
Language Model Personalization via Reward Factorization

Anonymous Authors¹

Abstract

Modern large language models (LLMs) are optimized for human-aligned responses using Reinforcement Learning from Human Feedback (RLHF). However, existing RLHF approaches assume a universal preference model and fail to account for individual user preferences, limiting their effectiveness in personalized applications. We introduce a framework that extends RLHF to enable user personalization by leveraging the assumption that user preferences lie in a low-dimensional space. Instead of training a separate model per user, we represent user-specific rewards as a linear combination of base reward functions. Using only 10 user responses, our method can infer user-specific rewards and align LLM outputs accordingly. We validate our approach through experiments with both synthetic and real users, demonstrating significant personalization achieved by our method. In human evaluations, our method achieves a 67% win rate over default GPT-4o responses.

1. Introduction

A major driver of modern large language models (LLMs) is their ability to align responses with human preferences, typically achieved via Reinforcement Learning from Human Feedback (RLHF) (Ouyang et al., 2022). However, Current approaches to RLHF assume a universal preference model across all users and cannot cater to individual user preferences, a key limitation to personalization (Casper et al., 2023; Sorensen et al., 2024).

User preferences vary widely across individuals and tasks. For example, one user might use an LLM as a professional assistant for work-related tasks, while another might use it as a virtual friend. Naively extending RLHF to cater to different user preferences, such as training a separate model for each user, is often infeasible. This is mainly due to the large amount of user-specific data required (typically thousands of data points (Gao et al., 2023)) and the significant computational cost of training and maintaining user-specific LLMs.

We propose Personalization via Reward Factorization (PReF), a framework that extends RLHF to support personalization by assuming user preferences lie on a low-dimensional manifold (Rentfrow et al., 2011). Under this assumption, the reward function for user i , $r_i(x, y)$, is modeled as a linear combination of J base reward functions: $r_i = \sum_{j=1}^J \lambda_i^j \phi^j$. Here, the user-specific coefficients λ_i^j determine the contribution of each base reward function $\phi_j(x, y)$. This reduces personalization to estimating λ_i^j , which is simpler and more data-efficient than learning a separate reward model per user.

Previous work on LLM alignment developed methods to combine a set of pre-defined reward functions linearly but did not focus on personalization (Han et al., 2024; Guo et al., 2024; Yang et al., 2024b). In particular, these approaches do not address the core problems necessary for personalization: (1) inferring user-specific combinations efficiently. Our work addresses these questions.

PReF begins by collecting user preference data over response pairs annotated with user identity. We learn base reward functions from this dataset, then estimate the coefficients λ_i for new users via a short interactive session. We generate a sequence of questions and a pair of responses and ask the user to indicate which response they prefer. Based on the responses, we estimate the user coefficients and, thus, their specific reward function. To minimize the number of questions needed, we use active learning: selecting response pairs that most reduce uncertainty over λ_i . We extend results from the logistic bandits literature to compute these uncertainty scores efficiently. Our method identifies user preferences with just 10–20 queries. Finally, we align the LLM to each user’s reward function using inference-time alignment methods (Han et al., 2024; Yang et al., 2024b; Rame et al., 2024), enabling fast, scalable personalization without updating model weights.

We validate PReF through extensive experiments. On synthetic data, our approach outperforms standard RLHF by a wide margin, requiring as few as five samples from a new user to improve over a generic reward model. On real human users, aligning GPT-4o with PReF achieves a 67% win rate over the default model responses.

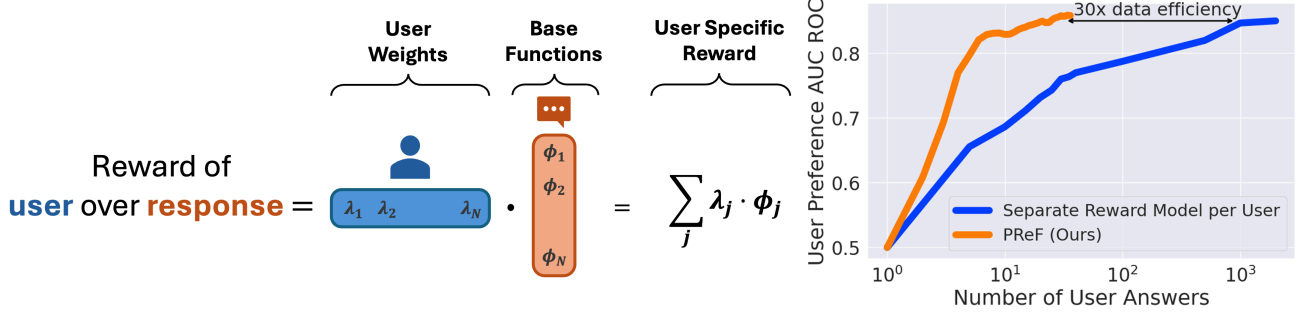


Figure 1: We factorize each user’s personal reward as a linear combination of base functions. The linear structure enables us to perform personalization in an efficient manner, needing up to x30 fewer answers from the user to achieve the same performance as the standard RLHF approach.

2. Related Work

Personalization of LLMs has become an important research direction, enabling models to better serve individual users’ needs (Sorensen et al., 2024; Kirk et al., 2024b; Zhang et al., 2024). Broadly, personalization can take several forms: incorporating user-specific knowledge, fine-tuning models to develop domain expertise, or adjusting response styles to align with user preferences (Ning et al., 2024; Wu et al., 2024; Richardson et al., 2023; Kirk et al., 2024a; King & Cook, 2020). Our work focuses on the last category—personalization through user-specific preference alignment.

A leading approach for aligning LLMs with human preferences is Reinforcement Learning from Human Feedback (RLHF), first introduced by (Christiano et al., 2017) and further refined in later works (Ouyang et al., 2022; Ziegler et al., 2019; Stiennon et al., 2020; Bai et al., 2022b). RLHF trains a reward model using datasets of response pairs annotated with human preferences (Wang et al., 2024a), often requiring thousands to hundreds of thousands of labeled examples (Gao et al., 2023).

To improve the alignment process, researchers have proposed decomposing human preferences into distinct aspects, such as helpfulness, harmlessness, and factuality (Bai et al., 2022a; Wang et al., 2024b; Dorka, 2024). In these approaches, a separate reward function is trained for each of these properties and reinforcement learning is performed on their weighted sum. This decomposition facilitates learning each how to maximize each property independently and allows for control over their balance in downstream applications. Extending this idea, multi-reward formulations have been proposed for personalization, where each user has a different combination of these reward functions (Guo et al., 2024; Zhou et al., 2023; Yang et al., 2024b; Wang et al., 2024c). Although this supports personalization, a key limitation is that it typically requires training separate models for each reward combination.

Several approaches have tackled this challenge by reweighting reward functions at inference time, allowing for dynamic model adaptation without retraining (Han et al., 2024; Chen et al., 2024b; Khanov et al., 2024; Mudgal et al., 2023). Others have trained separate models for different reward functions and later combined them in weight space (Jang et al., 2023; Rame et al., 2024). However, these methods rely on the assumption that reward functions are pre-defined and that user preferences are explicitly specified. In contrast, our work develops personalization algorithms that relax these constraints, enabling more flexible and adaptive model behavior.

The closest related works extend reward learning to incorporate user-specific preferences. (Poddar et al., 2024) introduces a variational framework that models user preferences as latent variables, enabling the reward model to adapt with a small set of user-specific annotations. (Chen et al., 2024a) represents each user’s preferences as an "ideal point" in a shared latent space, ranking responses based on their proximity to this point. In contrast, our approach models user preferences as a linear combination of base reward functions, providing a different structural perspective. A detailed comparison of these methods is presented in Section 5.3. Once the base reward functions are learned, our method leverages active learning to efficiently gather user inputs and infer a user-specific linear combination of these functions.

3. Preliminaries

Our objective is to generate responses y to a given prompt x that align with the preferences of an individual user. To capture these preferences, we assume that each user i has a reward function $r_i(x, y)$. To infer the rewards, we follow common practice (Ouyang et al., 2022) and rely on the Bradley-Terry (BT) model (Bradley & Terry, 1952; Christiano et al., 2017) for pairwise comparisons, where users indicate their preference over a pair of responses:

$$p(y^1 \succ y^2 | x, i) = \sigma(r_i(x, y^1) - r_i(x, y^2)) \quad (1)$$

where $p(y_1 \succ y_2 | x, i)$ is the probability that user i prefers y_1 over y_2 , and $\sigma(w) = \frac{1}{1+e^{-w}}$ is the sigmoid function.

In standard RLHF, a single, global reward function $r(x, y)$ is learned by maximizing the likelihood of all pairwise comparisons across the dataset. This objective assumes homogeneous preferences across users, treating all pairwise comparisons as arising from the same reward function $r(x, y)$. While effective for general alignment tasks, this approach fails to account for user-specific variations in preferences.

4. The PReF framework

In this work, we model the reward function of an individual user i as a linear combination of J base reward functions $\phi(x, y) = [\phi^1(x, y), \phi^2(x, y), \dots, \phi^J(x, y)]^\top \in \mathbb{R}^J$. Similarly, each user i is characterized by a preference vector $\lambda_i = [\lambda_i^1, \lambda_i^2, \dots, \lambda_i^J]^\top \in \mathbb{R}^J$, where λ_i^j represents the weight that user i assigns to the j -th base reward function. The overall reward for user i is then defined as:

$$r_i(x, y) = \sum_{j=1}^J \lambda_i^j \cdot \phi^j(x, y) = \lambda_i^\top \phi(x, y) \quad (2)$$

This formulation provides a compact representation of user-specific preferences, with the weights λ_i capturing the unique importance each user assigns to the J base reward functions. Plugging it into Equation 1 gives us the PReF pairwise preference model¹:

$$p(y^1 \succ y^2 | x, i) = \sigma(\lambda_i^\top \phi(x, y^1) - \lambda_i^\top \phi(x, y^2)) \quad (3)$$

In practice, we train a neural network to estimate ϕ by outputting a J -dimensional vector. To train this neural network, we assume access to a pairwise preference dataset where each prompt is annotated by multiple users, each with individual preferences. Formally, the dataset is represented as $\{x_n, y_n^1, y_n^2, i_n, A_n\}_{n=1}^N$, where i_n is the index of the user providing the annotation, and $A_n \in \{0, 1\}$ denotes the user's binary preference, with $A_n = 1$ indicating that the user prefers y_n^1 over y_n^2 . Given U different users and M pairs of responses, we can represent the dataset in a matrix form:

$$A \sim \text{Bernoulli}(P), \quad P = \sigma(\Lambda^\top \Phi),$$

where $A \in \mathbb{R}^{U \times M}$ contains the observable binary preferences in matrix form, $P \in \mathbb{R}^{U \times M}$ contains the preference probabilities as per Equation 3, $\Lambda \in \mathbb{R}^{J \times U}$ is the matrix of user preference vectors, and $\Phi \in \mathbb{R}^{J \times M}$ is the matrix of base reward function embeddings for all response pairs.

Such a representation of reward function enables us to leverage existing algorithms that can adapt the response of the

¹For simplicity of notation, when dealing with pairwise comparisons of responses y^1 and y^2 for the same prompt x , we will denote them as $\phi(x, y^1) - \phi(x, y^2) = \phi(x, y^1, y^2)$.

large language models to a linear combination of multiple reward terms at deployment time (Han et al., 2024; Chen et al., 2024b; Khanov et al., 2024; Mudgal et al., 2023).

4.1. Learning the Base Functions

We train the base reward function model ϕ and user embeddings λ using the Maximum Likelihood Estimator (MLE) objective of Equation 3:

$$\begin{aligned} \mathcal{L}(\lambda, \phi) = & \sum_{n=1}^N A_n \cdot \log \sigma(\lambda_{i_n}^\top \phi(x_n, y_n^1, y_n^2)) \\ & + (1 - A_n) \cdot \log(1 - \sigma(\lambda_{i_n}^\top \phi(x_n, y_n^1, y_n^2))), \end{aligned} \quad (4)$$

Unlike standard MLE in RLHF, our formulation introduces significant challenges. First, the number of users parameters λ scales with the number of users in the training set, increasing complexity. More critically, the reward model exhibits bilinear dependency between λ_i and $\phi(x, y^1, y^2)$, which makes the optimization landscape non-convex with many local minima. This coupling makes the optimization sensitive to initialization and prone to degenerate solutions (e.g., trivial or uninformative user vectors). Results in Section 5 show that such instability leads to high variance in the performance of the trained model.

To mitigate these instabilities, we leverage the linear structure of our framework. Specifically, we recognize that Since $\sigma^{-1}(P) = \Lambda^\top \Phi$, when the preference probability matrix P is known, we can recover $\Lambda^\top \Phi$ by applying the inverse sigmoid function and reducing the problem of learning (Λ) and (Φ) to a matrix factorization problem. However, since P is unknown and only sparse binary observations in A available, the learning task becomes an instance of Logistic Matrix Factorization (Johnson et al., 2014) problem.

Using these insights, we propose a two-step approach to overcome the instability challenges when training ϕ (see formal description in Algorithm 1):

1. Initialization via SVD: We initialize training using Singular Value Decomposition (SVD) of the observed annotation matrix A , treating it as a noisy proxy for the underlying preference probability matrix P . The low rank outputs of the SVD are used as initialization for Λ and Φ , offering a structured initialization that reduces sensitivity to random starting conditions. While the binary nature of A introduces noise, SVD still captures the dominant components of P , providing a meaningful starting point.

2. Refinement via MLE: Although SVD provides a strong initialization, it does not directly optimize the likelihood of observed preferences. Therefore, we refine the factorization using the MLE objective. In our experiments we have found that the magnitude of either ϕ or λ tends to be big, which

hurts downstream performance. We tracked the core of the problem to the fact that the reward factorization $\Lambda^\top \Phi$ is not unique. For any invertible matrix R , we have $\Lambda^\top \Phi = \Lambda^\top R^{-1} R \Phi$. Therefore, to stabilize the training we add L2 regularization of the user vectors λ to the MLE objective. This prevents extreme parameter values, reduces instability, and addresses scale ambiguity in matrix factorization. As a result, training converges more consistently.

This combination of SVD initialization and regularized optimization addresses the instability issues associated with bilinear optimization and ensures a consistent and stable learning process.

4.2. Adaptation to a New User

After learning the base reward functions, the next step is to estimate the weight vector λ for a new user based on their preferences. The challenge is to do this efficiently, requiring as little user feedback as possible to reduce the effort required from the user. This process involves iteratively collecting pairwise feedback and refining the estimate of λ .

In each round $t \in \{1, \dots, T\}$, we sample a prompt x_t and use an uncertainty-based selection strategy to determine a pair y_t^1, y_t^2 of responses to provide the user. We aggregate the prompt, responses, and the user preference A_t into a dataset and use it to estimate the user preference using the regularized MLE objective:

$$\mathcal{L}(\lambda) = \sum_{s=1}^t A_s \cdot \log \sigma(\lambda^\top \phi(x_s, y_s^1, y_s^2)) + (1 - A_s) \cdot \log(1 - \sigma(\lambda^\top \phi(x_s, y_s^1, y_s^2))) + \frac{\beta}{2} \|\lambda\|_2^2 \quad (5)$$

Where β is a hyperparameter that controls the weight of the L2 regularization. Given that during adaptation the features ϕ are known, the problem of inferring λ is a plain logistic regression problem which is concave (Kleinbaum et al., 2002) that does not suffer the instabilities that we had while learning the features.

Our strategy to improve data efficiency is to choose the next response pair that maximizes uncertainty, a standard approach in active learning (Ren et al., 2021). In this work the uncertainty for a candidate prompt-response pair (x, y_1, y_2) is defined as the largest potential prediction error:

$$U_t(x, y^1, y^2) = \max_{\lambda \in \mathcal{C}} |\lambda^\top \phi(x, y^1, y^2) - \lambda_t^\top \phi(x, y^1, y^2)| \quad (6)$$

where λ_t is the MLE estimate of λ at round t , and \mathcal{C} is a confidence set for λ^* (the true user preferences). Intuitively,

this metric quantifies how much the predicted preference for the response pair could vary given uncertainty in λ .

For logistic regression, the tightest known confidence set (Faury et al., 2020) can be expressed using the Hessian matrix of the log-likelihood function, $H_t(\lambda)$:

$$H_t(\lambda) = \sum_{s=1}^{t-1} \sigma'(\lambda^\top \phi(x_s, y_s^1, y_s^2)) \phi(x_s, y_s^1, y_s^2) \phi(x_s, y_s^1, y_s^2)^\top + \beta I \quad (7)$$

where σ' is the derivative of the sigmoid function. Using this Hessian, we define the confidence set:

Lemma 4.1. ((Faury et al., 2020), Lemma 11)

Let $\mathcal{E}_t(\delta) = \{\lambda \in \mathbb{R}^d \mid \|\lambda - \lambda_t\|_{H_t(\lambda)} \leq \gamma_t(\delta)\}$ where $\gamma_t(\delta) = \mathcal{O}(d \log(\frac{t}{\delta}))$, and assume $\|\phi\| \leq 1$. The following holds with probability at least $1 - \delta$ for all $t \in \mathbb{N}$.

$$\lambda^* \in \mathcal{E}_t(\delta).$$

While $\mathcal{E}_t(\delta)$ is theoretically tight, it is computationally infeasible to directly solve Equation 6 under this constraint since we do not have a way to avoid iterating over every $\lambda \in \mathcal{E}_t(\delta)$. To address this, we introduce a relaxed confidence set $\mathcal{E}_t^{exp}(\delta)$ that provide a simple solution to Equation 6. The new confidence set is constructed by replacing the Hessian $H_t(\lambda)$ with the Hessian evaluated at λ_t :

Lemma 4.2. Let $\mathcal{E}_t^{exp}(\delta) = \{\lambda \in \mathbb{R}^d \mid \|\lambda - \lambda_t\|_{H_t(\lambda_t)} \leq \zeta_t(\delta)\}$ where $\zeta_t(\delta) = \mathcal{O}(e^d d \log(\frac{t}{\delta}))$. The following holds with probability at least $1 - \delta$ for all $t \in \mathbb{N}$.

$$\lambda^* \in \mathcal{E}_t^{exp}(\delta).$$

Using the expanded confidence set², the uncertainty metric simplifies to:

Lemma 4.3. The following holds with probability at least $1 - \delta$ for all $t \in \mathbb{N}$:

$$U_t(x, y^1, y^2) = \|\phi(y^1, y^2, x)\|_{H_t^{-1}(\lambda_t)} \cdot \zeta_t(\delta).$$

Therefore, to ensure that we choose y_1, y_2 that we are most uncertain about, we solve the following:

$$\max_{y^1, y^2} \|\phi(x, y^1, y^2)\|_{H_t^{-1}(\lambda_t)} \quad (8)$$

²While the expanded confidence set introduces an exponential dependence on the dimension, our response selection strategy (Equation 8) is not explicitly affected by this. Empirically, we observe that the approach performs well in practice, suggesting that more refined analytical techniques could potentially yield a tighter bound.

The solution for ϕ is the eigenvector of $H_t^{-1}(\lambda_t)$ corresponding to its largest eigenvalue (Hamming, 2012), which we will denote ν . To obtain a response pair y^1, y^2 such that $\phi(x, y^1, y^2) = \nu$ we will use an inference time alignment algorithm to generate a response y^1 such that $\phi(x, y^1) = \frac{1}{2}\nu$ and $\phi(x, y^2) = -\frac{1}{2}\nu$. See full description of the procedure in Algorithm 2.

5. Experiments

Datasets. We test our method using the following datasets (more details in Appendix B):

- **Attributes.** To test personalization, we introduce a dataset that simulates diverse user preferences using LLMs as a roleplay judge (Dong et al., 2024; Zheng et al., 2023). We defined seven preference attributes, each with a positive and negative trait. For example, the attribute *length* corresponds to users who either prefer verbose or concise responses. Each user is assigned two randomly sampled traits, resulting in 84 unique users. Preference data for each user is collected over responses generated using prompts from the AlpacaEval dataset (Li et al., 2023), resulting in 100 preferences per user.
- **PRISM.** We leverage PRISM (Kirk et al., 2024b), a dataset containing preferences for LLM-generated content from many global respondents, often with significant disagreement. To provide an evaluation protocol for models trained on PRISM, PERSONA (Castricato et al.) expanded PRISM by using LLMs as judges, demonstrating a high correlation with human preferences. For our experiments, we use the original PRISM dataset, comprising 1.5K users and 3K prompts and answers. However, the original PRISM dataset cannot be used directly because it was collected in a way that prevents overlap between users and prompts, which is necessary for our method. Therefore, we augmented it with synthetic annotations via the protocol described in PERSONA, resulting in 50 user preferences per prompt.

Training and Evaluation Protocol. We conduct all experiments using Qwen 2.5, an open-source state-of-the-art family of models (Yang et al., 2024a). Unless otherwise stated, we use the 0.5B model as the backbone for the reward model, with a single-layer linear head. Each experiment is repeated 10 times with different random seeds, and we report the aggregated results. To show that our framework can work with a variety of alignment methods, we used ChatGPT-4 with multi-objective Best-of-N in the *Attributes* dataset and Qwen2.5 7B with VAS (Han et al., 2024) in the *PRISM* dataset. Hyperparameters and additional training details are provided in Appendix C.

We split each dataset into four parts - train set, validation set, which includes the same users as the train but different

prompts; calibration set, which includes different users from the train but the same prompts; and test set, which differs in both users and prompts. We first train the base reward functions using the train set. To assess PReF ability in personalizing responses for new users, we learn the preference coefficients of test set users using the reward function basis and the data from the calibration set. We then evaluate its performance on the test set. We employ two evaluation metrics: (1) The effectiveness of the learned reward function when used with an inference-time alignment algorithm to generate responses that maximize user preference. We compare these responses to non-personalized responses, using LLM-as-a-Judge to determine preference and measure the average **Winrate**. We will note that this is a standard metric in RLHF literature (Li et al., 2023). (2) We want a way to isolate the reward function performance from the downstream LLM alignment. Therefore, we look at how well the learned reward classifies which response the user prefers from a pair of responses. We measure this on the test set (that includes ground truth annotations) and measure the **User Preference AUC-ROC**.

5.1. The Benefits of personalization

To evaluate the effectiveness of PReF in capturing personalized user preferences, we compare it against two baselines: *Standard RLHF* – which assumes homogenous preference and trains a single reward function trained across users; *Model per User* – A reward function trained for each user individually. Figure 2 presents the results for both datasets, Attributes and PRISM. The top row reports AUC-ROC for predicting user preferences on unseen response pairs, while the bottom row shows the win rate of optimized responses relative to a response from the initial model. In all plots, the x-axis is the number of responses from the new user being evaluated.

Across both datasets, PReF (blue) significantly outperforms Classic RLHF (green). For small numbers of user answers (e.g., under 10), PReF achieves an AUC-ROC gain of 10-15% over Classic RLHF, indicating that even with limited data, personalizing user preferences provides substantial benefits. A similar trend is observed in the win rate, where PReF improves over Classic RLHF by around 10% for the PRISM dataset and over 25% in the Attributes dataset, demonstrating its effectiveness in producing user-tailored responses. In contrast, the Model per User baseline (orange) performs poorly due to the inability to leverage shared structure across users, confirming that training separate models per user is impractical in real-world settings. Figure 11 in the Appendix shows the performance of the Model per User baseline for a much larger number of user answers. It shows that our approach requires x25 less data to achieve the same performance.

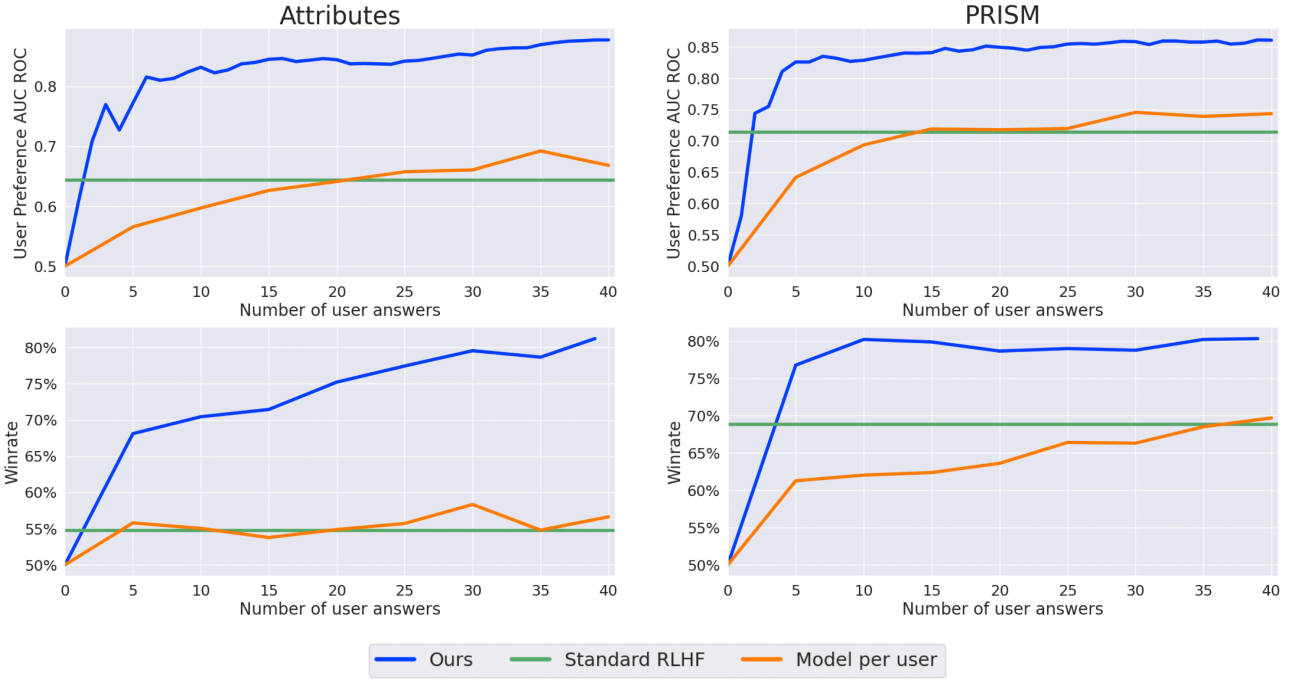


Figure 2: ROC AUC and winrates for varying number of user answers on the Attributes (left) and PRISM (right) datasets. Our method quickly achieves high ROC AUC and winrates, outperforming baselines by a large margin.

5.2. Can PReF capture the preferences of real humans?

We validated our framework on real users by conducting a human evaluation study focused on adapting to new users with a pre-trained set of features.

We use the base functions learned from the synthetically generated *Attributes* dataset. We recruited 28 volunteers to participate in our study. Every user was shown 30 prompts from the test set, each with two generated answers, and asked to choose their preferred response. The first 15 comparisons were used to learn the user’s preferences. The last 15 comparisons were used for evaluation. The user was not aware of this distinction. In the evaluation examples, one response was always generated as a baseline response using GPT-4o, while the other was generated as a personalized version of the baseline using the learned user preference. For evaluation, we computed the winrate of the personalized answers over the baseline answers. Additional details are given in the Appendix D.

We found that our method achieved a **67% winrate**, with a 95% confidence interval of [57.4%, 76.6%] winrate. That shows that by tailoring the responses to each user’s preferences PReF improves over GPT-4o. This improvement is notable given that GPT-4o has already been aligned to general human preferences, and given that we used very simple features derived from our synthetic data. Moreover, the user preferences were learned from just 15 interactions

with the user.

5.3. How PReF performs against other personalization frameworks?

In addition to comparing against standard RLHF, we evaluate PReF against prior approaches proposed for LLM personalization, specifically Variational Preference Learning (VPL) (Poddar et al., 2024) and Pluralistic Alignment (PAL) (Chen et al., 2024a). VPL models user-specific preferences as a latent vector obtained by encoding the user’s responses, learning to change the reward based on in-context learning. The reward model is then conditioned on this latent representation to produce personalized rewards. In contrast, PAL represents each user as a vector in a latent space and defines the reward of a response as its distance from this point.

To assess performance, we evaluate these methods on the *Attributes* dataset, measuring AUC-ROC for unseen responses after collecting 5, 10, or 20 answers from a new user. For a fair comparison, we ensure that each method undergoes the same number of hyperparameter tuning experiments, with results averaged over five random seeds. The results, presented in Table 1, show that while VPL performs well, PReF outperforms it at 10 and 20 user responses. This shows that in-context learning has a hard time utilizing a large number of examples. PAL achieves significantly lower performance.

Beyond reward-learning approaches, we also compare

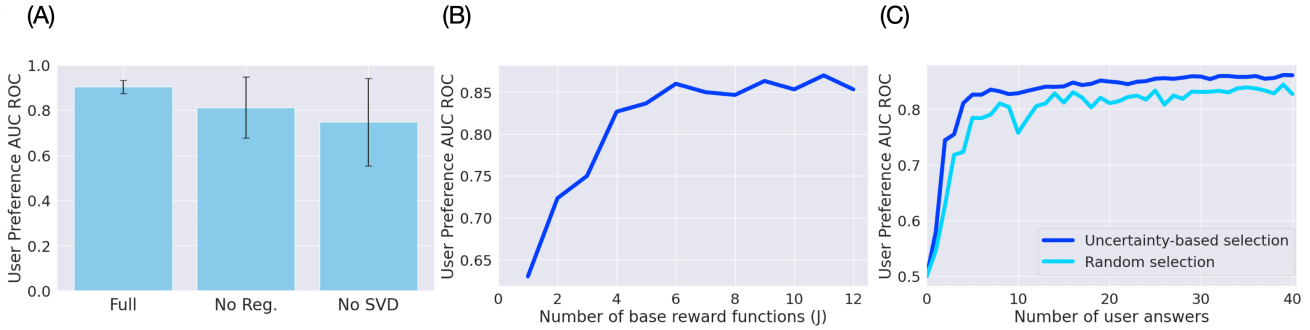


Figure 3: (A) Effect of L2 regularization and SVD initialization on model performance. We see that both choices are crucial to reduce instabilities in training. (B) Increasing the feature dimension J leads to better performance. (C) PReF’s uncertainty-based selection of response pairs to obtain user preferences outperforms the naive strategy of random selection.

against two widely used techniques for personalizing LLM outputs through prompts. The first is the user-provided system prompt, where we use the prompts in the PRISM dataset (Kirk et al., 2024b) that were written by each participant. The second is in-context learning baseline, concatenating the user-specific dataset (prompt, responses, and preferences) into one prompt and asking the LLM to infer the user’s preferences from it. For both baselines, we measure the win rate of responses generated using these prompts versus those generated by PReF on the test split of PRISM users. PReF achieves a win rate of 71.9% against the system prompts baseline, demonstrating a clear advantage in capturing individual user preferences. For the in-context learning baseline, PReF achieves 56.1% win rate at 5 responses, 62.7% at 10 responses, and 68.4% at 20 responses.

5.4. Scaling data and compute leads to better base reward functions

Here, we investigate how the quality of the base reward functions improves as we scale the amount of data used in their training and the size of the neural network we use to model them. Our hypothesis is that using more users and response pairs in the training will lead to better, more nuanced reward factorization. Figure 4 shows that, indeed, performance (measured by ROC AUC) improves consistently with both larger models and more training data. While larger models generally perform better, we observe that as the training dataset becomes larger, the performance of all model sizes begins to converge. These results indicate that PReF follows expected scaling trends, reinforcing its potential to benefit from larger models and larger preference datasets.

Another critical factor affecting the performance of our method is the number of base reward functions J . A higher number of base reward functions allows for a more nuanced representation of user preferences, but increases the amount of data required to determine user-specific weights accurately. Figure 3 presents the ROC AUC scores for the

PRISM dataset as a function of the number of base reward functions, under a fixed budget of 40 user-specific samples. We observe that increasing J beyond six base functions yields diminishing returns, suggesting a sweet spot in the trade-off between expressivity and data efficiency. Interestingly, this trend aligns with the elbow point observed in the magnitude spectrum of the eigenvalues from a SVD of the training dataset (Figure 9 in Appendix). This suggests that analyzing the eigenvalues of the reward preference matrix may serve as an effective heuristic for selecting the optimal number of base reward functions, potentially reducing the need for hyperparameter tuning.

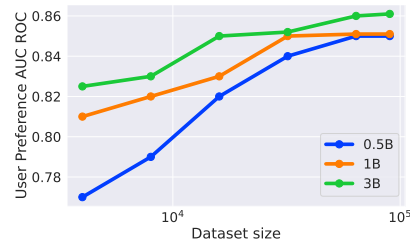


Figure 4: Effect of scaling dataset size (x-axis) and the neural network of the base reward function size (different colors) on the reward model performance in the PRISM dataset.

5.5. Ablations

Our optimization framework introduces bilinear dependencies between learning the base reward functions and the user coefficients, that can lead to instability and sensitivity to initialization. To address this, we incorporate SVD-based initialization to provide a structured starting point and L2 regularization to stabilize the MLE optimization (Section 4.1).

Figure 3 (A) validates the importance of these components by comparing our full method (*Full*) to two ablations: (1) *No Reg.*, which removes L2 regularization, and (2) *No SVD*,

	Number of User's Responses		
	5	10	20
PReF (Ours)	$77 \pm 1.8\%$	$83 \pm 1.6\%$	$85 \pm 1.6\%$
VPL(Poddar et al., 2024)	$78 \pm 1.8\%$	$80 \pm 1.7\%$	$80 \pm 1.7\%$
PAL (Chen et al., 2024a)	$56 \pm 2.2\%$	$59 \pm 2.1\%$	$61 \pm 2.1\%$

Table 1: Mean and 95% CI of winrates over responses from the initial model. Our method outperforms other proposed frameworks for efficient personalization of LLMs. VPL personalizes LLMs, but its performance saturates and doesn't improve with further user interaction (same performance for 10 and 20 user interactions).

which replaces SVD-based initialization with random embeddings. The figure reports the mean and standard deviation of the mean over 10 models trained on the same data with different seeds. Removing SVD leads to significantly higher variance, particularly in the new user setting, highlighting its role in reducing sensitivity to random initialization. Similarly, without L2 regularization of the user's coefficients, the standard deviation of the mean also increases, suggesting that regularization prevents overfitting and stabilizes optimization.

Additionally, we evaluate the benefits of our active learning approach in determining user weights. In Figure 3 (C), we compare our method to a baseline where questions presented to the user are chosen at random. The results clearly demonstrate the advantage of our approach: our method achieves x2.7 increase in efficiency - getting the same performance with just 15 samples that random selection requires over 40 samples to reach.

5.6. Feature Interpretation

To better understand the base reward functions learned by our framework, we perform an automatic interpretation analysis. This helps validate that the learned reward structure captures meaningful dimensions of user preferences. We first score all responses in our *Attributes* dataset using the learned base reward function. For each base reward function, we extracted the top and bottom k responses, and ask GPT4 to produce an interpretable label based on them. For more details, see Appendix E.

Figure 5 shows the generated labels for each dimension along with the explained variance. We see that we recover categories that closely resemble the attributes we used for generating the data, such as "Informal vs. Formal" or "Conciseness vs. Elaborateness".

References

- Bach, F. Self-concordant analysis for logistic regression. 2010.
- Bai, Y., Jones, A., Ndousse, K., Askell, A., Chen, A., Das-

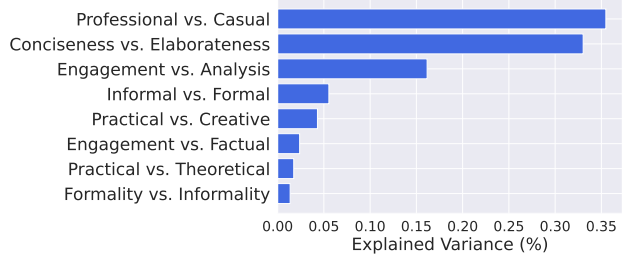


Figure 5: Sorted principal components of the Attributes dataset along with LLM generated descriptions. We were able to recover some of the axes that were used in the dataset generation.

Sarma, N., Drain, D., Fort, S., Ganguli, D., Henighan, T., et al. Training a helpful and harmless assistant with reinforcement learning from human feedback. *arXiv preprint arXiv:2204.05862*, 2022a.

Bai, Y., Kadavath, S., Kundu, S., Askell, A., Kernion, J., Jones, A., Chen, A., Goldie, A., Mirhoseini, A., McKinnon, C., et al. Constitutional ai: Harmlessness from ai feedback. *arXiv preprint arXiv:2212.08073*, 2022b.

Bradley, R. A. and Terry, M. E. Rank analysis of incomplete block designs: I. the method of paired comparisons. *Biometrika*, 39(3/4):324–345, 1952.

Casper, S., Davies, X., Shi, C., Gilbert, T. K., Scheurer, J., Rando, J., Freedman, R., Korbak, T., Lindner, D., Freire, P., et al. Open problems and fundamental limitations of reinforcement learning from human feedback. *arXiv preprint arXiv:2307.15217*, 2023.

Castricato, L., Lile, N., Rafailov, R., Fränken, J.-P., and Finn, C. Persona: A reproducible testbed for pluralistic alignment, 2024b. URL <https://arxiv.org/abs/2407.17387>.

Chen, D., Chen, Y., Rege, A., and Vinayak, R. K. Pal: Pluralistic alignment framework for learning from heterogeneous preferences. *arXiv preprint arXiv:2406.08469*, 2024a.

- Chen, R., Zhang, X., Luo, M., Chai, W., and Liu, Z. Pad: Personalized alignment of llms at decoding-time. *arXiv preprint arXiv:2410.04070*, 2024b.
- Christiano, P. F., Leike, J., Brown, T., Martic, M., Legg, S., and Amodei, D. Deep reinforcement learning from human preferences. *Advances in neural information processing systems*, 30, 2017.
- Dong, Y. R., Hu, T., and Collier, N. Can llm be a personalized judge? *arXiv preprint arXiv:2406.11657*, 2024.
- Dorka, N. Quantile regression for distributional reward models in rlhf. *arXiv preprint arXiv:2409.10164*, 2024.
- Faury, L., Abeille, M., Calauzènes, C., and Fercoq, O. Improved optimistic algorithms for logistic bandits. In *International Conference on Machine Learning*, pp. 3052–3060. PMLR, 2020.
- Gao, L., Schulman, J., and Hilton, J. Scaling laws for reward model overoptimization. In *International Conference on Machine Learning*, pp. 10835–10866. PMLR, 2023.
- Ge, T., Chan, X., Wang, X., Yu, D., Mi, H., and Yu, D. Scaling synthetic data creation with 1,000,000,000 personas. *arXiv preprint arXiv:2406.20094*, 2024.
- Guo, Y., Cui, G., Yuan, L., Ding, N., Sun, Z., Sun, B., Chen, H., Xie, R., Zhou, J., Lin, Y., et al. Controllable preference optimization: Toward controllable multi-objective alignment. *arXiv preprint arXiv:2402.19085*, 2024.
- Hamming, R. *Numerical methods for scientists and engineers*. Courier Corporation, 2012.
- Han, S., Shenfeld, I., Srivastava, A., Kim, Y., and Agrawal, P. Value augmented sampling for language model alignment and personalization. *arXiv preprint arXiv:2405.06639*, 2024.
- Jang, J., Kim, S., Lin, B. Y., Wang, Y., Hessel, J., Zettlemoyer, L., Hajishirzi, H., Choi, Y., and Ammanabrolu, P. Personalized soups: Personalized large language model alignment via post-hoc parameter merging. *arXiv preprint arXiv:2310.11564*, 2023.
- Johnson, C. C. et al. Logistic matrix factorization for implicit feedback data. *Advances in Neural Information Processing Systems*, 27(78):1–9, 2014.
- Khanov, M., Burapachee, J., and Li, Y. Args: Alignment as reward-guided search. *arXiv preprint arXiv:2402.01694*, 2024.
- King, M. and Cook, P. Evaluating approaches to personalizing language models. In *Proceedings of the Twelfth Language Resources and Evaluation Conference*, pp. 2461–2469, 2020.
- Kirk, H. R., Vidgen, B., Röttger, P., and Hale, S. A. The benefits, risks and bounds of personalizing the alignment of large language models to individuals. *Nature Machine Intelligence*, pp. 1–10, 2024a.
- Kirk, H. R., Whitefield, A., Röttger, P., Bean, A., Margatina, K., Ciro, J., Mosquera, R., Bartolo, M., Williams, A., He, H., et al. The prism alignment project: What participatory, representative and individualised human feedback reveals about the subjective and multicultural alignment of large language models. *arXiv preprint arXiv:2404.16019*, 2024b.
- Kleinbaum, D. G., Dietz, K., Gail, M., Klein, M., and Klein, M. *Logistic regression*. Springer, 2002.
- Li, X., Zhang, T., Dubois, Y., Taori, R., Gulrajani, I., Guestrin, C., Liang, P., and Hashimoto, T. B. Alpaca-eval: An automatic evaluator of instruction-following models. https://github.com/tatsu-lab/alpaca_eval, 5 2023.
- Mudgal, S., Lee, J., Ganapathy, H., Li, Y., Wang, T., Huang, Y., Chen, Z., Cheng, H.-T., Collins, M., Strohman, T., et al. Controlled decoding from language models. *arXiv preprint arXiv:2310.17022*, 2023.
- Ning, L., Liu, L., Wu, J., Wu, N., Berlowitz, D., Prakash, S., Green, B., O’Banion, S., and Xie, J. User-llm: Efficient llm contextualization with user embeddings. *arXiv preprint arXiv:2402.13598*, 2024.
- Ouyang, L., Wu, J., Jiang, X., Almeida, D., Wainwright, C., Mishkin, P., Zhang, C., Agarwal, S., Slama, K., Ray, A., et al. Training language models to follow instructions with human feedback. *Advances in neural information processing systems*, 35:27730–27744, 2022.
- Poddar, S., Wan, Y., Ivison, H., Gupta, A., and Jaques, N. Personalizing reinforcement learning from human feedback with variational preference learning. *arXiv preprint arXiv:2408.10075*, 2024.
- Rame, A., Couairon, G., Dancette, C., Gaya, J.-B., Shukor, M., Soulier, L., and Cord, M. Rewarded soups: towards pareto-optimal alignment by interpolating weights fine-tuned on diverse rewards. *Advances in Neural Information Processing Systems*, 36, 2024.
- Ren, P., Xiao, Y., Chang, X., Huang, P.-Y., Li, Z., Gupta, B. B., Chen, X., and Wang, X. A survey of deep active learning. *ACM computing surveys (CSUR)*, 54(9):1–40, 2021.
- Rentfrow, P. J., Goldberg, L. R., and Levitin, D. J. The structure of musical preferences: a five-factor model. *Journal of personality and social psychology*, 100(6):1139, 2011.

- Richardson, C., Zhang, Y., Gillespie, K., Kar, S., Singh, A., Raeesy, Z., Khan, O. Z., and Sethy, A. Integrating summarization and retrieval for enhanced personalization via large language models. *arXiv preprint arXiv:2310.20081*, 2023.
- Sorensen, T., Moore, J., Fisher, J., Gordon, M., Miresghalah, N., Rytting, C. M., Ye, A., Jiang, L., Lu, X., Dziri, N., et al. A roadmap to pluralistic alignment. *arXiv preprint arXiv:2402.05070*, 2024.
- Stiennon, N., Ouyang, L., Wu, J., Ziegler, D., Lowe, R., Voss, C., Radford, A., Amodei, D., and Christiano, P. F. Learning to summarize with human feedback. *Advances in Neural Information Processing Systems*, 33: 3008–3021, 2020.
- Wang, B., Zheng, R., Chen, L., Liu, Y., Dou, S., Huang, C., Shen, W., Jin, S., Zhou, E., Shi, C., et al. Secrets of rlhf in large language models part ii: Reward modeling. *arXiv preprint arXiv:2401.06080*, 2024a.
- Wang, H., Xiong, W., Xie, T., Zhao, H., and Zhang, T. Interpretable preferences via multi-objective reward modeling and mixture-of-experts. *arXiv preprint arXiv:2406.12845*, 2024b.
- Wang, K., Kidambi, R., Sullivan, R., Agarwal, A., Dann, C., Michi, A., Gelmi, M., Li, Y., Gupta, R., Dubey, A., et al. Conditional language policy: A general framework for steerable multi-objective finetuning. *arXiv preprint arXiv:2407.15762*, 2024c.
- Wu, B., Shi, Z., Rahmani, H. A., Ramineni, V., and Yilmaz, E. Understanding the role of user profile in the personalization of large language models. *arXiv preprint arXiv:2406.17803*, 2024.
- Yang, A., Yang, B., Zhang, B., Hui, B., Zheng, B., Yu, B., Li, C., Liu, D., Huang, F., Wei, H., Lin, H., Yang, J., Tu, J., Zhang, J., Yang, J., Yang, J., Zhou, J., Lin, J., Dang, K., Lu, K., Bao, K., Yang, K., Yu, L., Li, M., Xue, M., Zhang, P., Zhu, Q., Men, R., Lin, R., Li, T., Xia, T., Ren, X., Ren, X., Fan, Y., Su, Y., Zhang, Y., Wan, Y., Liu, Y., Cui, Z., Zhang, Z., and Qiu, Z. Qwen2.5 technical report. *arXiv preprint arXiv:2412.15115*, 2024a.
- Yang, R., Pan, X., Luo, F., Qiu, S., Zhong, H., Yu, D., and Chen, J. Rewards-in-context: Multi-objective alignment of foundation models with dynamic preference adjustment. *arXiv preprint arXiv:2402.10207*, 2024b.
- Zhang, Z., Rossi, R. A., Kveton, B., Shao, Y., Yang, D., Zamani, H., Dernoncourt, F., Barrow, J., Yu, T., Kim, S., et al. Personalization of large language models: A survey. *arXiv preprint arXiv:2411.00027*, 2024.
- Zheng, L., Chiang, W.-L., Sheng, Y., Zhuang, S., Wu, Z., Zhuang, Y., Lin, Z., Li, Z., Li, D., Xing, E., et al. Judging llm-as-a-judge with mt-bench and chatbot arena. *Advances in Neural Information Processing Systems*, 36: 46595–46623, 2023.
- Zhou, Z., Liu, J., Yang, C., Shao, J., Liu, Y., Yue, X., Ouyang, W., and Qiao, Y. Beyond one-preference-for-all: Multi-objective direct preference optimization. *arXiv preprint arXiv:2310.03708*, 2023.
- Ziegler, D. M., Stiennon, N., Wu, J., Brown, T. B., Radford, A., Amodei, D., Christiano, P., and Irving, G. Fine-tuning language models from human preferences. *arXiv preprint arXiv:1909.08593*, 2019.

A. Uncertainty

Lemma 4.2: Let $\mathcal{E}_t^{exp}(\delta) = \{\lambda \in \mathbb{R}^d \mid \|\lambda - \lambda_t\|_{H_t(\lambda_t)} \leq \zeta_t(\delta)\}$ where $\zeta_t(\delta) = \mathcal{O}(e^d \log(\frac{t}{\delta}))$. The following holds with probability at least $1 - \delta$ for all $t \in \mathbb{N}$.

$$\lambda^* \in \mathcal{E}_t^{exp}(\delta).$$

Proof: Using Proposition 1 from (Bach, 2010), we have that there exists $c \geq 1$ (the self-concordant constant of the function) such that:

$$e^{-2c\|\theta_* - \hat{\theta}_t\|_2} \mathbf{H}_t(\theta_*) \preceq \mathbf{H}_t(\hat{\theta}_t) \preceq e^{2c\|\theta_* - \hat{\theta}_t\|_2} \mathbf{H}_t(\theta_*)$$

From Lemma 11 in (Fauray et al., 2020) we have that, with probability at least $1 - \delta$:

$$\|\theta_* - \hat{\theta}_t\|_{\mathbf{H}_t(\theta_*)} \leq (2 + 4S)\gamma_t(\delta)$$

Because $\mathbf{H}_t(\theta_*)$ is positive semidefinite with minimum eigenvalue β , we get

$$\|\theta_* - \hat{\theta}_t\|_2 \leq \frac{1}{\sqrt{\beta}} \|\theta_* - \hat{\theta}_t\|_{\mathbf{H}_t(\theta_*)} \leq \frac{(2 + 4S)\gamma_t(\delta)}{\sqrt{\beta}}.$$

With $R(\delta) = \frac{2c(2+4S)\gamma_t(\delta)}{\sqrt{\beta}}$. This directly gives us:

$$e^{-R(\delta)} \mathbf{H}_t(\theta_*)^{-1} \preceq \mathbf{H}_t(\hat{\theta}_t)^{-1} \preceq e^{R(\delta)} \mathbf{H}_t(\theta_*)^{-1}$$

Combining this all together and taking a union bound, we have that, with probability at least $1 - 2\delta$, the following holds:

$$\|\theta - \hat{\theta}_t\|_{\mathbf{H}_t(\hat{\theta}_t)} \leq e^{R(\delta)} \|\theta - \hat{\theta}_t\|_{\mathbf{H}_t(\theta_*)}$$

Invoking Lemma 11 again:

$$\|\theta - \hat{\theta}_t\|_{\mathbf{H}_t(\hat{\theta}_t)} \leq e^{R(\delta)} (2 + 4S)\gamma_t(\delta)$$

Lemma 4.3 (general version): Let $C = \{\theta : \|\theta - \hat{\theta}\|_{\Sigma} \leq \beta\}$ be an ellipsoidal confidence set in \mathbb{R}^d around $\hat{\theta}$, where $\|z\|_A = \sqrt{z^T A z}$ is the norm induced by a positive semi-definite matrix A . For any vector $x \in \mathbb{R}^d$, the solution to the optimization problem

$$\max_{\theta \in C} \langle \theta, x \rangle$$

is given by:

$$\max_{\theta \in C} \langle \theta, x \rangle = \langle \hat{\theta}, x \rangle + \beta \|x\|_{\Sigma^{-1}}$$

Proof: The optimization problem can be written as:

$$\max_{\theta \in C} \langle \theta, x \rangle = \max_{\theta: \|\hat{\theta} - \theta\|_{\Sigma} \leq \beta} \langle \theta, x \rangle$$

Substituting $v = \theta - \hat{\theta}$, we decompose:

$$\max_{\theta \in C} \langle \theta, x \rangle = \langle \hat{\theta}, x \rangle + \max_{v: \|v\|_{\Sigma} \leq \beta} \langle v, x \rangle$$

Let $v' = \frac{v}{\beta}$. Then $\|v\|_{\Sigma} \leq \beta$ implies $\|v'\|_{\Sigma} \leq 1$, and

$$\max_{v: \|v\|_{\Sigma} \leq \beta} \langle v, x \rangle = \beta \max_{v': \|v'\|_{\Sigma} \leq 1} \langle v', x \rangle$$

Using the definition of the Σ -norm, $\|v'\|_{\Sigma} \leq 1$ implies $v'^T \Sigma v' \leq 1$. Letting $z = \Sigma^{1/2} v'$, this constraint transforms to $\|z\|_2 \leq 1$, and $v' = \Sigma^{-1/2} z$. Substituting into the inner product:

$$\langle v', x \rangle = z^T \Sigma^{-1/2} x$$

The problem becomes:

$$\max_{v': \|v'\|_{\Sigma} \leq 1} \langle v', x \rangle = \max_{z: \|z\|_2 \leq 1} z^T \Sigma^{-1/2} x$$

By the Cauchy-Schwarz inequality, this achieves its maximum at $z = \frac{\Sigma^{-1/2} x}{\|\Sigma^{-1/2} x\|_2}$, with the value:

$$\max_{z: \|z\|_2 \leq 1} z^T \Sigma^{-1/2} x = \|\Sigma^{-1/2} x\|_2$$

Substituting back,

$$\max_{v: \|v\|_{\Sigma} \leq \beta} \langle v, x \rangle = \beta \|\Sigma^{-1/2} x\|_2$$

Thus, the original problem becomes:

$$\max_{\theta \in C} \langle \theta, x \rangle = \langle \hat{\theta}, x \rangle + \beta \|x\|_{\Sigma^{-1}}$$

B. Datasets

B.1. Attributes

B.1.1. DATA GENERATION

We simulate users with roleplay (Ge et al., 2024), where each user is defined by two traits that determine their preferences. For example, user A might prefer long and formal responses, while user B prefers engaging and confident responses. We define 7 categories, each with a positive and negative trait. For example, one category is `length`, and a user could either prefer `verbose` or `concise` responses. This results in 84 users, corresponding to all combinations of traits.

Table 2: Attributes used for data generation.

attribute	direction 1	direction 2
length	verbose	concise
formality	formal	informal
humour	humorous	serious
elicitation	engaging	unengaging
politeness	polite	rude
enthusiasm	enthusiastic	demure
confidence	confident	uncertain

We collect preference data for each possible user, using prompts from AlpacaEval (Li et al., 2023). For each prompt, we generate two responses, reusing the user traits to elicit contrasting responses. For example, one response could be long and formal, and the other engaging and confident. For each user, we collect preferences for the same 100 randomly sampled prompts, resulting in a preference matrix $A \in \mathbb{R}^{U \times M}$, where $M = 100$ and $U = 84$ in our experiments. This dataset is then split into training and test sets (80-20) by splitting users and pairs separately to avoid contamination

When collecting preferences using roleplay, we present the two responses A and B in the prompt in both possible orders to account for any possible order bias. This gives two preference matrices, A^1 and A^2 , where $A_{ij}^k = 1$ if the simulated user prefers response A and $A_{ij}^k = 0$ if they prefer response B. The final preference is the average, $A = (A^1 + A^2)/2$.

B.1.2. PROMPTS

Below we give all the prompts used for data generation. In all cases we used OpenAI’s GPT-4o model via API.

Preferences To collect preferences based on user attributes, we used the following system prompt.

You are a helpful AI judge. You prefer attr1 and attr2 responses.

Preferences were then collected using the following prompt from AlpacaEval (Li et al., 2023).

Select the output (a) or (b) that best matches the given instruction. Choose your preferred output, which can be subjective. Your answer should ONLY contain: Output (a) or Output (b). Here's an example:

Example:

Instruction:

Give a description of the following job: "ophthalmologist"

Output (a):

An ophthalmologist is a medical doctor who specializes in the diagnosis and treatment of eye diseases and conditions.

Output (b):

An ophthalmologist is a medical doctor who pokes and prods at your eyes while asking you to read letters from a chart.

Which is best, Output (a) or Output (b)?

Output (a)

Task:

Now is the real task, do not explain your answer, just say Output (a) or Output (b).

Instruction:

{instruction}

Output (a):

{output_1}

Output (b):

{output_2}

Which is best, Output (a) or Output (b)?

Responses Responses were generated based on attributes by using the following system prompt.

You are a helpful AI assistant. You generate attr1 and attr2 responses.

B.2. PRISM

B.2.1. DATA GENERATION

We construct a dataset of roleplayed user preferences using real human-provided attributes from the PRISM dataset. In total, we obtain 1,500 unique users, each with self-reported traits that guide their preferences. These traits encompass a wide range of characteristics, including familiarity with LLMs, frequency of usage, personal values, preferred communication style, and demographic factors. To simulate user responses, we follow the roleplay protocol outlined in the PERSONA paper, utilizing the GPT-4o model to generate responses aligned with user traits. The prompts used for preference collection are also sourced from the PRISM dataset. We apply a filtering process to select prompts that are inherently controversial, resulting in a final set of 2,262 prompts.

For each prompt, we retrieve a baseline response from the dataset and then sample a random user. Using Qwen 2.5 7B, we revise the response to better align with the sampled user's preferences, thereby generating response pairs that exhibit

contrasting characteristics. For instance, a user who prefers highly factual and fluent responses may receive a revision that improves clarity and correctness, whereas a user who values creativity and engagement might get a more expressive and imaginative revision.

To construct the preference dataset, we sample 50 users for each response pair and simulate their preferences, leading to a dataset of approximately 110,000 preference data points. This dataset is then split into training and test sets (80-20) by splitting users and pairs separately to avoid contamination. Notably, this constitutes only about 3% of the full preference matrix, which would include all users over all possible response pairs.

As with the preference collection process described in the *Attributes* section, we ensure robustness against order bias by presenting response pairs in both possible orders when eliciting preferences.

B.2.2. PROMPTS

Below we give all the prompts used for data generation.

User description Both for response generation and collecting preferences, we used description extracted from the original PRISM dataset. This is an example of such description:

Familiarity with LLMs: Very familiar
Indirect use of LLMs: Yes
Direct use of LLMs: Yes
Frequency of using LLMs: Every day
Briefly describe your values, core beliefs, guiding principles in life, etc.: Be a kind, honest, helpful, and fair person who is generally polite to everyone. Do not do things that I may regret in the future. Follow all norms in the country I'm visiting and living. Be a loyal friend. When I see someone needs help and I'm capable of helping, step up to help.
Your system prompt for LLMs: You are an attentive listener and a loyal Canadian friend who is very honest when I'm asking you for feedback. If something seems wrong, you'll point it out to me to let me know. Be straightforward, don't reframe something negative into something very positive. Also, please be concise in your answer. If you have no idea on what feedback to give, just say "I don't know".
Age: 18-24 years old
Gender: Female
Employment Status: Unemployed, seeking work
Education: University Bachelors Degree
Marital Status: Never been married
English Proficiency: Fluent
Religion: No Affiliation
Ethnicity: Asian
Birth Country: Hong Kong
Current Country: Canada
LLM use cases: ['source_suggestions', 'professional_work', 'casual_conversation', 'technical_or_programming_help', 'medical_guidance', 'financial_guidance', 'relationship_advice', 'language_learning', 'other']
Preferences of LLM behaviour (scale of 1-100): ['values: 0', 'creativity: 72', 'fluency: 100', 'factuality: 100', 'diversity: 100', 'safety: 100', 'personalisation: 100', 'helpfulness: 100']

Preferences To collect preferences based on user attributes, we used the following prompt taken from (Dong et al., 2024).

Given the user profile provided below, select the response from AI assistant A or B that the user would most likely prefer. Don't focus on which response is better in general, just which one is better for this user. Declare your choice by using the format: "[[A]]" if you believe assistant A's response is more suitable, or "[[B]]" if assistant B's response is better suited.

[User Profile]

user_description

[User Question]

{prompt}

[The Start of Assistant A's Answer]

{response_1}

[The End of Assistant A's Answer]

[The Start of Assistant B's Answer]

{response_2}

[The End of Assistant B's Answer]

[Answer]

Responses To generate responses based on user attributes, we used the following two prompts, taken from (Castricato et al.):

Examine the COMPLETION:

{original_response}

in relation to the DEMOGRAPHIC:

{user_description}

and the INSTRUCTION:

{prompt}.

Put yourself in the shoes of DEMOGRAPHIC. Identify the ways the completion both does and does not resonate with the demographic. Provide a concise explanation, quoting directly from the demographic and completion to illustrate your evaluation. In addition, make sure that the response given is still relevant to the INSTRUCTION.

Format: EVALUATION: ... SUGGESTIONS: ...

The output is then used as an input to the second prompt:

Revise the COMPLETION:

{original_response}

with respect to INSTRUCTION:

{prompt}

based on the CRITIQUE:

{critique}

Provide a revision of the completion, do not make ANY references to the exact preferences or attributes of the demographic. Just provide the new response, use the format:

REVISED RESPONSE: ...

C. Training Details

Table 3 includes the hyperparameters for all models trained in this work. Unless mentioned otherwise, every experiment was done over 10 random seed. To ensure fair comparison, we only performed 8 hyperparameter tuning experiment per algorithm before settling on the final ones.

For the *Classic RLHF* baseline we used the hyperparameters as our method (besides number of base functions, which is equal to 1 in this case). For the *Model per User* baseline, we fixed the learning rate of the linear head to $1e-3$ but experimented with different learning rates for the backbone. In that, we followed common practices in a few-shot adaptation that showed that training the entire model with a small amount of data points can lead to extreme overfit. We have found

Algorithm 1 Training the base reward functions

-
- 1: **Input:** Pairwise preference dataset $\{x_j, y_j^1, y_j^2, A_j, i_j\}_{j=1}^N$, base reward function(s) R_θ with output dimension J , randomly initialized user matrix Λ
 - 2: Construct the observed preference matrix $A \in \mathbb{R}^{U \times M}$, where U is the number of users and M is the number of item pairs in the dataset.
 - 3: Compute a rank- J SVD (or an approximation for sparse matrices), obtaining $A = U\Sigma V^\top$.
 - 4: Extract the initial user matrix: $\Lambda = U\Sigma^{\frac{1}{2}}$, and the per-pair reward matrix: $\Phi = \Sigma^{\frac{1}{2}}V^\top$.
 - 5: Fit the reward function R_θ to Φ using ℓ_2 -loss.
 - 6: Refine R_θ by jointly optimizing Λ and R_θ using Equation 4.
 - 7: **Output:** R_θ, Λ
-

Algorithm 2 Uncertainty-Guided User Weight Estimation

-
- 1: **Input:** Reward function ϕ with output dimension J
 - 2: **for** $t = 1, 2, \dots$ **do**
 - 3: **if** $t = 0$ **then**
 - 4: Select a random prompt x and response pair (y^1, y^2) .
 - 5: **else**
 - 6: Choose prompt x and response pair (y^1, y^2) that maximize Equation (5).
 - 7: **end if**
 - 8: Obtain the user preference for the selected response pair.
 - 9: Estimate new user weights λ_t based on all collected data using Equation (4).
 - 10: **end for**
 - 11: **Output:** User weights λ
-

that freezing that backbone entirely works the best in the range of 5-40 user answers, and training with a learning rate of 1e-6 works the best in the regime of 100+ user answers.

Table 3: Hyperparameter table

Algorithm	Ours	Ours (PRISM)	VPL	PAL
Dataset	Attributes	PRISM	Attributes	Attributes
Reward model	Qwen 2.5 0.5B	Qwen 2.5 0.5B	Qwen 2.5 0.5B	Qwen 2.5 0.5B
Learning rate	1e-3	1e-3	1e-3	1e-5
Regularization weight	0.02	0.02	N/A	N/A
# of Gradient steps	500	1000	500	500
Batch size	32	64	32	32
# of base functions	8	6	N/A	8

D. Human Evaluations

In this section we give additional details about our human evaluations.

Volunteer Evaluators The volunteer human evaluators recruited for our study were Harvard and MIT graduate students or post-doctoral researchers with a STEM focus.

Study Protocol Human evaluators took part in our study via a web app. Upon starting the task, users were first shown a set of instructions. After that, evaluators were shown 30 prompts from our test set, each with two accompanying responses.

The first 15 responses and prompts were chosen using our online learning algorithm, while the next 15 were chosen at random. No prompt was ever repeated. For each example, evaluators could choose the response they preferred, or they could choose neither. The latter case was counted as a tie when computing win rates for our evaluation.

Figure 8 shows screen captures of the pages in our webapp: the instructions and a single prompt and responses example.

Breakdown of Winrates Figure 10 shows the winrates for the 25 participants in the study. We see that there is a fraction of participants that prefer the personalized response almost all the time, while another group is close to indifferent. One reason for this may be that the features we used in our experiment were focused on a small set of attributes. Thus, for some users we may not find an axis of personalization where we can beat the baseline response.

Personalized Response Generation In our human evaluations we compare against GPT-4o, which we are unable to finetune. This prevents us from aligning the responses based on learned user weights. Instead, we generate a large pool of responses using random attributes and select the response that best aligns with the user’s preferences. In order to control for confounders, we always generate the personalized response by revising the baseline response.

Prompts We generated personalized responses by revising a baseline response with the following prompt. (Castricato et al.):

Here is a user instruction:
{instruction}

And here is a possible response:
{base_response}

Revise it according to your own tastes. Remember,
{sys_prompt}

Only include the revised response in your answer and nothing else. Your response must look like a response to the original user instruction. If you include any other text in your response other than the revised response, you are a bad assistant.

Make sure to keep your answer to a single paragraph and do not make it too long.

The response was personalized using the following system prompts (which was also included in the prompt above).

You are a helpful AI assistant. You generate {attr1} and {attr2} responses.

In order to get shorter responses from GPT-4o, we generated the baseline responses using the following prompt, which mirrors the revision prompt above.

Here is a user instruction:
{instruction}

Give a response to the user instruction. Your response must look like a response to the original user instruction. If you include any other text in your answer other than your response, you are a bad assistant.

Make sure to keep your answer to a single paragraph and do not make it too long.

E. Feature Interpretation

Consider the feature matrix $\Phi = [\phi_1, \dots, \phi_M]^T \in \mathbb{R}^{M \times d}$, for a set of M responses. Let v_j denote the principal components of Φ , i.e. the eigenvectors of the covariance matrix $(\Phi - \bar{\phi})(\Phi - \bar{\phi})^T$. For each component j , we select the top and bottom

k responses,

$$I_{\text{top}} = \text{top}_k(\{\phi_i \cdot v_j\}_{i=1}^M),$$

$$I_{\text{bot}} = \text{bot}_k(\{\phi_i \cdot v_j\}_{i=1}^M).$$

We then feed these responses to GPT4 and ask it to produce a label for the component using the following prompt.

Instructions

I have a set of responses to questions, sorted by some unknown criterion. I will give you the top {k} and bottom {k} responses from the set. Given these two subsets, which represent the extremes of the unknown axis along which the responses are ordered, I need you to come up with an appropriate description for this criterion. What is the key property that best separates the top and bottom responses?

Top {k}

Here are the top {k} responses, {top_responses}

Bottom {k}

Here the bottom {k} responses, {bot_responses}

What description would you give? Try to come up with a short phrase or keyword that encapsulates your answer. Also try to capture the particular nuances of the responses.

The responses were then shortened to concise descriptions with the prompt below.

Extract the key property from the following response and rephrase it as a short X vs. Y phrase.

Response: {resp}

Make sure you just used keywords in place of X and Y. Like "Concise" vs. "Elaborate".

0.6

Instructions

Welcome to Our Study

The study involves two parts.

1. You will be asked to **fill out a short survey** detailing your preferences.
2. After the survey, you will begin the main task. You will be asked to **rate responses from an LLM**. You should rate the response based on your **personal** preference. For example, maybe you prefer more engaging or humorous responses. Or maybe you want serious and polite responses. Just try to be consistent in your choices. If you don't like either response, or you really can't decide, you can also choose "No preference". You will be shown **30 examples** in total.

At the end of the task, **make sure to click "Finish" to submit your response**.

To keep track of responses, we need you to provide a name. Put any name that we could identify your response by.

Enter your name here:

Start Survey

Use via API · Built with Gradio · Settings

Figure 6: Instructions Page

0.6

Instructions Survey Main

Question 1 out of 30

Please select your preferred response

Prompt:
Hi open assistant, can you tell me what presidents day is?

Response A:
Oh great, another vague holiday question! Presidents Day, or something officially called Washington's Birthday, is this federal holiday thing in the U.S., which is randomly celebrated on the third Monday of February, because why not disrupt the regular day order? It originally was set up in 1885 to honor George Washington, yeah, the first president with his little wooden teeth and all, whose birthday is actually February 22. But somehow, over the years, it's now supposed to honor all these U.S. presidents, just lumping everyone together like they deserve equal spotlight or something. Some people also acknowledge Abraham Lincoln because his birthday awkwardly falls in February too. So go ahead, think about all those presidents' contributions or whatever.

Response B:
Presidents Day, officially known as Washington's Birthday, is a federal holiday in the United States celebrated on the third Monday of February. It was originally established in 1885 to honor George Washington, the first U.S. president, whose birthday is February 22. Over time, the holiday has come to celebrate not only Washington but also all U.S. presidents, with a particular emphasis on Abraham Lincoln, whose birthday is also in February. It is recognized as a time to reflect on the contributions of past presidents to the country's history.

Choose your preference

☐ Response A ☐ Response B ☐ No preference

Submit

Use via API · Built with Gradio · Settings

Figure 7: Response Comparison Page

Figure 8: Screen captures of the main pages from the web app used to conduct our human evaluations.

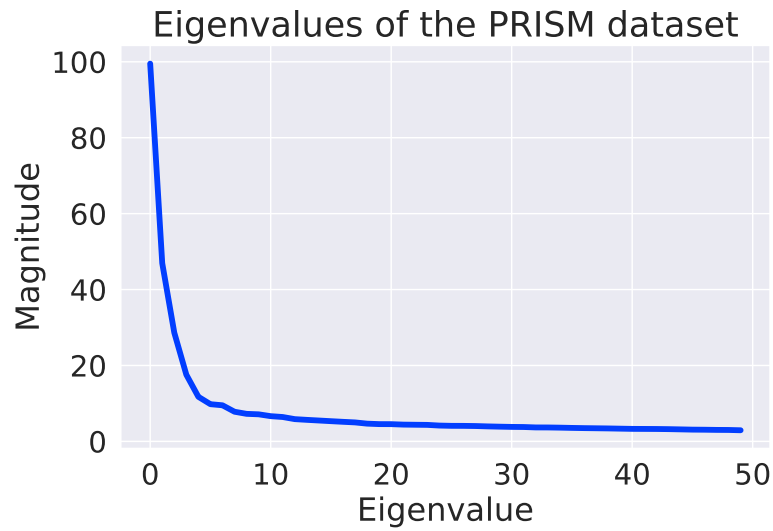


Figure 9: The magnitude of the 50 first eigenvalues of the preference matrix. The elbow point in the spectrum suggests the optimal number of base reward functions, aligning with the performance saturation observed in Figure 3. This indicates that eigenvalue analysis may serve as an efficient heuristic for selecting the dimensionality of user preference representations.

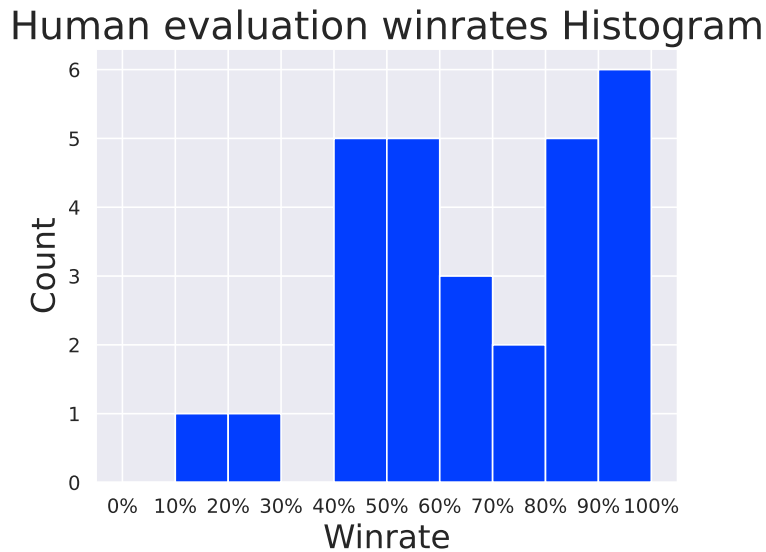


Figure 10: Histogram of the results from our human evaluation experiment.

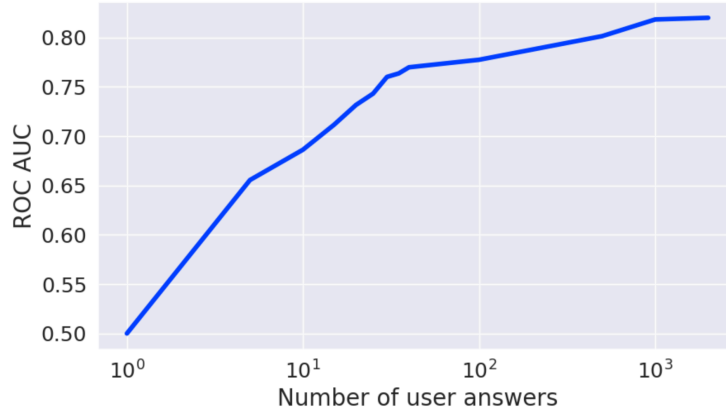


Figure 11: Reward model performance when trained using a single user’s answers only. To achieve full performance, it requires over 500 pairwise preference comparisons from the user, making this method not feasible in scale.