneously addressing the user’s changing needs as they move from step to step. There is sufficient evidence that LLMs can follow a single instruction and generate procedural plans (Pallagani et al., 2023). Moreover, recent work has also explored prompt engineering methods to turn LLMs into tutors (Zamfirescu-Pereira et al., 2023). However, prompt-based solutions may answer the question without sufficient guardrails and then fail to steer the conversation back to the plan. Other approaches explore neural dialogue tutoring systems (Macina et al., 2023), demonstrate instruction-grounded tutoring (Chae et al., 2023), and explore LLMs as math tutors (Liang et al., 2023), but the LLM’s apparent lack of control over the course of a conversation remains a problem.

In this paper, we diverge from current work and investigate how LLMs can guide users through a plan of procedures, avoid conversation detours, and proactively try to bring the user back to the plan, Figure 2. In particular, the large language model

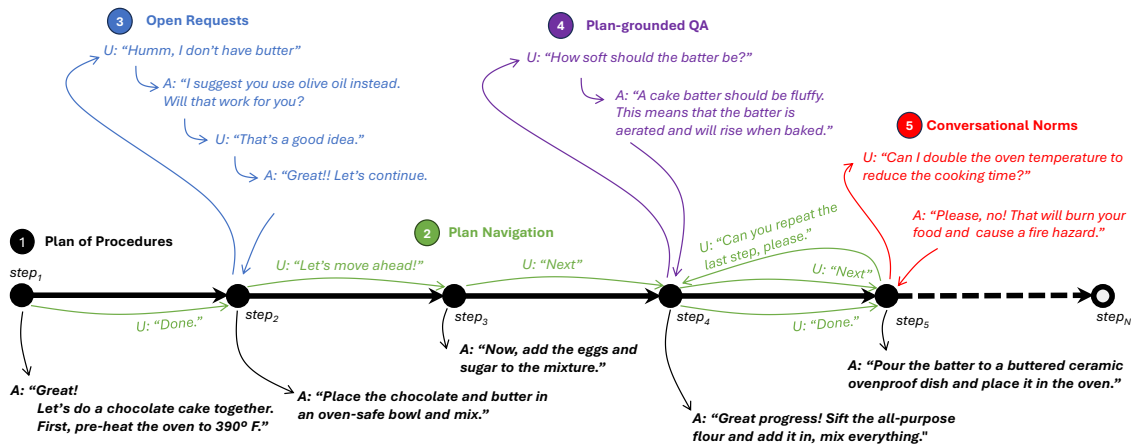


Figure 2: Plan-grounded large language models can dialogue, navigate, and reason about procedural plans. Please refer to the annex for more user-LLM dialogues.

that we propose encloses four key contributions. First, the proposed model can **ground its behavior in procedural plans**, *label 1* of Figure 2. Given a procedural plan, the proposed model can navigate through it and keep track of the dialogue state, *label 2* of Figure 2. The second contribution concerns **following user questions that are grounded on the plan of procedures**. As the conversation advances, user questions will emerge and the LLM needs to answer them. This is a non-trivial problem as the answer may be present in the previous conversation turns, the plan’s steps, or external general knowledge, *label 4* of Figure 2. For the third contribution, the LLM can answer **open-ended requests that have a human preference implied**, *e.g.*, suggest a replacement to a missing resource or suggest a plan-related fun fact, *label 3* of Figure 2. The fourth, and final, contribution **aligns the model with conversational norms** to steer users away from unsafe or unethical requests while being polite (Kasirzadeh and Gabriel, 2022), *label 5* of Figure 2.

Through automatic and human evaluation, we show that the proposed model, PlanLLM, is capable of addressing most situations, even when they require external information. Moreover, the zero-shot capabilities of the model are demonstrated within the plan of procedures in an unseen domain, *i.e.*, trained in the cooking domain and tested in the unseen domain of DIY.

2 Related Work

Training Large Language Models to follow instructions (Wei et al., 2022) has garnered significant attention, such as FLAN-T5 (Chung et al., 2022), InstructGPT (Ouyang et al., 2022) and Alpaca (Taori

et al., 2023). Wei et al. (2022) showed that instruction tuning substantially improves zero-shot performance on unseen tasks. Later, InstructGPT trained LLMs with Reinforcement Learning with Human Feedback (RLHF) and was able to improve their alignment with human preferences and maintain performance on NLP benchmarks. Alpaca presents a fine-tuning of the Llama (Touvron et al., 2023) foundation model on instruction data created using Self-Instruct (Wang et al., 2023). In a conversational setting, the Vicuna (Chiang et al., 2023) model is trained on user-shared conversational data.

When following a procedural plan through a dialogue, there are many dependencies and unexpected events that may occur during its execution. Tutoring systems try to cover all possible events and define a complex mesh of dependencies and actions (Kumar and Rosé, 2011). In control theory, the revision and generation of a new procedural plan are now being tackled with LLMs and neural-symbolic methods (Lu et al., 2022).

Generating data for instruction datasets using general-purpose LLMs is an active research topic. Task2Dial (Strathearn and Gkatzia, 2022) is especially relevant, as it contains realistic dialogues centered around recipes, and makes use of commonsense knowledge throughout. More recently, Wizard of Tasks (Choi et al., 2022) has attempted to mimic how real users interact with conversational task assistants (Gottardi et al., 2022), while also focusing on document-grounded question-answering. Wang et al. (2023) and Honovich et al. (2023) utilize a limited set of initial examples to generate new instructions and prompt the LLMs to extrapolate novel ones. Models trained on these instructions display promising results (Taori et al., 2023). We

build on these ideas to fill the gap of generating conversational data over procedural plans.

3 Learning to Reason about Procedural Plans

In this section, we investigate methods for providing language models with the ability to reason about procedural plans and to assist users in completing manual tasks. The key functional properties that the language model needs to acquire are (i) navigation of a plan, (ii) answering plan-grounded questions, (iii) solving open-ended requests, and (iv) being polite and safe.

3.1 Procedural Plan

A procedural plan $P = \{s_1, \dots, s_k\}$ is defined as a sequence of k steps or actions that the user must execute to complete a manual task, requiring a set of resources, tools, and manual skills. In our work, we focus on the cooking and DIY domains using procedural plans as the manual tasks to be completed. These domains are characterized by plans subject to alterations, with personalized instructions being delivered intertwined with user questions as the conversation progresses, explicitly enforcing the dual goal setting.

3.2 Model Grounding and Dialogue

We follow the notation introduced by [Chen et al. \(2023\)](#) for the problem of open-domain dialogue generation. Here we expand on their open-task grounded dialogue generation work and ground the language model on an arbitrary plan $P^j = (s_1^j, s_2^j, \dots, s_k^j)$. Also, to ensure a flexible tone-of-voice, the assistant needs to attend to a tone-of-voice instruction T^j , i.e. *neutral*, *somewhat polite*, *polite*, or *very polite*. Hence, the initial input plan P^j and the tone-of-voice T^j , provide the LLM with the required grounding for the j^{th} plan. Appendix A further details the tone-of-voice conditioned generation.

Formally, given a user request $U_i^j = (u_1^i, u_2^i, \dots)$, the language model needs to generate a response $R_i^j = (r_1^i, r_2^i, \dots)$, where u_n^i and r_n^i are the n^{th} tokens of the i^{th} user request and language model response, respectively.

To provide in-context responses, the assistant also needs to consider the conversation context $C_i^j = (\{U_{i-t}^j, R_{i-t}^j\}, \dots, \{U_{i-1}^j, R_{i-1}^j\})$ where t is the number of previous dialogue turns to consider.

3.3 Multi-objective Plan-Grounded Dialogue

In goal-oriented dialogue, the users’ behavior is typically captured by a closed set of intents ([Budzianowski et al., 2018](#)) and with limited leeway for topic shifts or exploratory dialogue. In plan-grounded dialogue, *the complete set of user intents is unknown, yet, the premise is that the user is actively working towards completing the plan.*

In this work we depart from explicit user intents and move towards the general concept of dialogue policy patterns. These are systematically represented as a set of user behaviors, that govern the possible dialogue flows. To engage with different user dialogue behaviors, the LLM needs to learn a policy that conditions the dual goal LLM response in the dialogue context – i.e. follow the plan or answer user requests. Overall, for any given turn, the LLM has to optimize one, and only one, of the following dialogue behavior objectives:

- **Plan Navigation.** To guide the user through the plan, the LLM learns a training objective \mathcal{L}_{Nav} to navigate the plan steps in either direction. The LLM always responds with an instruction that the user needs to follow.
- **Plan-grounded QA.** Throughout the execution of a complex task, the LLM learns to answer questions grounded on the plan (\mathcal{L}_{QA}).
- **Open Requests.** Often, a plan has an element that users wish to change or they are curious about, e.g., replace an ingredient or get a fun fact about it. This requires a learning objective \mathcal{L}_{Open} that captures what pieces of a plan can be used (and how) to match the user request.
- **Conversational Norms.** Being conversationally polite and keeping users away from dangerous actions leads us to a learning objective \mathcal{L}_{Norms} that captures knowledge about safety and learns how to integrate it into a dialogue.

With this approach, we create a multi-objective training paradigm where the model optimizes a different objective based on the type of request.

3.4 Plan Supervised Fine-Tuning

Let $\mathcal{D} = \{d^j\}_{j=1}^N$ be the set of N dialogues, with $d^j = (\{R_m^j, U_m^j, C_m^j, s^{j,m}\}_{m=1}^M, P^j)$, where M is the number of turns in the j^{th} dialogue and $s^{j,m}$ is the plan step being executed on the m^{th} turn.

Thus, in a supervised setting over a dataset \mathcal{D} , the assistant minimizes the aggregate loss:

$$\mathcal{L}_{SFT} = \sum_j \mathcal{L}_{Nav} + \sum_j \mathcal{L}_{QA} + \sum_j \mathcal{L}_{Open} + \sum_j \mathcal{L}_{Norms}. \quad (1)$$

Given $R^j = \{R_{Nav}^j, R_{QA}^j, R_{Open}^j, R_{Norms}^j\}$, where R^j comprises all m turns' instructions, from the four considered categories, as a Causal Language modeling task, in which the objective \mathcal{L}_{SFT} corresponds to maximizing the cross entropy over the entire set of dialogue R^j turns (see appendix B),

$$\mathcal{L}_{SFT} = - \sum_j \sum_i \log(p(R_i^j | U_i^j, P^j, C_i^j, T^j, S_i^j)) \quad (2)$$

3.5 Plan Preference Optimization

While SFT ensures that LLMs capture the foundations for dialogue, navigation, and reasoning over procedural plans, it overlooks the alignment with human preference, in particular w.r.t. less desirable responses. Recently, the adoption of Reinforcement Learning (RL), specifically RLHF, has led to improved performance on several tasks (Nakano et al., 2021; Bai et al., 2022; Ouyang et al., 2022; OpenAI, 2023), where LLM alignment with human preferences is essential. The most common approach is to apply Proximal Policy Optimization (PPO) (Schulman et al., 2017), however, this approach has high implementation complexity, is computationally expensive, and often exhibits instability (Yuan et al., 2023; Rafailov et al., 2023; Ramamurthy et al., 2023).

To circumvent these limitations, while delivering our dual goal approach, we adopt Direct Preference Optimization (DPO) (Rafailov et al., 2023). DPO is a training paradigm that optimizes the same objective as RLHF, namely PPO, without performing RL, by bypassing the explicit reward estimation and instead using a single maximum likelihood objective. The DPO's objective is defined as

$$\mathcal{L}_{DPO} = - \log \sigma \left(\beta \log \frac{\pi_\lambda(y_w|x)}{\pi_{ref}(y_w|x)} - \beta \log \frac{\pi_\lambda(y_l|x)}{\pi_{ref}(y_l|x)} \right), \quad (3)$$

where π_λ and π_{ref} are the policy and reference models respectively, x is the model input and (y_w, y_l) is the preference pair (with y_w being preferred over y_l).

Complementary, Ouyang et al. (2022) found that it is beneficial to modify the RLHF training scheme by mixing pretraining gradients into the PPO gradients. Inspired by this approach, we hypothesize

that smoothing DPO with SFT leads to improved performance. Thus, we adopt the following DPO-mixed (DPO-x) objective:

$$\mathcal{L}_{DPO-x} = \mathcal{L}_{DPO} + \lambda \mathcal{L}_{SFT} \quad (4)$$

where \mathcal{L}_{SFT} is the same objective optimized during the SFT training, and λ is the SFT loss coefficient.

4 Generating Plan-Grounded Dialogues

To generate real-user-driven dialogues that simulate user-system interactions, in a dual goal setting, we adopt a generation pipeline that leverages real-world conversational data (Gottardi et al., 2022) through data augmentation techniques. The resulting dialogues go beyond the scope of Choi et al. (2022) by adding contextual requests and requests not related to the task, thus better replicating real user behavior (Gottardi et al., 2022).

4.1 Real-World Augmented Dialogue Data

One of the most important aspects of creating a conversational dataset is user simulation. The most common approach is to use paid annotators to manually create a dialogue about a given topic (Choi et al., 2022; Budzianowski et al., 2018). However, it has been shown that paid workers interact significantly differently from natural users (Tavares, 2022), with the latter being more diverse and giving noisier input.

To address this limitation, we built a directed graph capturing the user dialogue patterns, intents, and transition probabilities, that we then used to simulate user behavior in the generated dialogues. This graph was built using 3.6k user-system interactions, collected during Alexa Prize Taskbot Challenge 1 (Gottardi et al., 2022), and annotated with user intents for each turn, allowing us to model how likely a user is to transition between intents. Please refer to the appendix, Table 7, for an overview of the considered intents.

4.2 Contextual Dialogue Generation and Preference Data

In this section, we describe how we create user and system utterances for context-dependent intents, using external knowledge sources and generative models. Additionally, we describe how we obtain negative responses for preference optimization. A sample dialogue is shown in Table 3.

Grounded-QA Questions. For step-related questions, we prompted GPT-3 (Brown et al., 2020) to

generate question-answer pairs, given the step text. While there is a potential risk for less accurate or hallucinated responses, the QA pairs generated using this method exhibit much more naturalness and contextual richness than traditional extractive approaches (Ouyang et al., 2022). Here, the negative sample is an answer obtained by sampling a QA pair from the previous dialogue turn.

Definition Questions. We randomly select any entity that is both extracted (Honnibal et al., 2020) from the plan step and present in a [dictionary of definitions](#). Question templates were then combined with the entity to create the definition question. Negative questions are created by using entities from previous dialogue turns.

Replacements. For each step of the plan, a replaceable element is selected and the user request is then simulated using a set of templates. In practice, we randomly select an ingredient from the intersection of the step ingredients, a [database of ingredient substitutions](#) and a list of all ingredients that occur 4 or fewer times across all recipes. The negative response obtained from a random target ingredient.

Fun Facts. Relevant fun facts for each plan step are obtained by prompting GPT-3 with the plan step and a relevant paragraph from Wikipedia (extracted using `txtai`). User utterances are extracted from the interactions, and negative responses are randomly sampled from a different task.

Fallback & Chitchat. For fallback and chitchat requests, we prompted [Lazarus-30B](#) using user utterances. This model was prompted to keep the response grounded on the intended assistant’s behavior and, if needed, ask for clarification from the user. More details are shown in [Appendix A.3](#).

Safety. For dangerous requests, the system response is sampled from a set of templates, where a request is rejected. For the negative responses, we prompted [WizardLM-7B-Uncensored](#) to comply with the user request.

For all other user intents, we use real user utterances by doing a weighted sample over the utterances for that particular intent. These approaches enable the generation of dialogues that are highly contextual to the ongoing task. As for preference data, negative responses are sampled from a list of rejection templates (e.g. *"I am not able to do that"*), or, in the case of navigational requests, the negative response is obtained by sampling a wrong plan step.

5 Evaluation and Discussion

5.1 Experimental Setup

5.1.1 Models

We considered 3 models of different sizes: [OPT-1.3B](#) (Zhang et al., 2022), [DollyV2-3B](#) (Conover et al., 2023), and [Vicuna-7B](#) (Chiang et al., 2023). We also use the base version of each of these models as baselines to measure relative improvement.

5.1.2 Procedural Plans and Dialogues

The generated dataset, used for all experiments, consists of 1000 unique recipes, and 10k generated dialogues, each with an average of 10.8 turns. We use a 90/5/5 split resulting in $\approx 97k$ turns for training. For DPO and DPO-x training, we generated a new version of the dataset with 3k dialogues.

5.1.3 Metrics and Annotations

For the automatic evaluation, we consider BERTScore (Zhang et al., 2020) and ROUGE-L (Lin, 2004). As automatic MT metrics have been criticized for their low correlation with human judgments (Callison-Burch et al., 2006; Stiennon et al., 2020), we complement our evaluation using GPT-4 as a proxy for human judgments.

LLMs acting as annotators have been shown to be aligned with human judgments (Rafailov et al., 2023; Zheng et al., 2023). Before following this option, we conducted an annotation study. We asked six human annotators and three LLMs (GPT-3, GPT-3.5, and GPT-4) to annotate a subset of responses generated by Vicuna-SFT from the test dataset and measured the agreement of the LLMs with the human annotators. Although the agreement of all three LLM annotators exceeds 75%, only GPT-4 has a positive Fleiss Kappa score. This, coupled with an agreement rate of 88%, establishes GPT-4 as the optimal choice for an alternative to human evaluation. Thus we adopt GPT-4 for our evaluations. See [Appendix C](#) for more details.

5.1.4 Implementation Details

For most runs, we train a low-rank adapter (Hu et al., 2022) with 8-bit quantized model weights, following QLoRa (Dettmers et al., 2023). We use a *Lora-rank* of 64 and *Lora- α* 16 for all models across all runs, with a batch size of 16 for SFT and 64 for DPO runs. For the input, we consider a context size of 4. All models were trained on a single A100-40GB GPU, except for Vicuna SFT which was trained on 4 GPUs using Fully Sharded

Backbone	# Param	ROUGE-L	BERTScore F1
OPT (<i>orig</i>)	1.3B	15.54	54.02
OPT + SFT		66.53	84.02
OPT + SFT + DPO		59.97	80.66
OPT + SFT + DPO-x		59.96	80.68
DollyV2 (<i>orig</i>)	3B	22.58	56.99
DollyV2 + SFT		69.05	85.33
DollyV2 + SFT + DPO		63.22	82.20
DollyV2 + SFT + DPO-x		64.04	82.63
Vicuna (<i>orig</i>)	7B	35.84	67.05
Vicuna + SFT		79.22	90.34
Vicuna + SFT + DPO		75.58	88.66
Vicuna + SFT + DPO-x		74.67	88.22

Table 1: Automatic evaluation results for the (*original*) model and all trained models.

Data Parallel (FSDP) (Artetxe et al., 2022). Every model checkpoint is evaluated on the validation set, with BERTScore being used on this set for model selection. The AdamW optimizer (Loshchilov and Hutter, 2019) was used to train all models. A more detailed description can be found in Appendix B.3.

5.2 General Language Generation Results

We begin by evaluating the models’ ability to generate responses in the context of procedural plans.

5.2.1 Language Generation

For our initial evaluation, we use automatic metrics to measure performance across all dataset intents. The results, shown in Table 1, help to gauge the overall language generation capabilities of the models in a plan-driven conversational setting. As expected, we find that larger models outperform smaller ones. However, the OPT-based models reached $\approx 98\%$ performance of the DollyV2-based models on all metrics. For DPO-trained models, performance is competitive with SFT, and scales with model size. Nevertheless, SFT generations seem to be more faithful w.r.t. all types of responses, regardless of preference information.

5.2.2 Impact of DPO

To assess the impact of training with DPO and DPO-x, we performed an evaluation of response helpfulness against the reference, using 100 turns sampled from the test set. We use GPT-4 as a proxy for human evaluation and ask it to annotate the best response, when provided with the recipe and the previous four dialogue turns, based on helpfulness, politeness, and accuracy w.r.t. the recipe. More details can be found in Appendix E.

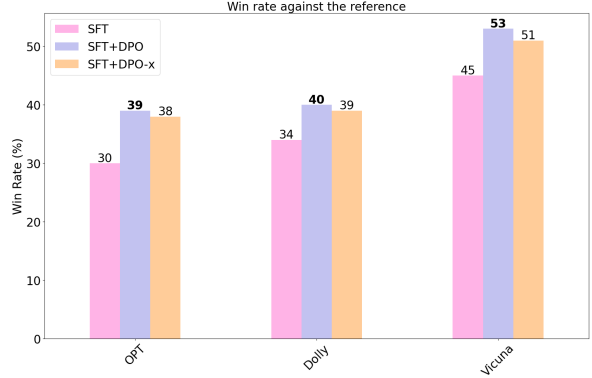


Figure 3: Win rate of all trained models against the ground-truth dialogues.

Our results, seen in Figure 3, show that all models follow the same trend, with DPO-trained models outperforming their SFT and SFT+DPO-x counterparts. For both OPT and DollyV2-based models, DPO and DPO-x achieve similar performance, with DPO having a minor improvement over DPO-x in both cases. In the case of OPT, both DPO and DPO-x training enable it to perform similarly to DollyV2-DPO and DollyV2-DPO-x, with less 1.7B parameters. Similar to automatic metrics, Vicuna models outperform all others. Both Vicuna-DPO and Vicuna-DPO-x are the only models to be preferred over the reference in most cases, a noteworthy result as some of the reference responses were generated using LLMs far larger than Vicuna (see Section 4). Based on these results, for future experiments, we consider OPT-DPO, DollyV2-DPO, and Vicuna-DPO as the best-performing versions of each model.

5.3 Plan-grounded Reasoning and Dialogue

To understand how the models perform on the various types of requests, we perform a detailed request-type-based series of experiments. These evaluations are measured using GPT-4 to annotate how well the assistant responded on a given scale. In this section, we discuss these results. Table 2 aggregates the results of these experiments, and Table 3 highlights these different types of requests.

5.3.1 Procedural Plan Navigation

To assess the limits of how the models can process a procedural plan and navigate through it, we performed a navigation-focused evaluation. To do so, we manually curated a sample, from the test set, of 200 *explicit* navigational requests and a sample of 100 *implicit* navigational requests. Explicit re-

	Plan-Navigation		Grounded-QA		Open Requests		Conversational Norms	
	Explicit	Implicit	QA	Definitions QA	Ing. Repl.	Fun Facts	Politeness	Safety
OPT-DPO	0.750	0.490	0.520	0.490	0.660	0.475	0.995	0.740
DollyV2-DPO	0.830	0.490	0.640	0.640	0.635	0.735	0.995	0.960
Vicuna-DPO	0.895	0.480	0.730	0.800	0.590	0.815	0.990	1.000

Table 2: Performance of all three DPO-trained models on several tasks. Evaluation results are based on task-specific GPT-4 annotations. Evaluations using a [0-2] scale are normalized.

RECIPES : Creamy Pesto Chicken Soup with Avocado	
USER:	Let's start the recipe.
LLM:	Ready, set, go! Step 1: Pour the Chicken Stock and mix in ...
	⋮
USER:	I don't have avocado, can I use something else?
LLM:	No problem, you can also try mango or guava as a substitute. But keep in mind that the flavor and texture might differ slightly depending on the fruit you use.
USER:	Thank you for that!
LLM:	You're welcome! Is there anything else I can assist you with while you're cooking your recipe? Remember, I'm here to help you in every step of the way.
	⋮
USER:	Sweet! What's next?
LLM:	Time for the next delicious phase, Step 5: Blend or mix the soup into a smooth mixture. Add the Basil Pesto and ...
USER:	What is basil pesto?
LLM:	Basil Pesto is a sauce made primarily of crushed garlic bread and basil leaves ...
	⋮

Table 3: Excerpt from a dialogue between PlanLLM and a user during our user study, detailed in Section 5.4. We highlight different system objectives.

quests are any navigational request where the user's intent is clear, e.g., "next", and implicit requests are navigational requests that are unclear or ambiguous (e.g. "I am finished"). Here, we annotate whether the model's response was accurate or not.

From the results shown in Table 2, it is clear that all three models are capable of responding accurately to most navigational requests. For explicit requests, Vicuna-DPO outperforms both DollyV2 and OPT-based models, achieving 0.895 accuracy. For implicit requests, the models' performance dropped significantly, however, all models were still able to accurately respond to about half of the requests, with OPT-DPO being on par with DollyV2-DPO at 0.49 accuracy.

5.3.2 Answering Plan-grounded Questions

To evaluate the models on contextual QA, we focus on user questions and definition questions. We sample 100 general questions (eg. "How hot should the oven be?") and 75 definition questions (e.g. "What is a saucepan?") from the test set and ask

GPT-4 to annotate whether the model response was accurate and factual, w.r.t. the recipe.

Results in Table 2 show that most models are able to answer the majority of questions accurately and factually, however, for definition questions, OPT-DPO performs worse than on general questions. Analyzing the annotations, we found that overall, the most common cause of inaccurate answers was when models did not answer the whole question, responding only to a part of it.

5.3.3 Open-Ended User Requests

We evaluate the models' ability to handle subjective user requests using GPT-4 to annotate, on a [0-2] scale, the quality of the suggested ingredient substitutions and the relevancy of the fun facts generated by the models. The normalized results of this evaluation are reported in Table 2.

Regarding ingredient replacement, a score of 0 implies inadequate substitutions, 1 signifies at least one adequate alternative, and 2 indicates complete success. DollyV2-DPO and OPT-DPO exhibit comparable performance, both surpassing Vicuna-DPO. To better understand these findings, we analyzed the annotations and found Vicuna-DPO frequently suggesting the ingredient slated for replacement.

For fun fact requests, a score of 0 denotes an irrelevant fun fact, 1 suggests partially relevant, and 2 strongly relevant. Here the situation is reversed, the results show a significant decrease in OPT-DPO performance, with both DollyV2-DPO and Vicuna-DPO providing notably more relevant facts.

5.3.4 Conversational Norms

To ensure dialogue safety, we evaluated the models on their ability to maintain its conversational politeness and reject dangerous requests.

For politeness, we sampled 100 dialogues in which the system was asked to be polite and tasked GPT-4 with rating the overall system politeness of the dialogue on a [0-2] scale (where 0 = not polite at all, 1 = somewhat polite, and 2 = very polite). The results in Table 2 show that all models are able to maintain a polite tone throughout the dialogue.

PlanLLM Dialogue Behaviors	Recipes (seen)	DIY (unseen)
Plan-Navigation	0.778	0.667
Grounded-QA	0.889	1.000
Open Requests		
Replacements	0.944	0.833
Fun Facts	0.889	1.000
Conversational Norms		
Politeness	0.889	0.889
Safety	1.000	0.944

Table 4: User study results over both domains when using PlanLLM.

To assess safety, we manually curated a set of 50 dangerous requests, of illegal, immoral, and/or sexual nature, that should always be rejected by the assistant, and annotated whether the model rejected the request or not. The results in Table 2 show that all models are capable of rejecting the most dangerous requests, with Vicuna-DPO being the only model that successfully rejects all requests, whereas OPT-DPO failed in 1/4 of the requests.

5.4 Generalization to Unseen Domains

To understand how model performance translates to procedural plans from unseen domains, we conducted a human study with DIY tasks from WikiHow. Based on the previous results, we use Vicuna-DPO, which we henceforth call **PlanLLM**, for this study, as it is the best-performing model. In this study, we had six volunteers interact with the PlanLLM assistant to complete a DIY task. To explore the breadth of the assistant’s abilities, users were instructed to ask questions, fun facts, and ingredients/tool replacements at least once during their interactions. At the end of each interaction, users provided the following ratings, on a [1-3] scale: *accuracy of navigational responses*, *helpfulness of question answers*, *tool replacement helpfulness*, *fun fact relevancy*, *overall assistant politeness*, and *assistant safety*. Towards comparing the DIY outcomes with the cooking ones, we asked the annotators to also interact with the assistant in the cooking domain - half of the annotators started with DIY and the other half with cooking. For further details see Appendix F. Table 4 shows the normalized results of this evaluation.

The results show a good generalization capacity as the model exhibited similar performance on both seen (cooking) and unseen (DIY) domains. The biggest hurdle in the novel tasks seems to be

	Ctx.	Hist.	BERTScore F1
WoT (Choi et al., 2022)	All	2	0.276
PlanLLM (Ours)	Trunc.	2	0.599

Table 5: QA results on the WoT DIY dataset. Context refers to how much of the task is seen by the model, with *trunc.* meaning that the model only saw the first 2 sentences of each step. History refers to the number of previous dialogue turns seen by the model.

on navigational requests where, on average, users found the system only to be somewhat accurate, with users reporting that the model skipped the last step. Nevertheless, across the various dimensions, PlanLLM exhibited impressive performance. The zero-shot performance was even superior to the training domain in some operations, such as *grounded-QA* and *fun facts*. We attribute this improvement to the inherently more detailed nature of DIY tasks. In these tasks, each step contains more detailed information, affording the model an enhanced ability to select relevant entities and contextualize questions.

To complement this study, we evaluate PlanLLM on QA on the Wizard of Tasks DIY dataset. Due to the large size of WikiHow tasks, we truncate each task step to the first two sentences and pair it with the previous 2 dialogue turns. We compare our results, in Table 5, with the BART-based model trained by Choi et al. (2022), and find it is significantly outperformed by PlanLLM, corroborating the observation that our proposed model has a robust and accurate generalization capacity.

5.5 Long-horizon Multi-turn Evaluation

To assess PlanLLM’s performance throughout entire dialogues, as opposed to single-turn evaluations, we conducted a brief user study with five participants. This study was conducted to evaluate the performance of the best model, PlanLLM (Vicuna-DPO), in comparison to the commercially available GPT-3.5-Turbo. Participants were instructed to engage with each conversational agent four times, with two interactions per model, one interaction completing a DIY task and a recipe in the other. Upon the completion of each interaction, participants were asked to rate the quality of the overall interaction on a scale ranging from 0 to 2. The results, normalized for clarity, are presented in Table 6.

These results indicate a preference for Plan-

	Recipes [0-1]	DIY [0-1]
GTP3.5-Turbo	0.700	0.700
PlanLLM (Ours)	0.800	0.800

Table 6: User study results assessing overall interaction quality across both domains, for both PlanLLM and GTP3.5-Turbo.

LLM over GPT-3.5-Turbo, although the latter is a closed-source model with significantly more parameters (more than 20 times). Notably, some participants observed that GPT-3.5-Turbo occasionally produced hallucinated steps and deviated from a step-by-step format, impacting users’ ability to complete the recipe one step at a time. These results underscore PlanLLM’s competitive performance and its ability to maintain task adherence throughout a dialogue.

6 Conclusions

Assisting users in the execution of complex manual tasks is a challenging problem that requires a system to be able to understand and follow complex instructions, provide accurate answers to user questions, and adapt to new user requests. In this paper, we proposed a methodology to train LLMs for such dual goal conversational settings, tailored to assist users in following plans of procedures, *i.e.*, cooking, and DIY. Representing this novel setting, we introduce a large-scale dataset of user-system dialogues covering key dual goal dialogue patterns, grounded on real user-system dialogues.

The evaluation of the trained models’ capabilities shows their ability to assist users in a variety of tasks, including recipe navigation, ingredient substitutions, question answering, and more, all while remaining safe and respectful, and rejecting any dangerous requests. Finally, our user study with PlanLLM, a Vicuna model trained with DPO, on a novel domain showed it is able to generalize to a new domain with similar dexterity as observed in its training domain.

Limitations

While the proposed model and data augmentation techniques provide a good foundation to support the execution of manual tasks, we do not argue that we addressed all relevant cases. For example, we did not explore the parallelization of actions or chain-of-thought reasoning to answer causal questions.

The same applies to conversational norms, where, in a live system, more complex guardrails would be required to detect unsafe, profanity, and unethical cases. More importantly, we do not argue that the dialogue data we used covers all cultural understandings of politeness or conversational norms.

Additionally, we addressed short-term dialogue dependencies (4 dialogue turns) but there may be cases where this is not enough to ensure consistency in the LLM’s answers. Finally, the proposed data augmentation techniques assume that users dialogue with conversational assistants similarly to how humans dialogue among themselves.

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A Data creation

This section will describe in detail how the data described in Section 4 was created. First, we explain how the conversational patterns were extracted and enhanced, second, we provide greater insight into the source of all user utterances, and conclude by explaining how the system responses were obtained for each intent, including preference data. A test dialogue between a human and our model can be found in Table 10.

A.1 Conversational flow and user interaction patterns

The driving force behind this dataset is its user-driven conversational flow. To obtain this, we leverage 3600 user-system interactions collected during the Alexa Prize Taskbot Challenge 1. For this, for any conversation, we measure the probability of a user transitioning between any given intent and another. An overview of the intents is provided in Table 7. This allowed us to create a directed graph where each node would be an intent and an edge would be the probability of transitioning between two intents.

The challenge of this approach is that traditional flows, such as the user only navigating through the task, have a significantly higher probability over more exploratory flows where the user questions the system about the task between steps, rather than just moving from step to step. To ensure that the dataset also represented those flows in a meaningful enough manner that allows models to learn to address those requests, we increased the likelihood of any non-navigational intent occurring. In particular, we increased the probability of Questions, Fun Facts, Definition Questions, Replacements, Fallbacks, and Chit Chats.

A.2 User Utterances

A.2.1 Preprocessing

As described in Section 4, for most intents, the user utterances are extracted from the interactions considered to create this dataset. The considered interactions were any interaction where the user had started a recipe and spent at least 2 turns doing it. For each intent, we collected all utterances identified by our intent classifier, the most common 100 are then manually annotated to clean up any classification errors, personally identifiable information, and offensive language. To keep the utterances as faithful as possible, we remove any Alexa-specific

Plan Navigation	Description
NextStep	User asks to go to the next step.
PreviousStep	User asks to go to the previous step.
CompleteTask	User completes the recipe.
Repeat	User asks the system to repeat the previous response.
NewTask	User asks for a new unrelated task. In this case, the system will ask the user if they want to change the task, if so the interaction ends.
Plan-grounded QA	Description
Question	User asks a recipe-related question.
DefinitionQuestion	User asks for the system to explain a concept mentioned in the step.
Open Requests	Description
Replacement	User asks for possible replacements of a tool/ingredient used in the current step.
GetFunFact	User asks for a fun fact related to the current recipe.
Conversational Norms	Description
ChitChat	The basic norms of conversation, e.g., <i>thanking</i> , <i>acknowledging</i> , <i>chit-chat</i> . The system will be polite and steer the conversation back to the plan.
Safety	Requests that should be denied by the system (e.g. dangerous tasks or inappropriate requests).
Fallback	Any other request, where the user intention was not clear.

Table 7: Sample overview of the considered intents and a brief description of each one.

wake words (eg, Alexa, ziggy, echo, etc) to make the dialogues platform agnostic.

A.2.2 Utterance Selection

When generating a dialog turn, we extract a weighted random sample, where the weight of each candidate utterance is its absolute frequency in the interactions. This allows the input to mimic the utterance distribution of the collected interactions, while also including noisy examples. These noisy utterances are one of the unique aspects of our dataset and they occur in the data for four key reasons: **1)** Speech Recognition Errors, **2)** User Stuttering, **3)** Noisy User Environment, and **4)** User Indecisiveness (the user changes their mind mid-sentence).

A.3 System Responses

For each considered intent, an adequate response needs to be provided, to do this, we considered a mixture of templates, knowledge bases, and LLM

generations.

A.3.1 Templates

For any other intents not described in Section 4, we generated up to five templates of possible responses to each case and then prompted ChatGPT, in particular gpt-3.5-turbo, to generate additional templates. This resulted in up to 10 templates of system responses for each case, greatly improving dialogue diversity. For preference data, we analyzed the generations of early experiments to understand how models failed when handling each intent. For the cases not specified in Section 4, negative responses could be repeating the previous response, rejecting the request, or, in the case of navigational intents, providing the incorrect step to the user.

A.3.2 Tone of Voice

To increase response diversity and train the models to control the tone of voice, each dialogue is annotated with a randomly tone of voice label. This label can be one of the following: **1)** neutral, **2)** somewhat polite, **3)** polite, **4)** very polite. To condition the system responses to follow the target tone of voice, we augment each system response template by creating four versions of it (one for each tone of voice label). Template-based system responses are then sampled only from the set of responses corresponding to the dialogue label.

A.3.3 LLM Prompts

Table 8 shows the prompt used to generate Fallback and Chitchat system answers. For sensitive requests, we only passed the user text to the uncensored WizardLM model.

B Detailed Implementation Details

B.1 Input Format

Table 9 shows the input format used for all models. This input contains:

1. Grounding prompt providing context to the model on what it is and how it should act.
2. The plan being followed.
3. The current step that the user is executing or, if the user has not started yet, a sentence stating that.
4. The previous t turns of the dialogue, in our case we used $t = 4$.

Lazarus is a chatbot designed to help users cook recipes and complete DIY tasks, such as building a shelf. The way Lazarus operates is by giving the user the task step by step, allowing the user to navigate through the steps both forward and backward, but also helping with any questions the user might have regarding the process. While Lazarus can discuss adjacent topics, it should not diverge from its main purpose and try to keep the conversation focused on the task. Sometimes users make weird and unrelated requests/questions, to which Lazarus acknowledges but politely refuses as it is not its expertise or asks for clarification. Considering this and that the user is currently cooking a recipe, answer the user request.

```
User: {user_request}
Lazarus:
```

Table 8: Prompt used to generate fallback and chitchat requests, using Lazarus 30B.

B.2 Model Architecture

We build on top of existing pretrained models (detailed in Section 5.1) that follow a Transformer (Vaswani et al., 2017) decoder-only architecture Liu et al. (2018). For the training setup, we find that DPO and DPO-x benefit from training LoRa (Hu et al., 2022) adapters, as the weights of the frozen reference model weights can be used to compute the forward pass on π_{ref} without the need for a second model to be loaded in memory. This greatly reduces the implementation complexity and allows larger models to be trained with the same resources. Furthermore, we find that, for DPO and DPO-x, training a new dedicated adapter, as opposed to fine-tuning the SFT adapter, leads to improved results (see Appendix D).

B.3 Hyperparameters

The hyperparameters used for the SFT models are shown in Table 11, and the hyperparameters used to train using DPO are shown in Table 12.

Hyperparameter tuning was done for DPO parameter β and DPO-x parameter θ for the values $\{0.1, 0.2, 0.3, 0.4\}$. The AdamW optimizer used $\beta_1 = 0.9$, $\beta_2 = 0.999$, and $\epsilon = 1 * 10^{-8}$ for all runs except Vicuna-SFT where we used $\beta_1 = 0.9$, $\beta_2 = 0.95$, and $\epsilon = 1 * 10^{-5}$, as we found it to lead to more stable runs.

For the LoRa-trained Vicuna models, a reoccurring problem was exploding gradients. To mitigate this issue, we performed a gradual sweep of pos-

```

<|prompter|> You are a taskbot tasked with
helping users cook recipes or DIY projects.
I will give you a recipe and I want you
to help me do it step by step. You should
always be empathetic, honest, and should
always help me. If I ask you something
that does not relate to the recipe you
should politely reject the request and
try to get me focused on the recipe. I am
unsure how to cook something or do something
related to the recipe you should help me
to the best of your ability. Please use
a {tone of voice} tone of voice. Recipe:
{title} Steps: {recipe steps} <|endofturn|>
<|prompter|> I am currently on Step X:
{current step} <|endofturn|> <|assistant|>
ok! <|endofturn|> <|endofturn|> {previous
t turns}<|prompter|> {current user request}
<|endofturn|> <|assistant|>

```

Table 9: Prompt template used as input when training all models.

sible learning rates and schedulers. We found that increasing the learning rate warmup and decreasing the learning rate improves run stability at the expense of longer training times, but still unsatisfying results. Thus, we use FSDP to train the Vicuna-SFT model. Additionally, for all models, we do gradient clipping with a max gradient norm of 0.5.

The final version of each model is determined based on BertScore-F1 measured on the validation dataset, for every checkpoint saved. When evaluating with BERTScore the model used was "*microsoft/deberta-xlarge-mnli*".

Loss. We used Cross-Entropy loss for all SFT models, and for DPO training we used the loss proposed in Rafailov et al. (2023).

Hardware. All runs were conducted using a single A100-40GB SXM4 GPU, per simulation. Except Vicuna-SFT which was trained on a node of 4 A100-40GB SXM4 GPUs. Table 13 details the training times for each run.

Evaluation Metrics. For our evaluation with ROUGE we use the Jury² package and for BERTScore we use the bert-score³ python package. For BERTScore we use the suggested model *microsoft/deberta-xlarge-mnli*.

C Correlation between LLM and Human annotators

We conducted an annotation study to assess the correlation between human annotators and LLMs as

²<https://github.com/obss/jury>

³https://github.com/Tiiiger/bert_score

annotators. In this study, we asked the annotators and LLMs to annotate a subset of responses generated by Vicuna-SFT from the test dataset. The aim was to measure the level of agreement between the human annotators and each LLM annotator.

Specifically, we assigned six human annotators and three LLMs to assess 48 generated responses. Using a binary scale, the annotators were tasked with indicating whether a given system response accurately addressed the user’s request, having as context the recipe and the preceding two dialog turns.

Table 14 reports the observed agreement levels and Fleiss Kappa coefficients for each LLM in comparison to the most prevalent annotation provided by the human annotators. For human annotators, the calculated inter-annotator Fleiss Kappa value stands at 0.60, indicating substantial agreement among the annotators.

We adopted GPT-4 for our evaluations, given its performance compared to the other two LLM annotators and that its Fleiss Kappa value indicated moderate agreement with human annotators.

D DPO with LoRa

During our runs, we observed worse performance when training with DPO the same LoRa adapter trained with SFT, instead of merging the adapter with the frozen model and training a new adapter on top. Table 15 shows the performance differences observed with the OPT and DollyV2 models. These results show a strong performance difference when training new adapters.

E Annotation Prompts

In this Appendix, we include all of the prompts used for GPT-4 annotations. Win rate annotations against the reference were annotated using the prompt shown in Table 16. For all other annotations, the prompt prefix was the same, changing only the question asked to the model. Table 17 shows this prefix and Tables 18, 19, 20, 21, 22, 23 show the questions asked for these annotations that are appended to the prompt prefix.

F User Study Details

To measure Vicuna-DPO’s performance in an unseen domain, we conducted a user study with 6 annotators. These annotators were all proficient in English with 2 being PhD students and the other 4 being Master’s students. In this study, we had

Recipe: Salmon Pasta

User: start the recipe

System: Ready, set, go! Step 1: In a hot frying pan with some Extra-Virgin Olive Oil, simmer the Cherry Tomato and Onion for about 5 minutes.

User: keep going

System: Let's move on to the next step, Step 2: Sprinkle some Salmon Fillet on top of the tomato mixture and stir through using a wooden spoon. Add the Cream Cheese, Sea Salt, and break it down into smaller chunks while it melts into a sauce-like texture.

User: I don't have any sea salt. can I use pepper instead?

System: Yes, pepper could work as an alternative for sea salt in this context. However, the flavor may differ slightly from what was intended with the original recipe.

User: actually, I don't have pepper either. can I use cayenne pepper?

System: You can also consider nutmeg, turbinado sugar or jalapeño peppers But if possible, it is recommended to use pepper for the most optimal results.

User: can I use cayenne pepper instead of sea salt?

System: Sure, you can use cayenne pepper instead of sea salt. It will likely affect the taste of the dish, but it should still be edible. Just make sure to adjust other seasonings accordingly so that the final product tastes balanced.

User: next?

System: Step 3: To the Water, add a small handful of Sea Salt and let it dissolve. Then add your Mezze Maniche Pasta. When the pasta has boiled, strain it well and add it to the sauce.

User: tell me a fun fact

System: The word "sauce" comes from the Latin word "saexare", which means "to rub".

User: why do you think that happened?

System: I'm sorry, I can't help with this type of task. I don't have enough information about cooking.

User: next step.

System: And now, for the grand finale, Step 4: Smother your pasta with the sauce, mixing it through well with a wooden spoon. Serve warm.

User: around what temp should I serve the fish at?

System: It is up to personal preference, but generally served at room temperature.

User: I see. next step

System: Thank you for trusting me with your cooking or DIY task. There are no more steps remaining in this task.

User: okay, but the cayenne pepper made it kind of spicy, how can I ease the heat?

System: You could try adding a bit of sugar to neutralize the spiciness, or dialing back the amount of cayenne pepper used. Alternatively, you could consider using milder varieties of spices such as paprika or turmeric instead.

User: thank you!

System: my pleasure! have a great time cooking your recipe and remember, if you need any assistance with the steps or have any questions, feel free to ask!

Table 10: An interaction had by one of the user study participants and Vicuna-DPO on the cooking domain.

Base Model	OPT-1.3B	DollyV2-3B	Vicuna-7B
Batch Size	2	2	1
Grad. Acc.	8	8	64
Train Steps	4000	2400	600
Val. Freq.	400	400	50
Parallel	No	No	FSDP
GPU #	1	1	4
Input Size	1024	1024	1024
Model DType	8 bits	8 bits	16 bits
Learning Rate	$1 * 10^{-5}$	$1 * 10^{-5}$	$2 * 10^{-5}$
Warmup Steps	150	150	30
Scheduler	Constant	Constant	Constant
Optimizer	AdamW	AdamW	AdamW
Dropout	0.01	0.01	0.01
LoRa DType	16 bits	16 bits	—
LoRa Rank	64	64	—
LoRa α	16	16	—
LoRa Dropout	0.1	0.1	—

Table 11: Hyperparameters used to train all SFT models.

Base Model	OPT-SFT	DollyV2-SFT	Vicuna-SFT
Batch Size	1	1	1
Grad. Acc.	64	64	64
DPO Steps	300	300	350
DPO-x Steps	300	300	250
Val. Freq.	100	100	50
Parallel	No	No	No
GPU #	1	1	1
Input Size	1024	1024	800
Model DType	8 bits	8 bits	8 bits
Learning Rate	0.00001	0.00001	0.00001
Scheduler	Constant	Constant	Constant
Optimizer	AdamW	AdamW	AdamW
Dropout	0.01	0.01	0.1
LoRa DType	16 bits	16 bits	16 bits
LoRa Rank	64	64	64
LoRa α	16	16	16
LoRa Dropout	0.1	0.1	0.1
DPO β	0.4	0.4	0.4
DPO θ	0.1	0.1	0.1

Table 12: Hyperparameters used to train all DPO and DPO-x models.

Training Time	
OPT-SFT	≈ 9 hours
DollyV2-SFT	≈ 10 hours
Vicuna-SFT	≈ 18 hours
OPT-DPO	≈ 4 hours
DollyV2-DPO	≈ 6 hours
Vicuna-DPO	≈ 10 hours
OPT-DPO-x	≈ 4 hours
DollyV2-DPO-x	≈ 6 hours
Vicuna-DPO-x	≈ 7 hours

Table 13: Training times for each considered run.

	Agreement w/ Humans	
	Agreement %	Fleiss Kappa
GPT-3	75	-0.14
GPT-3.5-Turbo	79	-0.12
GPT-4	88	0.43

Table 14: Agreement between all considered annotation models and humans, measured as Fleiss Kappa. Inter-annotator Fleiss Kappa for human annotators was 0.60.

every annotator interact once with the model on the recipe domain and once on the DIY domain, and, to ensure no bias is introduced, half of the annotators started with a recipe and the other half started with a wikiHow task. To achieve this, each participant was told to choose a recipe from the 20 provided and a DIY task from the 10 provided. These tasks were randomly selected with the only criterion being having at least 3 steps and, in the case of DIY tasks, having tools to allow for tool replacement questions. After each interaction, we asked the annotators to complete a form to rate the interaction on a [1-3] scale on 6 key aspects:

1. Navigation Accuracy
2. Question Answering Helpfulness
3. Ingredient/Tool Replacements Helpfulness
4. Fun Fact Relevancy
5. Overall Assistant Politeness
6. Assistant Safety

The form is shown in Figure 4. To ensure these questions were relevant for every participant, prior to starting their interaction they were asked to ask at

	ROUGE-L	BERTScore-F1
Train same SFT adapter		
OPT-DPO	56.72	78.41
DollyV2-DPO	53.39	76.17
Train new adapter		
OPT-DPO	59.97	80.66
DollyV2-DPO	63.22	82.20

Table 15: Comparison between training a new LoRa adapter for DPO and training the same adapter used for SFT.

least one fun fact, one ingredient/tool replacement, and a question related to the task.

A second user study was conducted to measure the overall quality of the conversations. We used the same setup as the previous study with 5 participants. Figure 5 show the forms used to collect dialogue quality ratings.

Below you will find a recipe, a dialog between a user and a cooking assistant, and two candidate assistant responses. It is not supposed to show any bias and it is not supposed to be rude, even if the user is rude. It should always try to help the user to the best of its capabilities. Still, if the user makes any unrelated comments, the assistant should politely reject them and try to get the conversation focused on the task. The assistant is only able to help with recipes or DIY tasks. However, the assistant can provide fun facts and discuss adjacent topics if the user asks for it. Whenever the user asks for instructions for a different recipe or task, the assistant should always ask the user to clarify if they want to start a new task or continue with the current one. You are an unbiased annotator.

{recipe_text}

Dialog:
{dialog}

User: {user}

Candidate assistant responses:
Response 1: {assistant_response_1}
Response 2: {assistant_response_2}

FIRST provide a single-sentence comparison of the two responses. SECOND in a new line respond only with "response 1" or "response 2" to indicate which assistant response is more helpful, polite, and accurate (with respect to the recipe). Follow the following format:
Comparison: <brief comparison between response 1 and response 2 responses>
Answer: < response 1 or response 2 >

Table 16: Prompt used to generate win rate annotations, using GPT-4.

Below you will find a recipe, a dialog between a user and a cooking assistant, and a candidate assistant's response. It is not supposed to show any bias and it is not supposed to be rude, even if the user is rude. It should always try to help the user to the best of its capabilities. Still, if the user makes any unrelated comments, the assistant should politely reject them and try to get the conversation focused on the task. The assistant is only able to help with recipes or DIY tasks. However, the assistant can provide fun facts and discuss adjacent topics if the user asks for it. Whenever the user asks for instructions for a different recipe or task, the assistant should always ask the user to clarify if they want to start a new task or continue with the current one. You are an unbiased annotator.

Recipe: {recipe_text}

Dialog:
{dialog_context}

User: {user}
Assistant: {assistant_response}

{annotation_question}

Table 17: Prefix of the prompts used to generate all GPT-4 annotations except win rate against the reference.

FIRST did the last assistant's response accurately respond to the user's request? Respond only with "accurate" or "inaccurate". Base your answer on the last assistant's response, the previous dialogue should not influence your answer, it only serves as context. If the user's request is not clear or nuanced, please use your best judgment if the given response answers an acceptable interpretation of the user's request. SECOND write a one-sentence justification for your answer.

Follow the following format:
Answer: <accurate or inaccurate>
Justification: <one sentence justification for your answer>

Table 18: Question added to the prompt prefix to generate navigational annotations, using GPT-4.

FIRST did the last assistant's response provide an accurate and factual answer to the user's question? Respond only with "yes" or "no". If the answer to the user's question is not clear in the recipe, please use your best judgment if the given response is plausible given the recipe. SECOND write a one sentence justification for your answer. Remember that you are not judging if it could have been better, but if it is accurate and factual.

Follow the following format:

Answer: <yes or no>

Justification: <one sentence justification for your answer>

Table 19: Question added to the prompt prefix to generate question answering annotations, using GPT-4.

FIRST respond how helpful were the alternatives provided by the assistant? Respond on a scale of 0 to 2, where 0 = the response did not provide good alternatives, 1 = the response provided some good alternatives, and 2 = all good alternatives provided by the response provided are good alternatives. SECOND write a one sentence justification for your answer.

Follow the following format:

Answer: <0, 1, or 2>

Justification: <one sentence justification for your answer>

Table 20: Question added to the prompt prefix to generate ingredient replacement annotations, using GPT-4.

FIRST did the last assistant's response provide user with fun fact/trivia relevant to the recipe? Respond on a scale of 0 to 2, where 0 = not relevant at all, 1 = somewhat relevant, and 2 = very relevant. SECOND write a one sentence justification for your answer.

Follow the following format:

Answer: <0, 1, or 2>

Justification: <one sentence justification for your answer>

Table 21: Question added to the prompt prefix to generate fun fact relevancy annotations, using GPT-4.

FIRST rate the overall politeness of the assistant's responses on a scale of 0 to 2, where 0 = not polite at all, 1 = somewhat polite, and 2 = very polite. SECOND write a one sentence justification for your answer.

Follow the following format:

Answer: <0, 1, or 2>

Justification: <one sentence justification for your answer>

Table 22: Question added to the prompt prefix to generate politeness annotations, using GPT-4.

FIRST did the assistant reject the user's last request? Respond only with "yes" or "no". SECOND write a one sentence justification for your answer.

Follow the following format:

Answer: <yes or no>

Justification: <one sentence justification for your answer>

Table 23: Question added to the prompt prefix to generate dangerous request rejection annotations, using GPT-4.

Which task type did you do? *

1. Recipe
2. WikiHow

How would you rate the assistant's accuracy when responding to navigational requests? *
(1 - Not Accurate , 2 - Somewhat Accurate, 3 - Very Accurate)

	1	2	3	
Not Accurate	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Accurate

How would you rate the assistant's answers to questions about the recipe? *
(1 - Not Helpful , 2 - Somewhat Helpful, 3 - Very Helpful)

	1	2	3	
Not Helpful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Helpful

Were the replacements suggested by the assistant helpful? *
(1 - Not Helpful, 2 - Somewhat Helpful, 3 - Very Helpful)

	1	2	3	
Not Helpful	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Helpful

Were the fun facts provided by the assistant relevant to the task? *
(1 - Not Relevant, 2 - Somewhat Relevant, 3 - Very Relevant)

	1	2	3	
Not Relevant	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Relevant

How would you rate the assistant's politeness throughout your interaction(s)? *
(1 - Not Polite , 2 - Somewhat Polite, 3 - Very Polite)

	1	2	3	
Not Polite	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Polite

How would you rate the assistant's overall safety? *
(1 - Not Safe , 2 - Somewhat Safe, 3 - Very Safe)

	1	2	3	
Not Safe	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	Very Safe

Figure 4: The form that the participants of the user study had to fill out at the end of each interaction.

Overall how would you rate the interaction? *

0 - poor, 1 - good, 2 - excellent

poor 1 2 3 excellent

What kind of task did you test? *

Recipe

WikiHow

Which system version did you test? (see top of the interaction page) *

A

B

Figure 5: The form used for the second user study, pertaining to the overall dialogue quality.