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Data-Efficient Paradigms for Personalized Assessment of Taskable AI Systems

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Siddharth Srivastava [Chair] **Dissertation Committee**









Yu Zhang

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Data-Efficient Paradigms for

Personalized Assessment of Adaptive Black-Box Taskable Al Systems

Taskable AI Systems: Systems that can Learn and Plan



User gives a task and Robots have to complete it

- Sequential Decision-Making Systems.
- Systems designed to be able to help user.
- User has a task in mind and expects the AI system to help in that task.

Personalized Assessment of AI Systems that can Learn and Plan

- Users would like to give AI systems multiple tasks.
 - How would users know what the AI systems can do?
- Al systems should support third-party assessment.
- The assessment should work with:
 - Adaptive Al systems.
 - Black-Box AI systems.



Adaptive Taskable AI Systems

Dan Luu @danluu · Follow

"Unfortunately, a recent software update was not successful. Your vehicle cannot be driven. Please call customer support:"



USA TODAY

 \mathbb{X}

Tesla self-driving software update begins rollout though company says to use with

caution

update

Charisse Jones, USA TODAY July 12, 2021 · 2 min read

Lucid Owners Facing Software Glitches That Brick EVs Or Drive the Wrong Direction

♀ 1 Owen Bellwood November 10, 2022 · 2 min read

AEG combi microwave thinks it is a steam oven and no longer works after an incorrect

By Julian Huijbregts 04-03-2022 • 10:48 News editor

NEWS

Nest thermostat software bug chills users once again

A faulty software update for the smart thermostat made batteries drain and home temperatures drop.

By Jared Newman TechHive | JAN 14, 2016 8:38 AM PST

Desiderata of Assessment System



The Assessment Problem

Will it be able to safely rearrange my lab for the next round of experiments?

Output

- A description of agent's working:
 - A list of capabilities.
 - An interpretable description of each capability.

Black-Box AI

- Arbitrary internal implementation
- Comes with a Trained Policy

Related Work



- No other work on assessment.
- The closest work is on learning from passive observations.
- Learn what the agent does, not what it can do when it is retasked.

Description of the

Al system's working

[Output]

OBD Scanner for Black-Box AI?



Can we build something like an OBD scanner for Black-Box AI Systems?

Yes!!

But we'll need something more general and powerful.

- Well-understood components
- Known internal design
- (Commonly) limited functionality
- Not as versatile as a household robot

at(p0,cell_6_3)
clear(cell_0_0)
door_at(cell_9_2)
next_to(m0)
alive(m0)
key_at(9_4)

Concepts that the user understands

[Input]



Personalized AI-Assessment Module (AAM)



Arbitrary internal implementation

Doesn't know user's vocabulary

Black-Box AI

at(p0,cell_6_3)
clear(cell_0_0)
door_at(cell_9_2)
next_to(m0)
alive(m0)
key_at(9_4)

[Input] Concepts that the user understands



simulator Arbitrary internal implementation

Doesn't know user's vocabulary

Black-Box AI

Black-Box AI System Interface



• Simple Query-Response Interface

- Should work for a variety of taskable AI systems.
 Independent of their internals.
- Requirement: (QueryType, ResponseType, ρ).

The Assessment Problem

Black-Box (Taskable) Al

- Can be connected to a simulator.
- Can have arbitrary internal implementation.
- Does not know input vocabulary.

Input

- Predicates (User vocabulary)
 - With their evaluation functions

Output

- A description of agent's working:
 - A list of capabilities.
 - An interpretable description of each capability.

Black-Box AI

Interpretable Description: PDDL/PPDDL

```
(:action open-door
  :parameters (?l1)
  :precondition (and
     (has_key)
     (player_at ?l1)
     (door_adjacent ?l1))
  :effect (probabilistic —
    0.95 (and (door_open))
    0.05 (and (not (has_key))
               (game-over))
```

Precondition: This condition must be true for this action to execute

Effect: This is a set of conditions, one of which becomes true when this action is executed

Probabilities: Each set of effect has an associated probability with which that effect set is executed

Interpretable: Easily Convertible to Natural Language

```
(:action open-door
  :parameters (?l1)
  :precondition (and
     (has_key)
     (player_at ?l1)
     (door_adjacent ?l1))
  :effect (probabilistic
     0.95 (and (door_open))
     0.05 (and (not(has_key))
               (game-over))
```

The player can open the door when in location ?l1 if:

- It has the key
- The player is at location ?l1
- The door is adjacent to location ?l1 After executing that capability:
- With 95% probability, the door will open
- With 5% probability, the player will not have the key and the game will be over

01 Introduction **02** Foundational Approach


```
Generalization
```

04

Applications

05 Conclusion

Deterministic and Stationary Setting

Assumptions

- User's vocabulary matches simulator's vocabulary.
- Black-Box AI provides a list of capabilities.
- Stationary agent model.
- Deterministic environment.
- Fully observable setting.

Exponential Search for Learning Correct Description

- Consider the following 4 predicates/concepts:
 - (has_key)
 - (door_open)
 - (door_adjacent ?x)
 - (player_at ?x)
- Consider just one capability: (open-door ?x)
- 9^{|C|×|P|} = 9^{1×4}=6561 possible models (Assuming deterministic models/ descriptions, i.e., no probabilities).

```
(:action open-door
  :parameters (?l1)
  :precondition (and
     (+/-/\emptyset) (has_key)
     (+/-/\emptyset) (door_open)
     (+/-/Ø)(door_adjacent ?l1)
     (+/-/\emptyset) (player_at ?l1))
  :effect (and
     (+/-/\emptyset) (has_key)
     (+/-/\emptyset) (door_open)
     (+/-/Ø) (door_adjacent ?l1)
     (+/-/\emptyset) (player_at ?l1))
```

Simple Queries

Query	In state s_I , what will happen if you execute the plan $\pi = \langle c_1,, c_n \rangle$?	Can you go from state s_I to state s_F ?
Response	I can execute first ℓ steps of the plan, ending up in state s_F .	Yes / No.
	Plan Outcome Queries	State Reachability Query

- How to generate the queries?
- How to use the responses to generate models?

We have a reduction that converts this to a planning problem, so it automatically generates queries.

Key feature of the algorithm

Whenever we prune an abstract model, we prune a large number of concrete models.

Active Learning

[Verma, Marpally, Srivastava; AAAI '21]

Deterministic and Stationary Setting

Input

- Predicates (User vocabulary)
 - With their evaluation functions
- List of capabilities.

Output

• PDDL-like description of each capability.

Assumptions

- User's vocabulary matches simulator's vocabulary.
- Black-Box AI provides a list of capabilities.
- Stationary agent model.
- Deterministic environment.
- Fully observable setting.

AAM learns Accurate Model with fewer Queries

- Asses by learning the model and compare with ground truth.
- Baseline⁺: A passive learner (FAMA) that observes agent behavior

Accuracy: <u>AAM</u> — FAMA Time: ---- AAM ---- FAMA

[Verma, Marpally, Srivastava; AAAI '21]

[†]Aineto, D.; Celorrio, S. J.; and Onaindia, E. 2019. *Learning Action Models With Minimal Observability*. Artificial Intelligence 275: 104–137.

AAM learns Accurate Deterministic Models

- Theorem (*termination*) : The algorithm terminates after a finite number of iterations.
- Theorem (*soundness*): The resulting (set of) model(s) is(are) functionally equivalent to the ground truth model.

Lemma 8 in Thesis

Theorem 4 in Thesis

Causal Accuracy Analysis

- Use the framework for Actual Causality[†] to define the causal accuracy of the models that we learn.
- Explain theoretically why models learned using passive learners may not be causally accurate.
- Show that the models AAM learns are causally accurate[†].
 (Theorem 11 in Thesis)

Stochastic and Stationary Setting

Input

- Predicates (User vocabulary)
 - With their evaluation functions
- List of capabilities.

Output

• PPDDL-like description of each capability.

Assumptions

- User's vocabulary matches simulator's vocabulary.
- Black-Box AI provides a list of capabilities.
- Stationary agent model.

Stochastic • Deterministic environment.

Fully observable setting.

Changes for Stochastic Settings

New Queries

Policy: Generated Autonomously by Reduction to Non-Deterministic Planning

What happens if you start in the given initial state and follow this partial policy?

Assumptions

- User's vocabulary matches simulator's vocabulary.
- Black-Box AI provides a list of capabilities.
- Stationary agent model.

Stochastíc • Deterministic environment.

Fully observable setting.

Changes for Stochastic Settings

```
Step 1: Learn a Non-Deterministic Model
                                                                     Step 2: Convert to Probabilistic Model
(:action open-door
                                                                     (:action open-door
  :parameters (?l1)
                                                                       :parameters (?l1)
  :precondition (and
                                                                        :precondition (and
     (+/-/\emptyset) (has_key)
                                                                          (+/-/\emptyset) (has_key)
     (+/-/\emptyset) (door_open)
                                                                          (+/-/\emptyset) (door_open)
                                              Apply Maximum
     (+/-/Ø) (door_adjacent ?l1)
                                                                          (+/-/∅) (door_adjacent ?l1)
                                            Likelihood Estimation
     (+/-/Ø)(player_at ?l1))
                                                                          (+/-/Ø)(player_at ?l1))
  :effect (oneof
                                                                        :effect (probabilistic
                                            on the observed data
                                                                          0.xx (and
     (and
                                              (query responses)
       (+/-/\emptyset) (has_key)
                                                                             (+/-/\emptyset) (has_key)
       (+/-/\emptyset) (door_open)
                                                                             (+/-/\emptyset) (door_open)
       (+/-/∅) (door_adjacent ?l1)
                                                                             (+/-/∅) (door_adjacent ?l1)
       (+/-/\emptyset) (player_at ?l1))
                                                                             (+/-/\emptyset) (player_at ?l1))
     (and
                                                                          0.yy (and
       (+/-/\emptyset) (has_key)
                                                                             (+/-/\emptyset) (has_key)
       (+/-/Ø) (door_open)
                                                                             (+/-/\emptyset) (door_open)
       (+/-/∅) (door_adjacent ?l1)
                                                                             (+/-/∅) (door_adjacent ?l1)
       (+/-/\emptyset) (player_at ?l1))
                                                                             (+/-/\emptyset) (player_at ?l1)))
```

[Verma, Karia, Srivastava; NeurlPS '23]

AAM learns accurate probabilistic models faster

- Baseline: directed exploration approach (GLIB)
- Increase time taken to learn the model.

[†]Chitnis, R.; Silver, T.; Tenenbaum, J.; Kaelbling, L. P.; Lozano-Perez, T. GLIB: Efficient Exploration for Relational MBRL via Goal-Literal Babbling. AAAI 2021.

AAM learns Accurate Probabilistic Models

- Theorem (*soundness and completeness*): The intermediate non-deterministic model (after step 1) is sound and complete w.r.t. the ground truth model.
- Theorem (*probabilistic correctness*): The resulting probabilistic model is correct w.r.t. the ground truth model.

Theorem 9 in Thesis

Theorem 10 in Thesis

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User Vocabulary can be Less Expressive

Agent's State Representation

pixel_1_1(#42A8B3) pixel_1_2(#42A8B3)

pixel_n_m(#203A3D)

State Representation

in User's Vocabulary

(at ganon 5,3)

(at link 6,3)

(at key 9,4)

(at door 9,2)

Discovering Capabilities

Input

- Predicates (User vocabulary)
 - With their evaluation functions
- Samplers: high-level state to low-level state.
- Low-level state transitions.

- Assumptions
- User's vocabulary matches simulator's vocabulary.
- Black-Box AI provides a list of capabilities. transitions.
- Stationary agent model.

Output

- List of capabilities.
- PDDL-like description of each capability.

- Deterministic environment.
- Fully observable setting.

Discovering Capabilities using Input Predicates as Abstractions

[Verma, Marpally, Srivastava; KR '22]

Example of a Learned Capability Description

This capability is: "Defeat Ganon"

User Study Setup to Verify Interpretability

Keystroke Description

4. Capability C4:

- The *player* can execute this capability when:
- The monster is not defeated.
- The player is in cell1.
- The monster is in *cell2*.
- The player is in a cell adjacent to the monster.

- After the *player* executes this capability:
- Cell2 is empty.
- The monster is defeated.
- Effects • The monster is not in cell2.
- The player is not in a cell adjacent to the monster.

Question 4 of 12:

Select the phrase that best summarizes the capability **C4**? We will use your response while referring to this capability C4 later in the survey.

Go next to Door Go next to Ganon Go next to Key Go next to Wal Defeat Ganon Break Key Pick Key Open Door

Possible options to choose from

[Capability Description Example]

- W: Pressing this key does the following:
- If Link is facing up and there is no wall, door, or key in the cell above, then Link moves to the cell above.
- If there is a wall, door, or key in the cell above Link, then Link stays in the same cell.
- If Link is facing Left, Right, or Down before pressing W, then Link faces up but stays in the same cell.

Ouestion 1 of 11:

Select the phrase that best summarizes pressing W? We will use your response while referring to this key **W** later in the survey.

Up Down Possible options Left to choose from Right Interact

[Functionality Description Example]

Utility of Discovered Capability Descriptions

If Link starts in the state shown below:

Which sequence of actions can Link take to reach the state shown below:

T		

Learned Capability Descriptions are Maximally Consistent

- Theorem (*consistency*): The learned descriptions are consistent with the observations and the queries.
- Theorem (maximal consistency): This approach is maximally consistent, i.e., we cannot add any more literals to the preconditions or effects without ruling out some truly possible models.
- Theorem (*probabilistic completeness*): In the limit of infinite execution traces, the probability of discovering all capabilities expressible in the user vocabulary is 1.

Theorem 6 in Thesis

Theorem 8 in Thesis

Differential Assessment

Input

- Initial model of the AI system.
 - Predicates (User vocabulary)
 - With their evaluation functions
 - List of capabilities.
- Observations of AI system working in the environment.

Output

• Updated PDDL-like description of each capability.

Can we learn an updated model without doing a complete assessment?

Assumptions

- User's vocabulary matches simulator's vocabulary.
- Black-Box AI provides a list of capabilities.

Adaptíve Stationary agent model.

- Deterministic environment.
- Fully observable setting.

Fewer Queries Needed Compared to Learning from Scratch

Random deterministic planning agent from IPC

Accuracy of initial model

- Accuracy gained by AAM
- --- Accuracy of model computed by AAM
- Number of queries by AAM
- × Number of queries when learning from scratch

Learned Updated Capability Descriptions are Consistent

 Theorem (consistency): The learned descriptions are consistent with the observations and the query responses.

Theorem 4 in Thesis

Applications

Continual Learning and Planning (CLaP)

- Applying Agent Assessment to RL settings.
 - Agent does not know the model.
 - List of capabilities is known.
 - List of predicates is known.
- Learning a model for both agent and environment.
- Use assessment to see how the environment responds to agent actions.

Setting

- A stream of tasks as input.
- Different goals for each task.
- Simulator's transition function can change arbitrarily.

Objective

- Maximize #tasks completed within a fixed budget.
- Minimize adaptive delay and regret.

Continual Learning and Planning (CLaP)

CLaP Few Shot Transfers in Non-Stationary Settings

Random probabilistic planning agent from IPC

[[]Karia*, Verma*, Speranzon, Srivastava; ICAPS '24]

Desiderata of Assessment System

How well we did on Desiderata?

Interpretability We showed with a user study that the discovered capability models and their descriptions we learn are interpretable.

Correctness We defined how correctness can be measured for each work and proved that we can achieve it.

Generalizability The approaches are applicable to any taskable AI that satisfies the given assumptions for each approach.

Easy to satisfy requirements

The requirements on the AI system are:

- Simulator access.
- Support for simple queries available to any SDM system.

Contributions

- Formally defined the Third-Party AI Assessment Problem for the Taskable AI Systems.
- The first work that shows we can make some assumptions about the interface and assess black-box AI systems on the fly.
- We explain how to assess an adaptive agent after it is deployed.
- Explain theoretically why models learned using passive learners may not be causally accurate.

Contributions

AI Assessment

[Verma, Marpally, Srivastava; AAAI '21] [K [Nayyar*, Verma*, Srivastava; AAAI '22] [Verma, Marpally, Srivastava; KR '22] [Verma, Karia, Srivastava; NeurIPS '23] [Verma*, Karia*, Vipat, Gupta, Srivastava; GenPlan '23] [Verma, Srivastava; AAAI '24 SS]

Generalization in Planning

[Karia*, **Verma***, Speranzon, Srivastava; ICAPS '24] [Shah, Nagpal, **Verma**, Srivastava; Preprint]

Causal Accuracy of Symbolic Models

[**Verma**, Srivastava; GenPlan '21] [**Verma**, Srivastava; In Preparation]

Explainable Robot Planning

[Shah*, **Verma***, Angle, Srivastava; AAMAS '22] [Dobhal, Nagpal, Karia, **Verma**, Nayyar, Shah, Srivastava; In Submission] [Dadvar, Majd, Oikonomou, **Verma**, Fainekos, Srivastava; In Submission]

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- Naman Shah, Jayesh Nagpal, *Pulkit Verma*, and Siddharth Srivastava. From Reals to Logic and Back: Inventing Symbolic Vocabularies, Actions, and Models for Planning from Raw Data. Preprint.

Future Work

- Perform extensive analysis of queries in terms of:
 - Complexity of generating them.
 - Complexity of answering them.
 - Complexity of inferring models from Black-Box AI's responses.
- Extend the work for partially observable settings.

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THE BEST THESIS DEFENSE IS A GOOD THESIS OFFENSE.

Data Efficient Paradigms for Personalized Assessment of Taskable AI Systems Pulkit Verma

