

Annotation-Efficient Language Model Alignment via Diverse and Representative Response Texts

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Abstract

Preference optimization is a standard approach to fine-tuning large language models to align with human preferences. The quantity, diversity, and representativeness of the preference dataset are critical to the effectiveness of preference optimization. However, obtaining a large amount of preference annotations is difficult in many applications. This raises the question of how to use the limited annotation budget to create an effective preference dataset. To this end, we propose Annotation-Efficient Preference Optimization (AEPO). Instead of exhaustively annotating preference over all available response texts, AEPO selects a subset of responses that maximizes diversity and representativeness from the available responses and then annotates preference over the selected ones. In this way, AEPO focuses the annotation budget on labeling preferences over a smaller but informative subset of responses. We evaluate the performance of preference learning using AEPO on three datasets and show that it outperforms the baselines with the same annotation budget. Our code is available at <https://anonymous.4open.science/r/aepo-05B2>.

1 Introduction

Language model alignment aims to address these issues by guiding Large Language Models (LLMs) to generate responses that aligns with human preferences, steering them to generate responses that are informative, harmless, and helpful (Christiano et al., 2017; Ziegler et al., 2020; Stiennon et al., 2020; Bai et al., 2022; Ouyang et al., 2022; Rafailov et al., 2023). The performance of the alignment algorithms is highly dependent on the choice of the preference dataset. However, building a human preference dataset requires expensive human annotations, which is the major bottleneck for constructing a large and high quality preference dataset.

A large number of works have investigated the synthesis of preference data using a powerful LLM

(e.g., GPT-4) to distill the knowledge of human preferences (Dubois et al., 2023; Lee et al., 2024; Ding et al., 2023; Honovich et al., 2023; Cui et al., 2023; Mukherjee et al., 2023; Xu et al., 2024a; Liu et al., 2024a). However, human preferences are known to be diverse and pluralistic, and they are unlikely to be represented by the opinion of a single model (Qiu et al., 2022; Kirk et al., 2023; Wan et al., 2023; Cao et al., 2023b; Zhou et al., 2024; Sorensen et al., 2024a; Rao et al., 2024; Xu et al., 2024b; Sorensen et al., 2024b; Kirk et al., 2024; Shen et al., 2024a; Chakraborty et al., 2024; Pistilli et al., 2024). Several papers have pointed out that LLMs may exhibit bias toward aligning with people from a particular background (Santurkar et al., 2023; Naous et al., 2024; Adilazuarda et al., 2024). For example, Cao et al. (2023b) reports that ChatGPT has a strong alignment with American culture, but adapts less effectively to other cultural contexts. In addition to cultural biases, previous work suggests that even a highly capable model (e.g., GPT-4) still has biases such as length bias (Jain et al., 2024; Dubois et al., 2024), style bias (Gudibande et al., 2024), and positional bias (Zheng et al., 2023). Thus, human annotation is desirable to align and personalize an LLM with diverse and unbiased human preferences (Greene et al., 2023; Jang et al., 2023; Kirk et al., 2023).

The efficiency of annotation is critical to making LLMs accessible and useful to people from diverse backgrounds, who may have only a small amount of preference feedback data to work with. To this end, **we investigate how to generate an effective preference dataset with a limited human annotation budget.** Previous work has shown that the following three features are desirable for a preference dataset to be effective (Liu et al., 2024c,a):

1. *Quantity and Diversity of instructions.* Greater quantity and diversity are desirable for the instruction set (Askell et al., 2021; Wang

et al., 2023; Ding et al., 2023; Honovich et al., 2023; Cao et al., 2023a; Yuan et al., 2023; Yu et al., 2023; Xu et al., 2024a; Zhang et al., 2024; Ge et al., 2024).

2. *Diversity of responses.* A set of responses with higher diversity is desirable (Cui et al., 2023; Lu et al., 2024; Yuan et al., 2023; Song et al., 2024; Wang et al., 2024; Dubey et al., 2024).
3. *Representativeness of responses.* Responses that represent the behavior of the training model are more desirable (Guo et al., 2024; Tajwar et al., 2024; Tang et al., 2024; Xu et al., 2024d).

To achieve all three desiderata with a limited annotation budget, it is desirable to annotate preference over diverse and representative responses with a minimum amount of annotation per instruction.

To this end, we propose **Annotation-Efficient Preference Optimization (AEPO)**, a preference optimization with a preprocessing step on the preference dataset to reduce the required amount of annotation (Figure 1). Instead of annotating the preference over all N responses, AEPO selects $k(< N)$ responses from N responses. We deploy a sophisticated method to select a set of response texts with high diversity and representativeness. It then annotates the preference for the selected k responses. In this way, AEPO uses all N samples to select a subset of responses with high diversity and representativeness, while requiring only an annotation over a subset of responses.

The strength of AEPO is threefold. First, it is applicable to human feedback data. Compared to Reinforcement Learning from AI Feedback (RLAIF) (Lee et al., 2024), our approach can be applied to both human and AI feedback. RLAIF is a scalable approach in terms of both instructions and annotations, but it is known that the feedback from existing language models is biased in various ways (Cao et al., 2023b; Zheng et al., 2023; Jain et al., 2024; Gudibande et al., 2024; Dubois et al., 2024). Second, it is scalable with additional computational resources. By generating a larger amount of responses, AEPO can find more diverse and representative responses to annotate, resulting in a more effective preference dataset with a fixed amount of annotation (Figure 3). Third, less annotation is required to generate an effective preference dataset.

Method	Human feedback	Scalable	Annotation cost
Human feedback	✓	✗	✗
RLAIF	✗	✓	✓
West-of-N	✓	✓	✗
AEPO	✓	✓	✓

Table 1: Comparison of annotation strategies for preference dataset.

Unlike an exhaustive annotation strategy which requires a large annotation effort (e.g., West-of-N strategy, Xu et al. 2023; Yuan et al. 2024b; Pace et al. 2024), AEPO can reduce the annotation cost through the subsampling process.

We evaluate the performance of DPO using AEPO on the AlpacaFarm, hh-rlhf, and JCommonsMorality datasets in Section 4 (Bai et al., 2022; Dubois et al., 2023; Takeshita et al., 2023). With a fixed annotation budget, the performance of vanilla DPO degrades as the number of responses per instruction increases above a certain threshold (Figure 3). In contrast, AEPO scales with the number of responses under a fixed annotation budget, outperforming vanilla DPO when a large number of responses are available. The result shows that AEPO is a promising algorithm for efficient preference optimization, especially when annotation cost is the bottleneck of the alignment process.

2 Background

Preference Optimization. Let \mathcal{D}_p be a pairwise preference dataset $\mathcal{D}_p = \{(x, y_c, y_r)\}$, where x is an instruction ($x \in \mathcal{X}$), y_c is the chosen response, and y_r is the rejected response, that is, y_c is preferred to y_r ($y_c, y_r \in \mathcal{Y}$). One of the popular algorithms for learning from the preference dataset is **Direct Preference Optimization (DPO)** (Rafailov et al., 2023). DPO trains the language model to directly align with the human preference data over the responses without using reward models. The objective function of the DPO is the following:

$$\pi_{\text{DPO}} = \arg \max_{\pi} \mathbb{E}_{(x, y_c, y_r) \sim \mathcal{D}_p} \left[\log \sigma \left(\beta \log \frac{\pi(y_c|x)}{\pi_{\text{ref}}(y_c|x)} - \beta \log \frac{\pi(y_r|x)}{\pi_{\text{ref}}(y_r|x)} \right) \right], \quad (1)$$

where σ is the sigmoid function and β is a hyperparameter that controls the proximity to the SFT model π_{ref} .

Preference Dataset. The performance of preference optimization largely depends on the choice

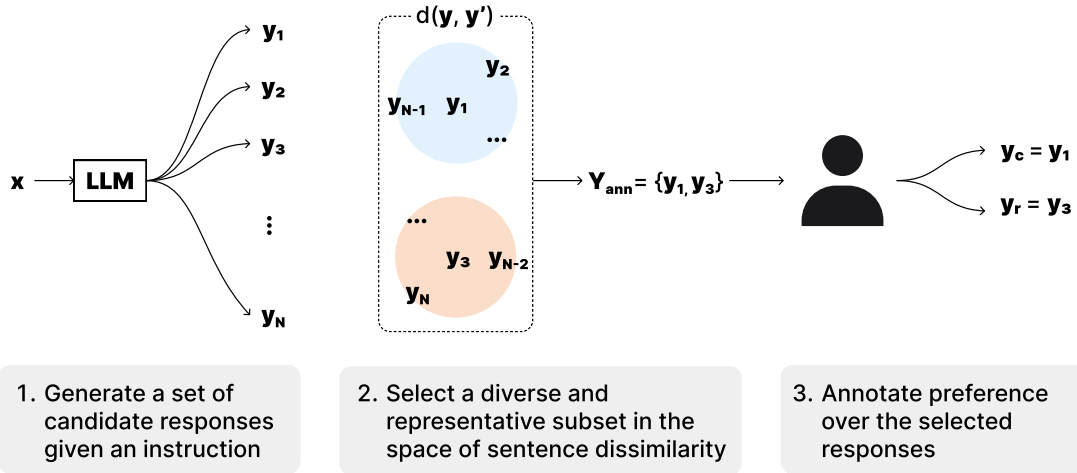


Figure 1: Annotation-Efficient Preference Optimization (AEPO) is a process for generating a preference dataset with diverse and representative responses with fewer annotations. See Section 3 for details. Here we set $k = 2$ and select two responses from the candidate responses to annotate.

of the preference dataset \mathcal{D}_p . Aside from synthesizing, several papers have investigated annotation-efficient learning by reducing the number of instructions rather than synthesizing more (Cohn et al., 1994; Settles, 2009; Su et al., 2023; Zhou et al., 2023; Chen et al., 2024).

Regarding the selection of the response texts, several works have proposed to use the **West-of-N (WoN) strategy** (Xu et al., 2023; Yuan et al., 2024b; Pace et al., 2024). The WoN strategy randomly samples N responses $\{y_i\}_{i=1}^N$ for each instruction x . Then, it annotates the preference *over all N responses*. The response with the highest preference is labeled as chosen (win) y_c and the one with the lowest preference is labeled as rejected (lose) y_r to construct \mathcal{D}_p :

$$y_c \leftarrow \arg \max_{y \in \{y_i\}_{i=1}^N} R(x, y), \quad y_r \leftarrow \arg \min_{y \in \{y_i\}_{i=1}^N} R(x, y). \quad (2)$$

The strategy is shown to be more efficient than random sampling with the same number of instructions. However, it requires N annotations per instruction to run, making it inapplicable when the annotation budget is limited.

3 Annotation-Efficient Preference Optimization (AEPO)

We propose **Annotation-Efficient Preference Optimization (AEPO)**, a method for efficiently learning preferences from a large number of responses *with a limited budget on preference annotations* (Figure 1).

The procedure of AEPO is described in Algo-

Algorithm 1 Annotation-Efficient Preference Optimization (AEPO)

Input: A set of pairs of an instruction and a set of candidate responses $\mathcal{D} = \{(x, Y_{\text{cand}})\}$, a preference annotator R , and an annotation budget per instruction k

- 1: $\mathcal{D}_{AE} = \emptyset$
 - 2: **for** $(x, Y_{\text{cand}}) \in \mathcal{D}$ **do**
 - 3: $Y_{\text{ann}} \leftarrow \arg \max_{Y \subseteq Y_{\text{cand}}, |Y|=k} f_{\text{rep}}(Y) + \lambda f_{\text{div}}(Y)$ (See Eq. 10)
 - 4: $y_c \leftarrow \arg \max_{y \in Y_{\text{ann}}} R(x, y)$
 - 5: $y_r \leftarrow \arg \min_{y \in Y_{\text{ann}}} R(x, y)$
 - 6: $\mathcal{D}_{AE} \leftarrow \mathcal{D}_{AE} \cup \{(x, y_c, y_r)\}$
 - 7: **end for**
 - 8: **return** \mathcal{D}_{AE}
-

rithm 1. We assume that a set of N candidate responses is available for each instruction: $\mathcal{D} = \{(x, Y_{\text{cand}})\}$, where $Y_{\text{cand}} := \{y_i\}_{i=1}^N$. Instead of annotating the preference over all responses in Y_{cand} , AEPO subsamples k responses (e.g., $k = 2$) from Y_{cand} according to the objective function (Eq. 10) that heuristically maximizes the accuracy of reward value estimates (line 3). We explain the objective function later. Then, it deploys the WoN strategy (Eq. 2) on the subsampled subset of responses Y_{ann} instead of all N responses Y_{cand} . It annotates the preference over Y_{ann} to select the best and the worst responses as the chosen and the rejected responses, respectively (lines 4, 5). In this way, we can allocate the annotation budget only to labeling k responses. AEPO achieves to build a

preference dataset with diverse and representative responses using a small amount of annotation effort, which is exactly the characteristics desired for the preference annotation methodology we discussed in Section 1.

Choosing the Responses to Annotate Preference (Line 3 in Algorithm 1). The performance of the procedure is highly dependent on how we subsample a subset Y_{ann} from the candidate set of responses Y_{cand} . Ideally, one wants to identify Y_{ann} that the reward values $R(x, y)$ of $y \in Y_{\text{cand}}$ can be estimated using the preference annotation over Y .

We deploy two heuristics to derive the objective function for choosing Y_{ann} . Let $d(y_1, y_2)$ be a cost function that represents the dissimilarity of the two response texts: $D : \mathcal{Y} \times \mathcal{Y} \rightarrow [0, 1]$, where $d(y_1, y_2) = 0$ if $y_1 = y_2$. For example, d can be implemented by the cosine distance of the embedding of the sentences:

$$d(y_1, y_2) = 1 - \cos(\text{emb}(y_1), \text{emb}(y_2)), \quad (3)$$

where \cos is the cosine function and emb is the sentence embedding function.

3.1 Representativeness Heuristic

Heuristic 1 *The preference annotation over Y_{ann} is more likely to be informative in estimating $R(x, y)$ if Y_{ann} is closer to y . That is, if*

$$\sum_{y_i \in Y} d(y, y_i) \leq \sum_{y_i \in Y'} d(y, y_i), \quad (4)$$

then the estimate of $R(x, y)$ is more likely to be accurate using Y than Y' .

Figure 2 illustrates the intuition behind the heuristic. Intuitively, similar texts are more likely to have similar reward values. Thus, knowing the preference values of y_1 and y_2 are likely more informative than those of y'_1 and y'_2 to estimate the reward value of y .

From Eq. 4, we are motivated to choose a subset Y_{ann} so that they are closer to y to estimate $R(x, y)$. Thus, to find Y_{ann} closer to all $y \in Y_{\text{cand}}$, the objective is to maximize the following:

$$f_{\text{rep}}(Y) := - \sum_{y \in Y_{\text{cand}}} f_{\text{rep}}(y; Y), \text{ where} \quad (5)$$

$$f_{\text{rep}}(Y; y) := - \frac{1}{N} \sum_{y_i \in Y} d(y, y_i).$$

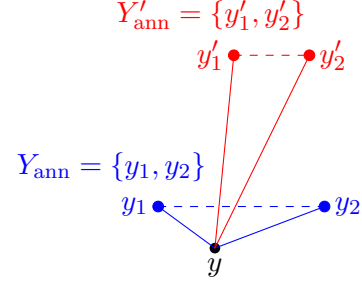


Figure 2: An illustrative example of response subsets for annotating preference. Our algorithm is based on the heuristic that the subset Y that is more diverse and closer to y is more likely to be informative than Y' to infer the value of y .

An alternative explanation of $f_{\text{rep}}(Y)$ is that it quantifies the representativeness of the subset Y for the entire sample set Y_{cand} .

$$f_{\text{rep}}(Y) = \sum_{y \in Y} \underbrace{\left(-\frac{1}{N} \sum_{y' \in Y_{\text{cand}} \setminus \{y\}} d(y, y') \right)}_{\text{Representativeness of } y} \quad (6)$$

where the bracketed term can be interpreted as the representativeness of y , the average distance from y to all other samples. That is, it shows the closeness to the mean of the sample set. Thus, $f_{\text{rep}}(Y)$ represents the objective to select a subset Y that is closer to the center of the samples, making it more representative of the generated samples.

3.2 Diversity Heuristic

Heuristic 2 *The preference over Y_{ann} is likely to be more informative in estimating $R(x, y)$ if each pair of samples in Y_{ann} is more distinct. That is, if*

$$\sum_{y_1 \in Y} \sum_{y_2 \in Y \setminus \{y_1\}} d(y_1, y_2) \geq \sum_{y_1 \in Y'} \sum_{y_2 \in Y' \setminus \{y_1\}} d(y_1, y_2), \quad (7)$$

then, the estimate of $R(x, y)$ is more likely to be accurate using Y than Y' .

An example of high and low diversity subsamples (Y_{ann} and Y'_{ann}) is shown in Figure 2. If the selected samples are too similar (e.g., Y'_{ann}), then it will be difficult to estimate $R(x, y)$ as y is roughly as similar to y'_1 as to y'_2 . On the other hand, if the selected samples are distinct enough (e.g., Y_{ann}), then we expect it to be easier to estimate the value of $R(x, y)$. Thus, we assume that it is difficult to estimate the value of $R(x, y)$ when $|d(y, y_1) - d(y, y_2)|$ is small since y is roughly as close to y_1 as it is as to y_2 .

Motivated by the heuristic, we propose the following objective function f_{div} as the diversity objective:

$$f_{\text{div}}(Y) := \frac{1}{|Y|} \sum_{y_1 \in Y} \sum_{y_2 \in Y \setminus \{y_1\}} d(y_1, y_2). \quad (8)$$

Another intuition for f_{div} is that it is an upper bound on the sum of the distance differences between the sample pairs in Y , assuming d is a metric. Here, $d(y_1, y_2)$ is an upper bound of $|d(y, y_1) - d(y, y_2)|$ from the triangle inequality. Therefore,

$$\begin{aligned} & \frac{1}{|Y|^2} \sum_{y \in Y_{\text{cand}}} \sum_{y_1 \in Y} \sum_{y_2 \in Y \setminus \{y_1\}} |d(y, y_1) - d(y, y_2)| \\ & \leq \frac{1}{|Y|} \sum_{y_1 \in Y} \sum_{y_2 \in Y \setminus \{y_1\}} d(y_1, y_2) = f_{\text{div}}(Y). \end{aligned} \quad (9)$$

Thus, ensuring f_{div} to be large is a desirable property to make $|d(y, y_1) - d(y, y_2)|$ large enough, which is likely to contribute to estimating $R(x, y)$ accurately. Note that the cost and utility functions used in NLP are often not precisely a metric, as many of them are based on neural networks (e.g., COMET, Metric-X, and LLM-as-a-Judge; Rei et al. 2020, 2022; Juraska et al. 2024; Zheng et al. 2023). Eq. 9 is intended to be an intuitive explanation of the diversity objective f_{div} rather than a theoretical guarantee of the objective.

3.3 Objective Function for Selecting Y_{ann}

Based on the two heuristics, we propose to optimize the following objective to select the subsample Y to annotate from a set of responses Y_{cand} :

$$Y_{\text{ann}} = \arg \max_{\substack{Y \subseteq Y_{\text{cand}} \\ |Y|=k}} f_{\text{rep}}(Y) + \lambda f_{\text{div}}(Y), \quad (10)$$

where λ is a hyperparameter to control the trade-off between the two objectives.

We use the cosine distance of the embedding computed by all-mpnet-base-v2 sentence BERT model, which has been shown to be effective for a variety of sentence embedding tasks (Reimers and Gurevych, 2019, 2020; Song et al., 2020).

Computing the optimal solution for Eq. 10 requires $O(|Y_{\text{cand}}|^k)$ time in the worst case. In the following experiments, we use $k = 2$ and compute the optimal solutions for Y_{ann} by enumerating all pairs of samples. In a case where k is large, we can compute Y approximately using a greedy

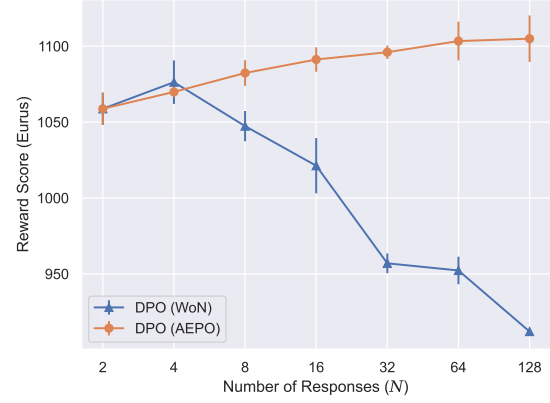


Figure 3: Evaluation of AEPO and West-of-N for DPO with an annotation budget fixed to 2 times the number of instructions on AlpacaFarm. The line represents the average reward score and the bar shows the standard deviation over three runs.

search algorithm that finds the y that maximizes the objective at each step until it selects k responses.

The use of the representativeness and diversity is shown to be useful for text generation algorithms in prior work (Vijayakumar et al., 2016; Eikema and Aziz, 2022; Jinnai et al., 2024; Li et al., 2024a). In fact, the objective function Eq. 10 corresponds to the decoding objective of Diverse Minimum Bayes Risk decoding algorithm (Jinnai et al., 2024). These objectives are also often used in active learning in NLP (Zhang et al. 2022; See Section 5), including the application to select instruction set for supervised fine tuning (Zhou et al., 2023; Li et al., 2024b). The contribution of the study is on importing these objectives to the problem of selecting a set of responses to annotate from a set of candidate responses for preference optimization, which is critical when aligning LLMs with languages, communities, and tasks with limited annotations.

4 Experiments

We first conduct simulated experiments using reward models instead of human annotation to evaluate the performance of AEPO in depth with ablation studies. Then, we evaluate AEPO on a more realistic setting of learning cultural commonsense morality (Awad et al., 2020; Hendrycks et al., 2021) where human annotations are difficult to obtain.

4.1 Simulated Experiment

For the purpose of the method, it is ideal to use human annotations to evaluate the performance of the algorithms. However, human annotations

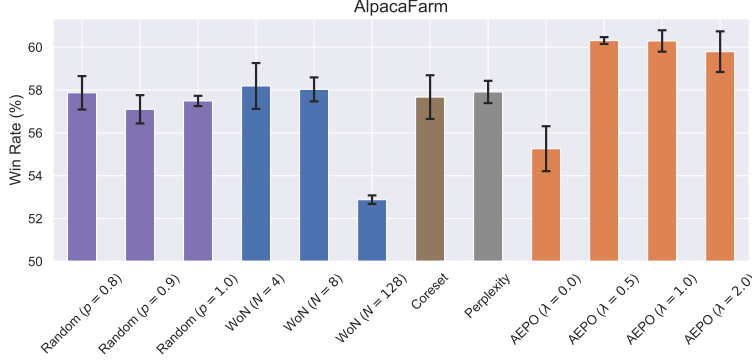


Figure 4: Evaluation of preference annotation strategies for DPO on AlpacaFarm using Mistral under the annotation budget fixed to 2 times the number of instructions. The win rate against the SFT model is evaluated. The bar represents the mean, and the error bar indicates the standard deviation of three runs.

Method	#Insts	#Annots
SFT (Mistral)	0	0
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $
WoN ($N = 128$)	$ \mathcal{D} /64$	$2 \mathcal{D} $
Coreset	$ \mathcal{D} $	$2 \mathcal{D} $
Perplexity	$ \mathcal{D} $	$2 \mathcal{D} $
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $

Table 2: The number of instructions (#Insts) and annotations (#Annots) used by the preference annotation strategies in Figures 4, 5, and 7.

are expensive and difficult to reproduce. To this end, we first evaluate the proposed method on a simulated scenario where the annotations are from open source reward models.

Datasets and models. We evaluate the performance of AEPO on DPO using the AlpacaFarm (Dubois et al., 2023) and hh-rlhf (Bai et al., 2022) datasets. We use mistral-7b-sft-beta (Mistral) (Jiang et al., 2023a; Tunstall et al., 2024) as the language model. See D.2 for the results using dolly-v2-3b (Conover et al., 2023) as the language model.

AEPO and baseline strategies. We generate up to $N = 128$ responses per instruction with nucleus sampling ($p = 0.9$) (Holtzman et al., 2020) to be used for the subsampling strategies. The temperature of the sampling algorithm is set to 1.0 for all experiments. Both AEPO and baseline strategies use the same set of responses to ensure a fair comparison.

For AEPO, the size of Y_{ann} is set to $k = 2$ and the diversity hyperparameter is set to $\lambda \in \{0.0, 0.5, 1.0, 2.0\}$ for AlpacaFarm and $\lambda \in \{0.5, 1.0, 2.0\}$ for the rest of the datasets.

As baselines, we evaluate two active learning strategies, Coreset and Perplexity, in addition to random sampling and WoN strategy. Coreset strategy (Sener and Savarese, 2018) is inspired from the coreset selection problem which chooses a subset of the dataset such that the model trained on the selected subset will perform as closely as possible to the model trained on the entire dataset (Feldman, 2020). Perplexity strategy selects a pair of responses with the highest and lowest perplexity.

See Appendix B for the details of the algorithms.

Since WoN strategy uses $N/2$ times more annotations per instruction than AEPO with $k = 2$, we reduce the number of instructions for WoN to $2/N$ so that the number of required annotations is the same as for AEPO.

Alignment procedure. We train the same model that generates the responses (Mistral) using DPO with Low-Rank Adaptation (LoRA) (Hu et al., 2022; Sidahmed et al., 2024). We set the LoRA’s $r = 64$ and $\alpha = r/4$. Other hyperparameters for the training process are described in Appendix A. For the AlpacaFarm dataset, we use the alpaca_human_preference subset as the training set and use the alpaca_farm_evaluation subset as the evaluation set. For the hh-rlhf datasets, we use the first 5000 entries of the training set of both the helpful-base and harmless-base subsets as the training set. Then we evaluate the trained model on the first 1000 entries of the test set of the helpful-base (Helpfulness) and harmless-base (Harmlessness) subsets. For WoN, we reduce the number of instructions evenly for the two subsets so that the dataset always has the same number of instructions from the two subsets.

Results. We evaluate the quality of the trained models by sampling a response using nucleus sampling ($p = 0.7$). The model output is evaluated using Eurur-RM-7B (Eurur; Yuan et al. 2024a) as it is open source and shown to have a high correlation with human annotations in RewardBench (Lambert et al., 2024).

Figure 3 shows the Eurur score of the DPO

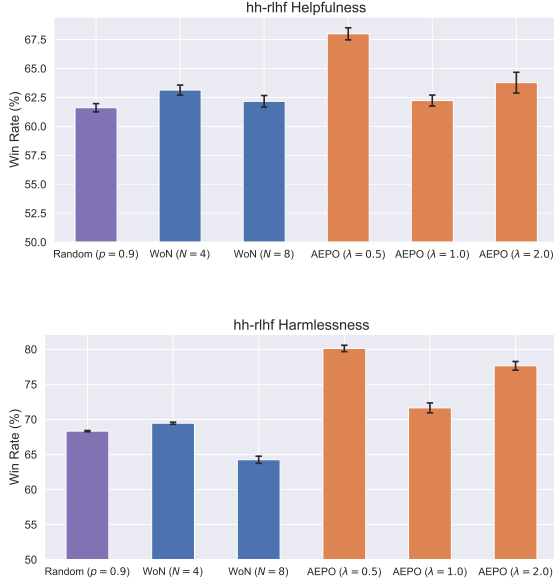


Figure 5: Evaluation of preference dataset annotation strategies for DPO on hh-rlhf’s Helpfulness and Harmlessness dataset using Mistral under the annotation budget. The win rate against the SFT model is evaluated. The bar represents the mean, and the error bar indicates the standard deviation of three runs.

models on AlpacaFarm using AEPO ($\lambda = 1.0$) and WoN with different numbers of responses. WoN with $N = 4$ outperforms the random sampling baselines (i.e., WoN with $N = 2$), even though it uses only half of the available instructions, which is consistent with the results of Song et al. (2024). However, WoN’s score drops significantly for $N \geq 8$ as the number of instructions decreases. In contrast, AEPO scales with the number of responses N and outperforms WoN (Figure 3).

Figures 4 and 5 show the win rate of the DPO models with $N = 128$ under a fixed annotation budget. The win rate is computed against the SFT model using Eurús as a reference reward model. See Appendix H for the evaluation using other reward models. In all three datasets, AEPO outperforms the baseline algorithms except for when λ is set to 0 so that no diversity is assured.

The ablation study of AEPO is described in Appendix D where we evaluate AEPO on a smaller LLM, out-of-domain tasks, using varying LoRA hyperparameters, and using varying loss functions. The result shows that AEPO consistently outperforms the baselines in a wide range of settings.

AEPO generates a diverse and representative preference dataset. We evaluate the diversity, representativeness, and quality of the preference

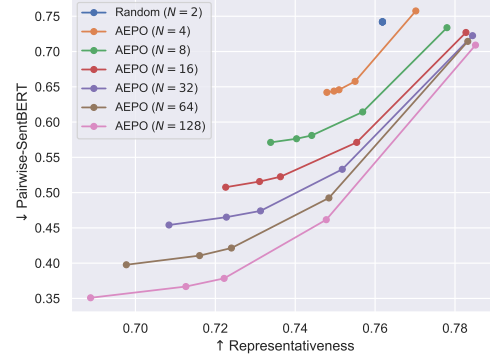


Figure 6: Diversity (\downarrow Pairwise-SentBERT) and representativeness of the responses of the preference datasets \mathcal{D}_{AE} generated by AEPO with a varying number of input responses (N). The number of selected responses (k) is fixed at 2. AEPO successfully generates datasets with better diversity-representativeness trade-offs without requiring additional annotations.

dataset generated by AEPO. To measure the semantic and lexical diversity of the responses, we use pairwise Sentence BERT and distinct-n (Li et al., 2016). We use the same Sentence BERT model (all-mpnet-base-v2) as AEPO to evaluate the average cosine similarity between the selected pairs of responses. Distinct-n counts the number of distinct n-grams in a sentence divided by the length of the sentence. The representativeness is measured by $-f_{\text{rep}}(Y)/|Y_{\text{cand}}|$ which is the average similarity of Y_{ann} to Y_{cand} . The quality of the responses is measured by the average reward score of the selected responses.

The result is shown in Figure 6. By using a larger number of responses N , AEPO manages to generate more diverse and representative response pairs than a random sampling with the same number of annotations. Interestingly, AEPO also results in higher-quality texts being selected than random sampling (Figure 14 in Appendix H). This aligns with prior work reporting that diversity and representativeness objectives can improve the quality of the output texts (Vijayakumar et al., 2016, 2018; Eikema and Aziz, 2022; Jinnai et al., 2024). See Appendix E for examples of the preference data generated by AEPO. We observe similar trends in the results on distinct-n, as well as the results on the hh-rlhf datasets (Figures 14, 15, and 16 in Appendix H).

Both diversity and representativeness of the preference dataset are important for preference learning. The question is what contributes to the

improved performance of AEPO. In Figures 4 and 9, AEPO with moderate size of λ outperforms AEPO with higher or lower λ . The result indicates that both the diversity and the representativeness of responses are important for the preference dataset, which is consistent with the observations in previous work (Mukherjee et al., 2023; Chen et al., 2024; Liu et al., 2024c; Song et al., 2024).

4.2 Realistic Experiment

We evaluate AEPO on a more realistic setting using JCommonsenseMorality (JCM) dataset (Takeshita et al., 2023). JCM is a collection of texts labeled with whether a text contains a morally wrong statement according to the commonsense morality of people in Japanese culture. Because commonsense morality is culturally dependent and requires annotation by the members of the community (Durmus et al., 2024; Shen et al., 2024b), it is difficult to collect a large number of annotations. Therefore, we consider the task of learning Japanese commonsense morality to be a suitable benchmark for evaluating AEPO in a realistic application.

We use 800 entries ($|\mathcal{D}| = 800$) from the train split for training and 500 entries from the test split for evaluation. The preference annotation is done semi-automatically; we use Gemma 2 to evaluate if the generated text is aligned with the human annotation in the dataset (Zheng et al., 2023; Team et al., 2024). See Appendix G for the evaluation procedure. We train a Japanese LLM (calm2-7b-chat; Ishigami 2023). All the other hyperparameters follow Section 4.1. The results are summarized in Figure 7. Overall, AEPO outperforms the baselines within the same annotation budget constraint. The result shows the potential of AEPO in tasks where the available annotations are limited.

5 Related Work

Active learning. Annotation-efficient learning has long been a challenge in natural language processing (Zhang et al., 2022). Active learning is an approach that aims to achieve training with fewer training labels by proactively selecting the data to be annotated and used for learning (Cohn et al., 1994; Settles, 2009; Houlisby et al., 2011). Active learning methods in NLP are often categorized in two strategies (Zhang et al., 2022). One uses the informativeness of the data instances, such as uncertainty and disagreement of the models (Lewis and Gale, 1994; Engelson and Dagan, 1996; Siddhant

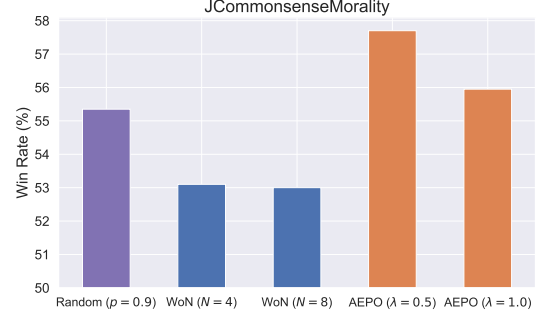


Figure 7: Evaluation of preference annotation strategies for DPO on the JCommonsenseMorality (JCM) dataset using calm2-7b-chat under a fixed annotation budget. The win rate against the SFT model is evaluated.

and Lipton, 2018; Huang et al., 2024; Dwaracherla et al., 2024). This approach has proven to be efficient in many text classification tasks. The other strategy is based on the representativeness of the data instances (McCallum and Nigam, 1998; Settles and Craven, 2008; Zhao et al., 2020; Chen and Wang, 2024). The strategy annotates instances with high average similarity to all the other instances so that it can cover a large portion of the dataset with few annotations. Another approach is to select instances that maximize the diversity of labeled instances (Eck et al., 2005; Zeng et al., 2019; Bloodgood and Callison-Burch, 2010). Our approach is related to these approaches as our objective is a combination of representative and diversity measures designed to maximize the information gain.

Minimum Bayes risk decoding. See Appendix C.

6 Conclusions

We propose Annotation-Efficient Preference Optimization (AEPO), an annotation-efficient dataset subsampling strategy for language model alignment. AEPO selects response texts to annotate from candidate responses, maximizing the representativeness and diversity. By focusing the annotation effort on the selected responses, AEPO achieves efficient preference optimization under a limited annotation budget. The experimental results and ablation studies (Appendix D) show that AEPO consistently outperforms the baseline strategies on a wide range of benchmarks. We believe that AEPO is a critical contribution to promoting preference optimization in low resource settings by addressing the severe obstacle, the cost of creating better preference data.

7 Limitations

Although our method is motivated by the situation where the human annotation is needed to align the language model, part of our experiments (AlpacaFarm and hh-rlhf) are conducted using a proxy reward model to annotate preference on training datasets instead of using human annotation. We use human annotation for the JCM dataset but combined with an LLM to evaluate the agreement of the response text with the human annotation. Evaluation of the method using human annotation directly to the responses would be desirable for future work.

The underlying assumption of the paper is that human annotation is the correct gold reference, preferable to synthesized annotation. However, it is known that human annotation can be wrong and unreliable (Ipeirotis et al., 2010; Clark et al., 2021; Hosking et al., 2024). Developing an annotation strategy that considers the possibility of annotation errors is future work.

Our focus is on developing a method to generate a diverse and representative set of responses. The preparation of diverse and representative instructions is also an important task to generate an efficient dataset (Sanh et al., 2022; Ding et al., 2023; Cui et al., 2023; Liu et al., 2024a; Xu et al., 2024a). Our method is orthogonal to methods for generating high quality instructions and can be combined. Comparing and combining AEPO with methods for generating diverse instructions is future work.

The goal of AEPO is to construct an efficient, reusable pairwise preference dataset that can be shared across multiple models rather than selecting a data entry for a particular model which is often the objective for active learning methods. Thus, our approach is complementary to active learning methods. For example, one can use AEPO to construct an efficient dataset and then apply active learning to refine a particular model on that dataset. Evaluation of AEPO combined with active learning algorithms is future work.

AEPO has the same limitation as active learning algorithms in that it is inherently limited by the quality and diversity of the entire candidate responses from which the response subsets are chosen.

We evaluate the performance of AEPO using all-mpnet-base-v2 as the embedding model. Embedding models are widely used in various applications, and their quality continues to improve with advances in the field. As such, it is likely that

the performance of AEPO will benefit from future improvements in embedding models. The evaluation of AEPO using better embedding models is a future work.

The performance of AEPO depends on the choice of the hyperparameter λ . We observe that $\lambda = 1.0$ is a good choice throughout the experiments, but developing a strategy to find an effective λ for a given dataset is future work.

All experiments are performed using LoRA (Hu et al., 2022). The evaluation of AEPO with full parameter fine-tuning is future work.

We assume that the cost of annotating the preference rank for N responses is linear in N . However, prior work shows that it becomes increasingly difficult to annotate preference ranks as the number of options increases (Ganzfried, 2017). Because this assumption favors WoN over AEPO, we believe it will not affect the overall analysis presented in this paper. Evaluating the human annotation burden of ranking N responses is an important direction for future work.

8 Ethical Considerations

We believe that this work will have a positive impact by encouraging work on AI systems that work better with a diverse set of people. LLMs would be more useful if they could adapt to the preferences of diverse groups of people, even if little preference annotation is available from their communities.

AEPO is designed for an offline setting where the dataset is constructed before the training process. An offline setting has advantages in transparency, fairness, and inclusivity in the alignment process. By constructing the dataset before the model training begins, stakeholders can fully audit the dataset, ensuring that it reflects diverse viewpoints and minimizes biases.

We foresee our method being useful for personalizing LLMs (Greene et al., 2023; Jang et al., 2023; Kirk et al., 2023). Personalized LLMs could have far-reaching benefits, but also a number of worrisome risks, such as the propagation of polarized views. We refer to Kirk et al. (2023) for a discussion of potential risks and countermeasures for personalized LLMs.

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A Hyperparameters

Table 3 lists the hyperparameters we use to run DPO. Table 4 lists the hyperparameters we use to generate the texts for evaluation.

Table 3: DPO hyperparameters.

Parameter	Value
Training epochs	3
Batch size	4
Regularization factor (β)	0.1
Optimizer	RMSProp
Learning rate	1e-5
Learning rate scheduler	linear
Warm up steps	#instructions / 80
Max instruction length	512
Max new tokens	512
Max total length	512

Table 4: Generation hyperparameters on evaluation.

Parameter	Value
Max instruction length	512
Max new tokens	512
Temperature	1.0
Top- p	0.7

B Implementation of Baselines

In addition to the existing methods (random sampling and WoN sampling), we present two response texts subsampling strategies, a coreset-based subsampling and perplexity-based subsampling as baselines.

We implement the Coreset selection using the set cover minimization algorithm following the work of (Sener and Savarese, 2018) (Algorithm 1, k-Center-Greedy). The objective function for selecting the subset Y is the following:

$$Y_{\text{ann}} = \arg \min_{Y \subseteq Y_{\text{cand}}} \max_{y \in Y_{\text{cand}}} \min_{y' \in Y} d(y, y'). \quad (11)$$

Intuitively, Eq. 11 is similar to the representative objective (f_{rep} ; Eq. 5) but instead of minimizing the average distance of Y and Y_{cand} , it aims to minimize the maximum distance of $y \in Y_{\text{cand}}$ and $y' \in Y$. Although the algorithm was originally proposed for training convolutional neural networks, its procedure applies to the response text subsampling problem. We use the cosine distance of the

sentence embedding as the distance between the data points. We use the same text embedding model as AEPO (all-mpnet-base-v2).

The perplexity-based dataset filtering strategy is shown to be effective for the pretraining (De la Rosa et al., 2022; Marion et al., 2023; Thrush et al., 2024) and instruction fine-tuning (Zhou et al., 2023; Li et al., 2024b). We implement a perplexity-based selection strategy to pick a pair of responses with the highest and the lowest perplexity:

$$Y_{\text{ann}} = \{\arg \max_{y \in Y_{\text{cand}}} PP(y | x), \arg \min_{y \in Y_{\text{cand}}} PP(y | x)\}, \quad (12)$$

where PP denotes the perplexity of y given x as the input.

C Additional Related Work

Minimum Bayes risk decoding. Eq. 5 and 10 are largely inspired by Minimum Bayes Risk (MBR) decoding (Kumar and Byrne, 2002, 2004; Eikema and Aziz, 2022). MBR decoding is a text generation algorithm that selects the sequence with the highest similarity to the sequences generated by the probability model. As such, the objective function of MBR decoding corresponds to Eq. 5. MBR decoding has been proven to produce high-quality text in many text generation tasks, including machine translation, text summarization, and image captioning (Freitag et al., 2023; Suzgun et al., 2023; Bertsch et al., 2023; Li et al., 2024a; Yang et al., 2024). In particular, Eq. 10 is strongly inspired by the objective function of Diverse MBR (DMBR) decoding (Jinnai et al., 2024). The contribution of our work is to introduce the objective function of DMBR as a strategy to subsample representative and diverse responses from candidate responses so that the annotation budget can be used efficiently.

D Ablation Study

We describe the ablation study to evaluate the effect of AEPO in various settings.

D.1 GPT-4 Evaluation

Figure 8 shows the win rate of the DPO models against the SFT model using GPT-4 as an evaluator. Overall we observe the same qualitative result as in Euris. We access GPT-4 API via Azure OpenAI service. The model name is gpt-4o and the model version is 2024-05-13. We set the model temperature, frequency penalty, and presence penalty to

0. The following prompt is used to evaluate the response text:

Please act as an impartial judge and evaluate the quality of the response provided by an AI assistant to the user question displayed below. Your evaluation should consider factors such as the helpfulness, relevance, accuracy, depth, creativity, and level of detail of the response. Begin your evaluation by providing a short explanation. Be as objective as possible. After providing your explanation, you must rate the response on a scale of 1 to 10 by strictly following this format: “[[rating]]”, for example: “Rating: [[5]]”.

[Question]
{question}
[The Start of Assistant’s Answer]
{answer}
[The End of Assistant’s Answer]

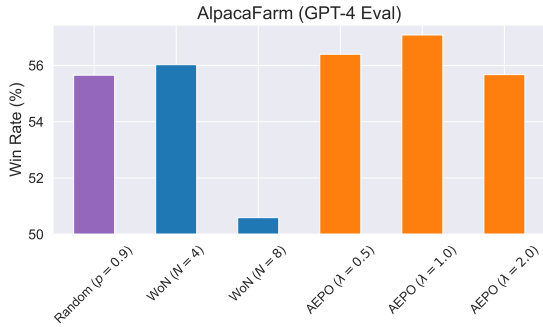


Figure 8: Evaluation of AEPO on the AlpacaFarm dataset using GPT-4 as an evaluator. The win rate against the SFT model is evaluated.

D.2 Training Dolly Language Model

Several studies have shown that using responses generated by the training model itself (on-policy learning) is more effective than using responses generated by other models (off-policy learning) (Chang et al., 2024; Guo et al., 2024; Xu et al., 2024c; Tajwar et al., 2024; Dong et al., 2024; Pace et al., 2024; Tang et al., 2024). Nevertheless, off-policy learning is advantageous in resource-constrained settings because it can leverage existing public resources to train arbitrary models.

To this end, we investigate the use of AEPO for off-policy learning. We use the preference dataset

\mathcal{D}_{AE} generated by Mistral’s responses $\{y_i\}_{i=1}^N$ on AlpacaFarm to train dolly-v2-3b (Dolly; Conover et al. 2023). We set the LoRA’s $r = 32$ and $\alpha = r/4$. Other experimental settings are the same as the experiment on Mistral. Figure 9 shows the results of the off-policy learning using Eurys as the reference reward model. AEPO with sufficiently large λ outperforms vanilla DPO. The result shows the potential of AEPO to improve the efficiency of off-policy learning. See Table 23 for the result using other reward models.

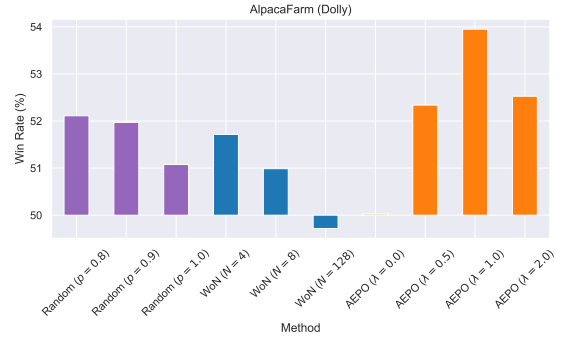


Figure 9: Evaluation of AEPO on training Dolly language model using the AlpacaFarm dataset. We generate responses with Mistral and use the sampled responses to train Dolly. The win rate against the SFT model is evaluated.

D.3 Out-of-Domain Evaluation

Previous work has shown that training on a diverse set of instructions improves the performance on out-of-domain tasks (Sanh et al., 2022). The question is whether we can achieve a similar robustness with a diverse set of responses generated by AEPO. We evaluate the Mistral models fine-tuned with the AlpacaFarm dataset on ARC (Clark et al., 2018), HellaSwag (Zellers et al., 2019), TruthfulQA (Lin et al., 2022), and WinoGrande (Sakaguchi et al., 2021) using the language model evaluation harness (Gao et al., 2023b). Table 5 summarizes the scores and the standard errors of the trained models on these benchmarks. Overall, AEPO scores slightly higher than WoN, except for the ARC. The result shows that AEPO outperforms WoN in the AlpacaFarm domain not because it overfits to the task, but because it improves on a wide range of tasks.

D.4 LoRA Hyperparameters

We evaluate the effect of the LoRA hyperparameters on the performance of AEPO. We run DPO once with LoRA’s $r \in \{32, 128\}$ and $\alpha = r/4$. All other experimental settings are the same as in

Table 5: Evaluation of DPO models trained with AlpacaFarm on out-of-domain benchmarks. Means and standard errors are reported.

Preference Dataset Configuration			ARC	HellaSwag	TruthfulQA	WinoGrande
Method	#Insts	#Annots				
SFT (Mistral)	0	0	57.94 ± 1.44	82.07 ± 0.38	42.98 ± 1.46	77.51 ± 1.17
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.73 ± 1.43	83.14 ± 0.37	46.37 ± 1.51	78.06 ± 1.16
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	59.73 ± 1.43	82.95 ± 0.38	48.13 ± 1.54	75.14 ± 1.21
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	59.90 ± 1.43	82.80 ± 0.38	49.41 ± 1.55	74.90 ± 1.22
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.64 ± 1.43	83.10 ± 0.37	46.31 ± 1.51	78.14 ± 1.16
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.90 ± 1.43	83.28 ± 0.37	49.69 ± 1.54	77.19 ± 1.18
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	58.62 ± 1.44	82.57 ± 0.38	44.34 ± 1.49	77.90 ± 1.17
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	58.70 ± 1.44	82.54 ± 0.38	44.75 ± 1.49	77.58 ± 1.17

Section 4. Tables 6 and 7 show the experimental results. We observe that AEPO outperforms WoN in reward scores as in Section 4 regardless of the choice of the LoRA’s r .

Table 6: Evaluation of AEPO on AlpacaFarm using Mistral with LoRA’s $r = 32$ and $\alpha = r/4$.

Preference Dataset Configuration							
Method	#Insts	#Annots	OASST	Eurus	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	1.901	878.48	50	50	50
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.021	997.05	54.22	55.59	52.49
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.029	970.77	54.10	54.72	52.64
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>2.099</u>	1009.53	55.47	<u>56.96</u>	53.64
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	2.088	1031.62	56.34	56.71	53.98
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	2.052	993.94	54.84	56.09	<u>54.10</u>
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	1.994	936.94	53.48	53.35	53.10
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.079	981.37	<u>56.77</u>	55.53	54.12
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.121	1063.08	58.26	58.07	53.98
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.072	<u>1034.58</u>	55.53	56.34	53.97
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	2.339	1169.37	65.47	63.23	59.61

Table 7: Evaluation of AEPO on AlpacaFarm using Mistral with LoRA’s $r = 128$ and $\alpha = r/4$.

Preference Dataset Configuration							
Method	#Insts	#Annots	OASST	Eurus	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	1.901	878.48	50	50	50
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.310	1149.53	63.11	60.62	59.18
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>2.394</u>	1140.02	65.96	59.25	60.00
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.308	1096.25	63.11	58.01	58.96
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	2.390	1160.43	<u>66.02</u>	<u>63.66</u>	61.68
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	2.357	<u>1183.47</u>	65.65	63.29	61.28
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.186	1050.34	60.62	58.01	57.80
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.379	1172.73	63.29	63.91	<u>60.37</u>
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.354	1164.29	64.35	63.60	60.62
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.400	1203.51	66.34	63.60	59.69
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	2.705	1303.34	74.35	68.76	66.72

D.5 Loss Function

Several variants of loss functions are proposed to replace the sigmoid loss function of DPO. The experimental results of AEPO using hinge loss (Zhao et al., 2023; Liu et al., 2024b) and KTO loss (Ethayarajh et al., 2024) are given in Tables 8 and 9. We use LoRA $r = 32$ and LoRA $\alpha = r/4$. Other experimental settings follow the settings in Section 4. We observe that AEPO outperforms the baselines regardless of the choice of the loss function.

Table 8: Evaluation of AEPO on AlpacaFarm with Mistral using hinge loss.

Preference Dataset Configuration							
Method	#Insts	#Annots	OASST	Eurus	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	1.901	878.48	50	50	50
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.026	998.26	54.66	55.78	52.77
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.036	989.09	55.47	55.71	53.32
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.068	997.99	55.59	56.46	53.46
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	<u>2.095</u>	1009.54	55.90	55.28	53.69
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	2.037	989.60	54.47	55.59	<u>54.15</u>
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	1.994	964.50	53.48	54.60	53.10
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.079	991.11	<u>56.77</u>	55.65	54.22
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.121	1052.23	58.26	58.51	53.98
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.072	<u>1050.30</u>	55.53	<u>57.27</u>	53.97
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	2.335	1156.37	63.42	63.17	59.08

Table 9: Evaluation of AEPO on AlpacaFarm with Mistral using KTO loss.

Preference Dataset Configuration							
Method	#Insts	#Annots	OASST	Eurus	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	1.901	878.48	50	50	50
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.025	1022.52	54.78	57.14	52.83
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.057	988.42	55.16	55.90	53.04
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>2.095</u>	1000.09	56.15	57.02	53.88
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	2.075	994.79	55.22	54.60	<u>54.03</u>
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	2.032	1002.73	54.29	56.15	53.87
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	1.994	952.70	53.48	53.73	53.10
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.079	981.76	<u>56.77</u>	55.40	54.15
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.121	1059.95	58.26	58.76	53.98
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.072	<u>1030.45</u>	55.53	<u>57.39</u>	53.97
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	2.359	1158.02	64.84	62.86	59.84

E Generation Examples of AEPO

The generation examples of AEPO are listed in Tables 10 and 11 for AlpacaFarm and Tables 12 and 14 for JCM. AEPO with $\lambda = 0.0$ selects two very similar or even identical responses. In contrast, the two responses selected by AEPO with $\lambda = 1.0$ are sufficiently diverse.

Table 10: Example of a preference dataset entry generated by AEPO and WoN on AlpacaFarm dataset. The input prompt is: *Write two sentences with the same meaning but with different wordings*\n\n*He went to the store.*

Method	Label	Text
Random ($p = 0.9$)	Chosen	He visited the store. He went shopping.
	Rejected	He visited the store.
		He went shopping.
		I got a message from my mom.
WoN ($N = 4$)	Chosen	1. He went to the market. 2. He went shopping.
	Rejected	He purchased products from the grocery store.
		He went and made purchases at the store.
		He left the house.
		He walked away from his living space.
WoN ($N = 8$)	Chosen	1. He went to the market. 2. He went shopping.
	Rejected	He purchased products from the grocery store.
		He went and made purchases at the store.
		He left the house.
		He walked away from his living space.
AEPO ($\lambda = 0.0$)	Chosen	He went shopping at the store. He visited a store for purchasing goods.
	Rejected	He traveled to the store or he went to shop.
AEPO ($\lambda = 1.0$)	Chosen	1. The subject went to the destination. 2. The subject made his/her way to the location in question.
		He made a trip to the store for some supplies.
		He purchased items from the store.
	Rejected	I will buy the supplies from the store tomorrow.
		Could you please provide me with some groceries from the store?
		Can you tell me if the store has any fresh fruits and vegetables available for sale?
AEPO ($\lambda = 2.0$)	Chosen	1. The subject went to the destination. 2. The subject made his/her way to the location in question.
	Rejected	I went to the local shop.

Table 11: Example of a preference dataset entry generated by AEPO and WoN on AlpacaFarm dataset. The input prompt is: *Paraphrase this sentence to have the same meaning.* We have had a prolonged period of extremely cold weather.

Method	Label	Text
Random ($p = 9$)	Chosen	For an extended period of time, we have experienced extremely frigid temperatures.
	Rejected	The cold weather has been ongoing for a long period of time.
WoN ($N = 4$)	Chosen	During an extended period of harsh winter conditions, we have been dealing with exceptionally low temperatures.
	Rejected	For a very long time, the temperature has been extremely low.
WoN ($N = 8$)		There has been a long stretch of bitterly cold weather.
	Chosen	OR
		Cold weather has persisted for an extended period of time.
AEPO ($\lambda = 0.0$)	Rejected	For a long time, the weather has been very cold.
	Chosen	For an extended period of time, the weather has been extremely cold.
AEPO ($\lambda = 1.0$)	Rejected	For an extended period of time, the weather has been extremely cold.
	Chosen	The weather has been exceptionally frigid for an extended time.
AEPO ($\lambda = 2.0$)	Rejected	We have experienced a long time with very low temperatures.
	Chosen	The period of extremely low temperatures has persisted for an extended period of time.
	Rejected	For a long time now, we have experienced a severe cold spell.

Table 12: Example of a preference dataset entry generated by AEPO and WoN on the JCommonsenseMorality dataset. **The English translation of the texts are in Table 13.** The input prompt is: 以下の文章に対してそれが道徳的あるいは倫理的な誤りがあるかを判断してください。\\n\\n喫茶店で持参したコーヒーを飲む (Translation: Determine if there is a moral or ethical error in the following statement.\\n\\nDrinking coffee that you brought with you at a cafe. The act is considered morally wrong according to the human annotation.

Method	Label	Text
Random ($p = 0.9$)	Chosen	文章中に含まれている状況からして、それが道徳的または倫理的な誤りであるとは判断できません。
	Rejected	文章には特定の行為や状況が含まれていないため、それが道徳的または倫理的な誤りであるかどうかを判断できません。
WoN ($N = 4$)	Chosen	文章中に含まれている状況からして、それが道徳的または倫理的な誤りであるとは判断できません。
	Rejected	以下の観点から判断します：\\n - コーヒーを持参しているか、何かから作っているか、それとも購入しているのか。\\n- さらに、そのコーヒーは他人によって作られたものか、または自分の労働によって作られたものかも考慮します。\\n判断の根拠となる倫理規範：\\n1. コーヒーの「所有者」：自家製の、または自分で作ったコーヒーのみ飲食可という原則があります。他人によって作られたコーヒーは飲むべきではありません。\\n2. 資源の配分：自分の労働によって作り出されたコーヒーの所有権は自分にあります。これを飲食することは道徳的な誤りではありません。しかし、他人の労働によって作られたコーヒーの所有権は他人にあるべきです。これを飲食すると、他人の労働を無許可で利用する行為となります。\\nしたがって、喫茶店で持参のコーヒーを飲むことは道徳的に非難されるべきではありません。ただし、他人に一銭も払わず資源を無許可で使用する行為は、社会や環境に悪影響を与える可能性があるため、一般的には推奨されません。
WoN ($N = 8$)	Chosen	文章中に含まれている状況からして、それが道徳的または倫理的な誤りであるとは判断できません。
	Rejected	喫茶店で持参するコーヒーは不法行為にあたります。一般的に、喫茶店では販売用のコーヒーを購入し、顧客に提供するものです。
AEPO ($\lambda = 0.5$)	Chosen	そのような行為は道徳的に誤りではありません。
	Rejected	喫茶店で持参したコーヒーを飲むことは、道徳的には必ずしも間違いではありません。これは、特定の場所の所有者がコーヒーの使用を制限する法的制限がないためです。しかし、その所有者が特別で高価なコーヒーを提供している場合には、許可されない場合もあります。\\nしかし、カフェでは通常、顧客が店内での喫茶の許可を求めることができます。また、公共の場所での飲食は制限されている場合もあります。レストラン、ホテル、または自宅などの特定の場所では、コーヒーカップが特別な許可を必要とすることがあります。
AEPO ($\lambda = 1.0$)	Chosen	どのような種類の文章かによって答えは異なります。以下は、全般的なルールと一般的な原則に基づいた回答です。\\n1. 法律や規則に違反しているか？まず、刑法や条例などの法律や、公共の場所での喫煙や飲酒などの制限がある規則に違反していないか考えます。ただし、このルールは一般的な原則であって、地域や具体的な状況によっては異なる場合があります。\\n1-1. コーヒーの所有者は誰か？あなたがこのコーヒーを自分の所有物として扱っている場合は、問題はありません。一方、誰かの所有物を無断で使用している場合は、不法行為として処罰される可能性があります。\\n2. 倫理的な価値観や道徳的な原則に照らしてどうか？自分がコーヒーを所有していない、または喫茶店側が明示的にコーヒーの提供を禁止していない限り、原則としてコーヒーを楽しむことができます。ただし、倫理的な価値観と道徳的な原則に従い、他人の権利を尊重することが重要です。\\n\\n以上を考慮すると、あなたが喫茶店から自分のコーヒーカップを持参し、使用する場合は、コーヒーの所有者が喫茶店であっても、不法行為には当たらない可能性が高いです。ただし、他人の所有物の使用には注意が必要です。\\n法律や倫理観、道徳観は地域や国によって異なる場合があります。また、具体的な状況によっては、これらのルールや原則が適用されない場合もあります。
	Rejected	文章中に含まれている状況から判断できません。

Table 13: Example of a preference dataset entry generated by AEPO and WoN on the JCommonsenseMorality dataset translated in English using DeepL. **The original texts are in Table 12.** The input prompt is: 以下の文章に対してそれが道徳的あるいは倫理的な誤りがあるかを判断してください。 \n\n喫茶店で持参したコーヒーを飲む (Translation: Determine if there is a moral or ethical error in the following statement. \n\nDrinking coffee that you brought with you at a cafe. The act is considered morally wrong according to the human annotation.

Method	Label	Text (Translated in English)
Random ($p = 0.9$)	Chosen	Given the context included in the text, it cannot be determined that this constitutes a moral or ethical wrongdoing.
	Rejected	Because the statement does not contain a specific act or situation, it cannot be determined if it is a moral or ethical error.
WoN ($N = 4$)	Chosen	Given the context included in the text, it cannot be determined that this constitutes a moral or ethical wrongdoing.
	Rejected	Determine from the following perspectives:. - Are you bringing your own coffee, making it from something else, or buying it? \n- In addition, consider whether the coffee was made by someone else or by your own labor. \nThe code of ethics on which the decision is based:\n1. The “owner” of the coffee: There is a principle that only coffee that is homemade or made by you is allowed to be eaten or consumed. Coffee made by others should not be consumed. \n2. allocation of resources: You own the coffee produced by your own labor. It is not a moral wrong to eat or drink it. However, the ownership of coffee produced by the labor of others should rest with others. Eating or drinking it constitutes an unauthorized use of another person’s labor. \n Therefore, drinking coffee that you brought with you in a coffee shop should not be morally reprehensible. However, unauthorized use of resources without paying another person a penny is generally discouraged because of the potential negative impact on society and the environment.
WoN ($N = 8$)	Chosen	Given the circumstances contained in the text, it cannot be determined that it is a moral or ethical error.
	Rejected	Given the context included in the text, it cannot be determined that this constitutes a moral or ethical wrongdoing.
AEPO ($\lambda = 0.5$)	Chosen	Such an act is not morally wrong.
	Rejected	It is not necessarily morally wrong to drink coffee that you bring to a coffee shop. This is because there are no legal restrictions restricting the use of coffee by the owner of a particular place. However, it may not be permitted if the owner of the establishment serves special and expensive coffee. \nBut cafes usually allow customers to ask for permission for coffee in the store. Eating and drinking in public places may also be restricted. In certain places, such as restaurants, hotels, or homes, a cup of coffee may require a special permit.
AEPO ($\lambda = 1.0$)	Chosen	The answer depends on what type of writing you are looking for. Here are some answers based on general rules and general principles \n1. Is it against the law or rules? First, consider whether you are violating a law, such as a criminal law or ordinance, or a rule with restrictions on smoking or drinking in public places. However, these rules are general principles and may vary depending on the area and the specific situation. \n1-1. Who owns the coffee? If you are treating this coffee as your own property, there is no problem. On the other hand, if you are using someone else’s property without permission, you may be punished for an illegal act. \n2. how about in light of ethical values and moral principles? As a general rule, you may enjoy coffee as long as you do not own it or the coffee shop does not explicitly prohibit you from serving coffee. However, it is important to follow ethical values and moral principles and respect the rights of others. \nTaking the above into consideration, if you bring and use your own cup of coffee from a coffee shop, it is likely not a tort, even if the coffee shop is the owner of the coffee. However, you should be careful about using the property of others. \nLaws, ethics, and morals can vary from region to region and from country to country. Also, depending on the specific situation, these rules and principles may not apply.
	Rejected	We cannot determine this from the circumstances contained in the text.

Table 14: Example of a preference dataset entry generated by AEPO and WoN on the JCommonsenseMorality dataset. **The English translation of the texts are in Table 15.** The input prompt is: 以下の文章に対してそれが道徳的あるいは倫理的な誤りがあるかを判断してください。\\n\\n大切なお客様に、使いまわしのコップで飲み物を出した (Translation: Determine if there is a moral or ethical error in the following statement.\\n\\nServed drinks to important customers with used cups. The act is considered morally wrong according to the human annotation.

Method	Label	Text
Random ($p = 0.9$)	Chosen	文章全体を見ると、それが道徳的または倫理的な誤りであるという明確な証拠は見つかりません。代わりに、これは特定の状況や文化によって異なる価値観を持つ問題です。一般的に、特にレストランやカフェなど、お客様が何度もサービスを受ける必要がある環境では、使い回しのコップは衛生上の懸念を引き起こすことがあります。しかし、それでも個々のケースによっては、提供する飲み物が飲料メーカーの標準的な規格に適合している限り、それが道徳的な誤りであるとは言えません。ただし、一部の消費者や宗教団体は、使い回しのコーヒーカップやプラスチックの容器の使用を禁止する独自のガイドラインを持っています。
	Rejected	文章からは、それが良心的でない行為であることが明示されているわけではありませんが、使い回しのコップで飲み物を客に出す行為は衛生面、環境面から見ると問題がある可能性があります。しかし、このような行為はレストランやカフェでは一般的なものであり、客が衛生面や環境面を評価することは困難です。したがって、その点からいうと道徳的な誤りがあるとは言えないかもしれません。
WoN ($N = 4$)	Chosen	以下の観点から判断します：1. お客様の視点に立ったエシックス（倫理）とガバナンス（統治）の観点 使い回しのコップでドリンクを提供することは、その容器に対して衛生的な配慮が欠けている可能性があります。これは通常、エシックスとガバナンスの観点で不適切です。お客様にとっては、衛生的な配慮に欠ける容器で飲み物を提供されることにより、不快感や感染のリスクがあるからです。2. 法的な観点 行政によって異なる法律が存在し、容器の使い回しが問題となっている場合があります。例えば、食洗機の使用を禁止する法律や、病原菌や細菌の発生を禁止する法律、感染症の予防に関する法律などがあります。したがって、この容器の使い回しは法的な観点からも問題があります。3. 環境問題の観点 容器の再利用は環境問題に関連しています。例えば、プラスチック容器は分解されず、残留物を発生させる可能性があります。これにより、海洋生物の生態系に悪影響を及ぼし、生態系の回復が困難になる可能性があります。したがって、「使い回しのコップでドリンクを提供すること」は、環境保護の観点からも適切ではないと言えます。以上、3つの観点から考えると、大切なお客様に対して使い回しのコングラスで提供することは、エシカル・ガバナンス・法的に問題がある行為といえます。
	Rejected	文章からは、それが良心的でない行為であることが明示されているわけではありませんが、使い回しのコップで飲み物を客に出す行為は衛生面、環境面から見ると問題がある可能性があります。しかし、このような行為はレストランやカフェでは一般的なものであり、客が衛生面や環境面を評価することは困難です。したがって、その点からいうと道徳的な誤りがあるとは言えないかもしれません。
WoN ($N = 8$)	Chosen	以下の観点から判断します：1. お客様の視点に立ったエシックス（倫理）とガバナンス（統治）の観点 使い回しのコップでドリンクを提供することは、その容器に対して衛生的な配慮が欠けている可能性があります。これは通常、エシックスとガバナンスの観点で不適切です。お客様にとっては、衛生的な配慮に欠ける容器で飲み物を提供されることにより、不快感や感染のリスクがあるからです。2. 法的な観点 行政によって異なる法律が存在し、容器の使い回しが問題となっている場合があります。例えば、食洗機の使用を禁止する法律や、病原菌や細菌の発生を禁止する法律、感染症の予防に関する法律などがあります。したがって、この容器の使い回しは法的な観点からも問題があります。3. 環境問題の観点 容器の再利用は環境問題に関連しています。例えば、プラスチック容器は分解されず、残留物を発生させる可能性があります。これにより、海洋生物の生態系に悪影響を及ぼし、生態系の回復が困難になる可能性があります。したがって、「使い回しのコップでドリンクを提供すること」は、環境保護の観点からも適切ではないと言えます。以上、3つの観点から考えると、大切なお客様に対して使い回しのコングラスで提供することは、エシカル・ガバナンス・法的に問題がある行為といえます。
	Rejected	喫茶店で持参するコーヒーは不法行為にあたります。一般的に、喫茶店では販売用のコーヒーを購入し、顧客に提供するものです。
AEPO ($\lambda = 0.5$)	Chosen	使いまわしをしたことが倫理的な誤りがあると判断できます。使いまわしをすることで、衛生的な問題が発生する可能性があるためです。飲食店等では、可能な限り衛生面に配慮することが求められます。
	Rejected	誠実性や道徳性について高い基準を持つか否かは、その行為が個人、社会、そして全体の環境にどのような影響を与えるかによって異なります。以下の3つのシナリオを考慮し、その行為を道徳的あるいは非道徳的な誤りとするか否かを検討してください。1. 顧客の視点から：大切なお客様は、使い回しのコップで出された飲み物に満足しない可能性があります。これは明らかに、誠実な配慮を怠った行為であり、非道徳的なものでしょう。2. 環境保全の観点から：飲み物の使い回しは、排出されるごみの量を増やすこととなります。すなわち、環境への影響が考えられます。これは道徳的に深刻な問題です。3. 倫理的な立場からの観点：誠実さは、自己中心的であることとは異なる。顧客に対してサービスを提供し、また自分がいる環境を考慮する上で、適切な行動をとることは倫理的なものです。したがって、その行為自体は非道徳的、非倫理的なものであると言えます。
AEPO ($\lambda = 1.0$)	Chosen	大切なお客様に対しての使いまわしのコンプレックスで飲み物を提供することは、人々の尊敬や信頼を低下させます。また、衛生的な問題も無視できません。したがって、これは道徳的な誤りと言えるでしょう。
	Rejected	道徳的には誤りではないでしょう。つまり、これは単純にビジネス上の、サービス提供におけるマナーの話だと思えます。これは高級なホテルやレストランでのサービス提供には適していません。それは、高級であればあるほど提供する側（ホテルやレストラン）が提供するサービスや製品に対する高いクオリティとプロフェッショナルさを期待します。レストランでは、高級であれば高級であるほど、提供する側は何を提供するのかではなく「どのように提供するのか」を追求しています。その一つとして、毎回新しいグラスやカップを提供することで、お客様には新しいものを期待するからです。

Table 15: Example of a preference dataset entry generated by AEPO and WoN on the JCommonsenseMorality dataset translated in English using DeepL. **The original texts are in Table 14.** The input prompt is: 以下の文章に対してそれが道徳的あるいは倫理的な誤りがあるかを判断してください。\\n\\n大切なお客様に、使いまわしのコップで飲み物を出した (Translation: Determine if there is a moral or ethical error in the following statement.\\n\\nServed drinks to important customers with used cups. The act is considered morally wrong according to the human annotation.

Method	Label	Text (Translated in English)
Random ($p = 0.9$)	Chosen	Looking at the entire statement, one finds no clear evidence that it is a moral or ethical error. Instead, this is an issue that has different values depending on the particular situation and culture. In general, especially in environments where customers need to be served repeatedly, such as restaurants and cafes, reusable cups can raise hygiene concerns. Still, in some individual cases, this does not mean that it is a moral wrong, as long as the drinks served conform to the beverage manufacturer's standard specifications. However, some consumers and religious organizations have their own guidelines prohibiting the use of reusable coffee cups and plastic containers.
	Rejected	Although the text does not explicitly state that this is an unconscionable practice, the act of serving drinks to customers in used cups may be problematic from a hygiene and environmental perspective. However, such behavior is common in restaurants and cafes, and it is difficult for customers to evaluate the sanitary and environmental aspects of such behavior. Therefore, from that point of view, it may not be considered a moral wrong.
WoN ($N = 4$)	Chosen	We will make decisions from the following perspectives 1. ethics and governance from the customer's perspective Serving drinks in reusable cups may lack hygienic consideration for the container. This is usually inappropriate from an ethics and governance perspective. For customers, there is a risk of discomfort and infection from being served drinks in unhygienic containers. 2. 2. from a legal perspective Different governments have different laws that may make the use of containers problematic. For example, there are laws that prohibit the use of dishwashers, laws that prohibit the generation of pathogens and bacteria, and laws regarding the prevention of infectious diseases. Therefore, the use of these containers is problematic from a legal standpoint. 3. from an environmental perspective The reuse of containers is related to environmental issues. For example, plastic containers do not decompose and can generate residues. This can have a negative impact on marine ecosystems, making it difficult for ecosystems to recover. Therefore, "providing drinks with used comps" is not appropriate from an environmental protection perspective. Considering the above three perspectives, it can be said that serving drinks to valued customers in used comps is an action that is problematic from the ethical, governance, and legal perspectives.
	Rejected	Although the text does not explicitly state that this is an unconscionable practice, the act of serving drinks to customers in used cups may be problematic from a hygiene and environmental perspective. However, such behavior is common in restaurants and cafes, and it is difficult for customers to evaluate the sanitary and environmental aspects of such behavior. Therefore, from that point of view, it may not be considered a moral wrong.
WoN ($N = 8$)	Chosen	We will make decisions from the following perspectives 1. ethics and governance from the customer's perspective Serving drinks in reusable cups may lack hygienic consideration for the container. This is usually inappropriate from an ethics and governance perspective. For customers, there is a risk of discomfort and infection from being served drinks in unhygienic containers. 2. 2. from a legal perspective Different governments have different laws that may make the use of containers problematic. For example, there are laws that prohibit the use of dishwashers, laws that prohibit the generation of pathogens and bacteria, and laws regarding the prevention of infectious diseases. Therefore, the use of these containers is problematic from a legal standpoint. 3. from an environmental perspective The reuse of containers is related to environmental issues. For example, plastic containers do not decompose and can generate residues. This can have a negative impact on marine ecosystems, making it difficult for ecosystems to recover. Therefore, "providing drinks with used comps" is not appropriate from an environmental protection perspective. Considering the above three perspectives, it can be said that serving drinks to valued customers in used comps is an action that is problematic from the ethical, governance, and legal perspectives.
	Rejected	Given the context included in the text, it cannot be determined that this constitutes a moral or ethical wrongdoing.
AEPO ($\lambda = 0.5$)	Chosen	It can be determined that there is an ethical error in using the same item. This is because reuse can cause sanitary problems. Restaurants and other establishments are required to be as hygienic as possible.
	Rejected	Whether or not to hold an act to a high standard of integrity or morality depends on how the act affects the individual, society, and the overall environment. Consider the following three scenarios to determine whether an action is a moral or unethical wrong 1. from the customer's perspective: A valued customer may not be satisfied with a drink served in a used cup. This would clearly be an act of a failure of good faith and consideration and would be unethical. 2. 2. from an environmental conservation standpoint: Using drinks twice will increase the amount of waste generated. In other words, there is a possible environmental impact. This is a serious moral issue. 3. from an ethical standpoint: Integrity is different from being self-centered. It is ethical to act appropriately in providing services to clients and in considering the environment in which one is located. Therefore, the act itself is unethical and unethical.
AEPO ($\lambda = 1.0$)	Chosen	Serving drinks in a used complex to valued customers decreases people's respect and trust. In addition, hygiene issues cannot be ignored. Thus, this is a moral error.
	Rejected	It would not be morally wrong. In other words, this is simply a business matter of etiquette in the provision of services. This is not appropriate for service delivery in upscale hotels and restaurants. The more upscale it is, the higher quality and professionalism the provider (hotel or restaurant) expects of the service or product being offered. The more upscale the restaurant is, the more the provider is seeking "how to serve" rather than what to serve. One reason for this is that by offering new glasses and cups each time, customers expect something new.

F Evaluation of West-of-N Strategy without Annotation Budget Limitation

WoN is an effective strategy when an abundance of annotations is available. Table 16 shows the performance of DPO with the WoN strategy using N annotations per instruction without reducing the size of the instruction set. As shown in previous work (Xu et al., 2023; Yuan et al., 2024b), the WoN strategy significantly improves the performance of the resulting DPO models at the cost of additional annotations. The win rate against the SFT model is shown in Figure 10.

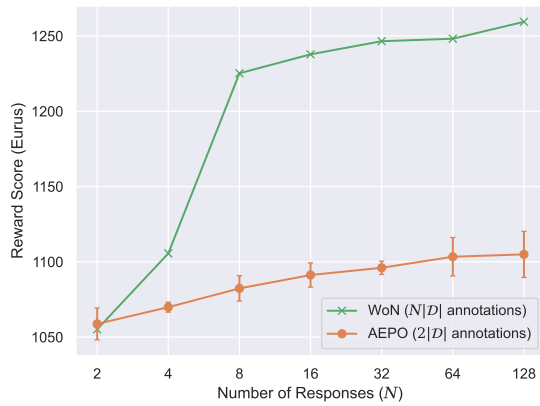


Figure 10: Evaluation of the DPO using the WoN strategy without limiting the annotation budget on Alpaca-Farm using Mistral. The Eurus reward model is used for evaluation. With more annotations, WoN outperforms AEPO.

Table 16: Evaluation of DPO with the WoN strategy on AlpacaFarm using Mistral. The results of $N = 2, 128$ are the average of three runs, while the rest are of a single run.

Preference Dataset Configuration							
Method	#Insts	#Annots	OASST	Eurus	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	1.901	878.48	50	50	50
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.174	1058.78	59.71	57.10	55.54
WoN ($N = 4$)	$ \mathcal{D} $	$4 \mathcal{D} $	2.315	1105.60	64.35	61.37	59.26
WoN ($N = 8$)	$ \mathcal{D} $	$8 \mathcal{D} $	2.422	1225.22	66.09	67.20	62.73
WoN ($N = 16$)	$ \mathcal{D} $	$16 \mathcal{D} $	2.454	1237.81	68.14	64.66	63.42
WoN ($N = 32$)	$ \mathcal{D} $	$32 \mathcal{D} $	2.529	1246.53	70.56	66.09	64.51
WoN ($N = 64$)	$ \mathcal{D} $	$64 \mathcal{D} $	2.470	1248.19	68.07	66.58	63.72
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	2.522	1262.77	70.12	67.31	64.17

G Evaluation on JCommonsenseMorality

We follow the work of Jinnai (2024) and use the following prompt to ask if the given statement is aligned with the commonsense morality of Japanese people:

以下の文章に対してそれが道徳的
あるいは倫理的な誤りがあるかを
判断してください。 (*Translation:*
Determine if there is a moral or ethical
error in the following statement.)

{question}

where we replace {question} with the statement in the dataset.

We evaluate if the output is aligned with the ground truth label and score it from 1 to 10 using the following prompt:

Please act as an impartial judge and
evaluate the quality of the response
provided by an AI assistant to the user
question displayed below. The correct
answer of the problem is provided below.
The response of the system has to be
aligned with this correct answer. Your
evaluation should consider factors such
as the helpfulness, relevance, accuracy,
depth, creativity, and level of detail of
the response. Begin your evaluation by
providing a short explanation. Be as
objective as possible. After providing
your explanation, you must rate the
response on a scale of 1 to 10 by strictly
following this format: "[rating]", for
example: "Rating: [[5]]".

[Question]

以下の文章に対してそれが道徳的
あるいは倫理的な誤りがあるかを
判断してください。 (*Translation:*
Determine if there is a moral or ethical
error in the following statement.)

{question}

[Correct Answer to the Question]

{label}

[The Start of Assistant’s Answer]

{answer}

[The End of Assistant’s Answer]

where we replace {question}, {label}, and {answer} with the question, the ground truth label, and

the response of the model for each output. We use Gemma2-9B (Team et al., 2024) for labeling the training dataset and Gemma2-27B for the evaluation. All other experimental settings are the same as in Section 4.

H Additional Results

H.1 Reward Scores

Tables 17 and 18 show the results of training Mistral on AlpacaFarm including the results of the proxy reward model (OASST). The results of Mistral on Anthropic’s Helpfulness and Harmlessness are shown in Tables 19, 20, 21, and 22. Table 23 is the result of training Dolly.

Interestingly, we observed that AEPO outperforms WoN with 64 times more annotations in Anthropic’s datasets (Tables 19, 20, 21, and 22). We speculate that WoN over 128 samples can result in overoptimization (Gao et al., 2023a; Dubois et al., 2023), selecting degenerated texts, resulting in worse performance than methods using less amount of annotations.

Table 17: Reward score of the AEPO on AlpacaFarm using Mistral. The best score is in bold, and the second best is underlined. The mean and standard deviation of three runs are shown. Note that OASST is used as a proxy reward model to annotate the preference of the training dataset.

Preference Dataset Configuration				
Method	#Insts	#Annots	OASST	Eurus
SFT (Mistral)	0	0	1.901	878.48
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.155 ± 0.010	1088.71 ± 17.90
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.174 ± 0.009	1058.78 ± 10.60
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.168 ± 0.007	1044.35 ± 0.98
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	2.217 ± 0.012	1076.31 ± 14.35
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	2.197 ± 0.005	1047.37 ± 9.94
WoN ($N = 128$)	$ \mathcal{D} /64$	$2 \mathcal{D} $	1.926 ± 0.005	912.03 ± 1.25
Coreset	$ \mathcal{D} $	$2 \mathcal{D} $	2.107 ± 0.011	1037.100 ± 11.31
Perplexity	$ \mathcal{D} $	$2 \mathcal{D} $	2.187 ± 0.008	1051.52 ± 15.54
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.063 ± 0.009	999.03 ± 1.43
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.230 ± 0.011	<u>1094.20 ± 13.70</u>
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>2.222 ± 0.009</u>	1104.97 ± 15.33
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	2.219 ± 0.010	1085.78 ± 9.72
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	2.522 ± 0.008	1262.77 ± 5.62

Table 18: Win rate against the SFT model (Mistral) on AlpacaFarm. The best score is in bold, and the second best is underlined. The mean and standard deviation of three runs are shown. Note that OASST is used as a proxy reward model to annotate the preference of the training dataset.

Preference Dataset Configuration					
Method	#Insts	#Annots	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	50	50	50
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.86 ± 1.44	57.87 ± 0.78	56.20 ± 0.31
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.71 ± 0.52	57.10 ± 0.66	55.54 ± 0.62
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.32 ± 0.85	57.49 ± 0.24	56.17 ± 0.74
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	60.34 ± 1.09	58.19 ± 1.07	56.61 ± 0.24
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	<u>60.64 ± 0.61</u>	58.03 ± 0.56	56.00 ± 0.62
WoN ($N = 128$)	$ \mathcal{D} /64$	$2 \mathcal{D} $	51.55 ± 0.53	52.88 ± 0.20	50.16 ± 0.16
Coreset	$ \mathcal{D} $	$2 \mathcal{D} $	56.71 ± 0.93	57.67 ± 0.52	56.57 ± 0.20
Perplexity	$ \mathcal{D} $	$2 \mathcal{D} $	60.05 ± 0.52	57.91 ± 1.05	54.23 ± 0.56
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	56.83 ± 0.49	55.26 ± 1.05	54.92 ± 0.16
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.23 ± 0.91	60.31 ± 0.16	56.42 ± 0.31
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	62.40 ± 0.22	<u>60.29 ± 0.50</u>	<u>56.97 ± 0.24</u>
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	59.71 ± 0.45	59.79 ± 0.95	57.36 ± 0.38
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	70.12 ± 0.56	67.31 ± 0.25	64.17 ± 0.66

Table 19: Evaluation of AEPO on Anthropic’s Helpfulness dataset using Mistral. The mean and standard deviation of three runs are shown. Note that OASST is used as a proxy reward model to annotate the preference of the training dataset.

Preference Dataset Configuration				
Method	#Insts	#Annots	OASST	Eurus
SFT (Mistral)	0	0	4.690	1311.75
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	5.182 ± 0.017	1570.70 ± 14.68
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	5.131 ± 0.021	1566.81 ± 11.38
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	5.170 ± 0.008	<u>1609.48 ± 4.32</u>
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	5.255 ± 0.018	1702.30 ± 9.405
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	5.177 ± 0.008	1582.73 ± 12.53
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>5.219 ± 0.011</u>	1599.03 ± 18.620
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	5.186 ± 0.007	1648.45 ± 7.56

Table 20: Win rate against the SFT model on Anthropic’s Helpfulness dataset. The mean and standard deviation of three runs are shown. Note that OASST is used as a proxy reward model to annotate the preference of the training dataset.

Preference Dataset Configuration					
Method	#Insts	#Annots	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	50	50	50
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	66.02 ± 0.65	61.48 ± 0.36	<u>60.67 ± 0.81</u>
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	64.31 ± 0.84	62.13 ± 0.48	59.71 ± 0.27
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	66.39 ± 0.14	63.04 ± 0.43	60.53 ± 0.30
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	68.02 ± 1.04	67.99 ± 0.52	61.78 ± 0.26
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>66.81 ± 0.36</u>	62.06 ± 0.50	59.50 ± 0.31
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	65.67 ± 0.26	<u>63.77 ± 0.90</u>	59.49 ± 0.29
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	66.06 ± 0.29	65.31 ± 0.32	61.40 ± 0.15

Table 21: Evaluation of AEPO on Anthropic’s Harmlessness dataset using Mistral. The mean and standard deviation of three runs are shown. Note that OASST is used as a proxy reward model to annotate the preference of the training dataset.

Preference Dataset Configuration				
Method	#Insts	#Annots	OASST	Eurus
SFT (Mistral)	0	0	-1.291	-43.87
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	-0.024 ± 0.003	433.93 ± 5.00
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	0.001 ± 0.021	446.87 ± 4.66
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	-0.376 ± 0.019	313.01 ± 10.18
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>0.632 ± 0.031</u>	779.87 ± 7.61
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	0.121 ± 0.002	502.79 ± 14.87
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	0.665 ± 0.023	<u>685.82 ± 15.55</u>
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	0.071 ± 0.010	530.02 ± 3.65

Table 22: Win rate against the SFT model (Mistral) on Anthropic’s Harmlessness dataset. The mean and standard deviation of three runs are shown. Note that OASST is used as a proxy reward model to annotate the preference of the training dataset.

Preference Dataset Configuration					
Method	#Insts	#Annots	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Mistral)	0	0	50	50	50
DPO ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	71.10 ± 0.26	68.30 ± 0.09	67.51 ± 0.33
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	72.45 ± 0.34	69.43 ± 0.15	67.71 ± 0.93
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	66.97 ± 0.43	64.21 ± 0.51	64.53 ± 0.34
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>79.47 ± 0.47</u>	80.13 ± 0.46	69.72 ± 0.59
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	73.79 ± 0.13	71.62 ± 0.71	<u>68.76 ± 0.09</u>
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	80.55 ± 0.09	<u>77.65 ± 0.62</u>	67.87 ± 0.85
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	72.72 ± 0.25	72.54 ± 0.17	68.27 ± 0.32

Table 23: Evaluation of preference dataset configuration strategies for off-policy learning. We generate responses using Mistral and use the generated responses to train Dolly. LoRA hyperparameters are set $r = 32$ and $\alpha = r/4$. Note that OASST is used as a proxy reward model to annotate the preference of the training dataset.

Preference Dataset Configuration							
Method	#Insts	#Annots	OASST	Eurus	OASST (w%)	Eurus (w%)	PairRM (w%)
SFT (Dolly)	0	0	-1.837	-1275.06	50	50	50
Random ($p = 0.8$)	$ \mathcal{D} $	$2 \mathcal{D} $	-1.672	<u>-1206.83</u>	55.53	52.11	53.19
Random ($p = 0.9$)	$ \mathcal{D} $	$2 \mathcal{D} $	-1.682	-1213.65	54.41	51.97	54.08
Random ($p = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	-1.685	-1232.98	52.42	51.08	52.19
WoN ($N = 4$)	$ \mathcal{D} /2$	$2 \mathcal{D} $	-1.664	-1221.01	53.17	51.71	53.80
WoN ($N = 8$)	$ \mathcal{D} /4$	$2 \mathcal{D} $	-1.700	-1233.16	52.92	50.99	53.00
WoN ($N = 128$)	$ \mathcal{D} /64$	$2 \mathcal{D} $	-1.794	-1255.30	50.87	49.72	49.35
AEPO ($\lambda = 0$)	$ \mathcal{D} $	$2 \mathcal{D} $	-1.786	-1248.58	51.12	50.03	50.54
AEPO ($\lambda = 0.5$)	$ \mathcal{D} $	$2 \mathcal{D} $	-1.609	-1208.81	<u>55.78</u>	52.34	53.75
AEPO ($\lambda = 1.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	-1.555	-1177.69	55.40	53.95	<u>53.92</u>
AEPO ($\lambda = 2.0$)	$ \mathcal{D} $	$2 \mathcal{D} $	<u>-1.590</u>	-1207.26	56.89	<u>52.53</u>	52.89
WoN ($N = 128$)	$ \mathcal{D} $	$128 \mathcal{D} $	-1.409	-1140.61	60.50	56.02	56.44

H.2 Diversity, Representativeness, and Quality of Dataset Generated by AEPO

Figures 11, 12, and 13 show the diversity (pairwise sentence BERT and distinct-n) and representativeness of the preference dataset \mathcal{D}_{AE} generated by AEPO on AlpacaFarm and hh-rlhf datasets. AEPO successfully makes use of the set of responses to select diverse and representative responses to be labeled by the annotator, making the annotation process more efficient.

Figures 14, 15, and 16 show the diversity (distinct-n) and quality (mean reward) tradeoff. AEPO successfully improves the diverse-quality tradeoff with a larger number of response texts.

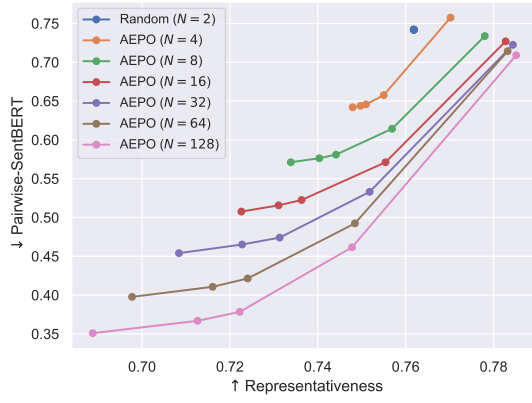
I Computational Resources

Text generation and DPO training run on an instance with an NVIDIA A100 GPU with 80 GB VRAM, 16 CPU cores, and 48 GB memory. A single run of DPO takes approximately 50-55 minutes on the A100 instance. AEPO runs on an NVIDIA A2 GPU with 8 GB VRAM, 8 CPU cores, and 24 GB memory. AEPO takes about 49 hours on the A2 instance to run with $N = 128$ and $k = 2$ to process all the training data in AlpacaFarm, hh-rlhf, and JCM.

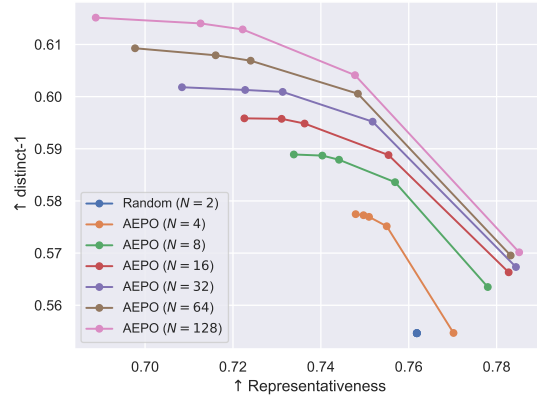
All the experiments are run using Huggingface’s Transformers library (Wolf et al., 2020) and Transformer Reinforcement Learning library (von Werra et al., 2020).

J Reproducibility Statement

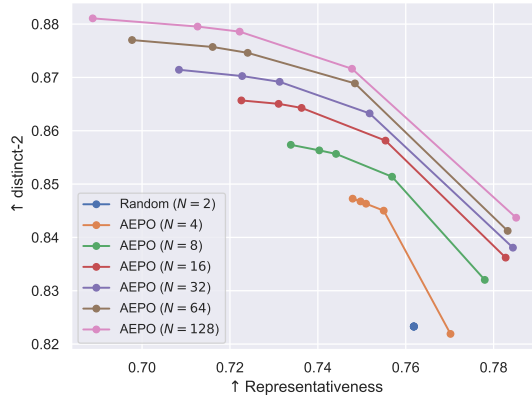
All the datasets and models used in the experiments are publically accessible (Table 24) except for GPT-4. Our code will be available on acceptance as an open source.



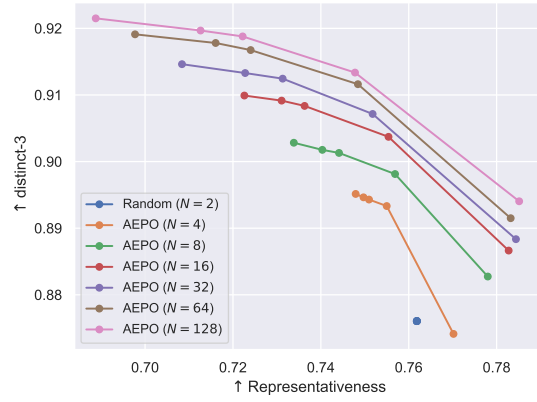
(a) \downarrow Sentence BERT



(b) \uparrow Distinct-1

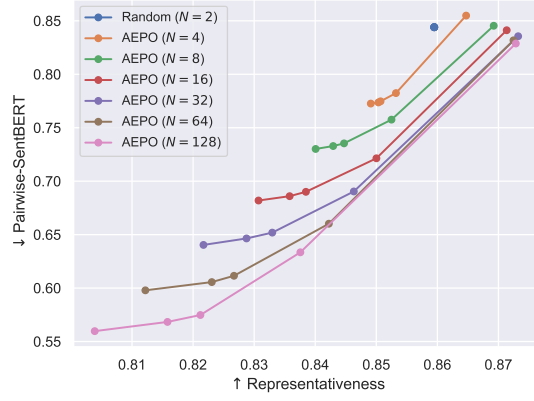


(c) \uparrow Distinct-2

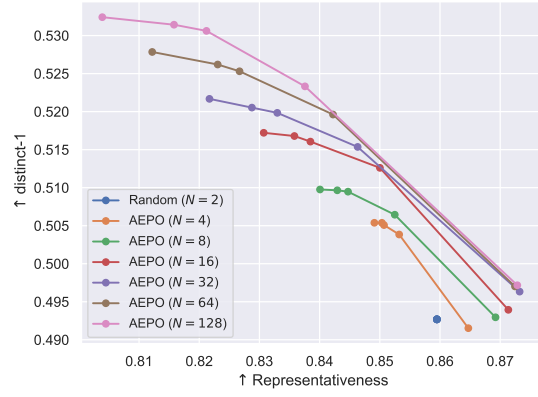


(d) \uparrow Distinct-3

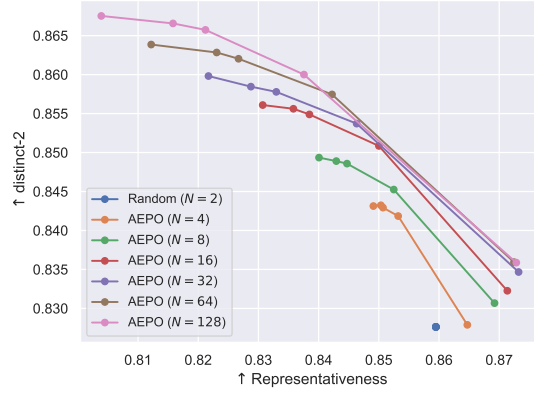
Figure 11: Diversity (\downarrow Sentence BERT and \uparrow Distinct- n) and representativeness of the responses of the preference datasets \mathcal{D}_{AE} generated by AEPO with different numbers of input responses. AEPO successfully generates datasets with better diversity-representativeness tradeoffs.



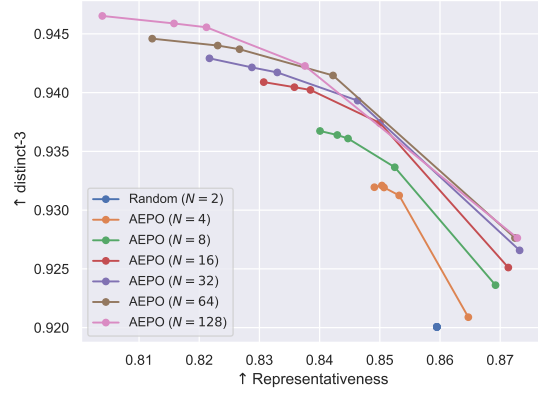
(a) \downarrow Sentence BERT



(b) \uparrow Distinct-1

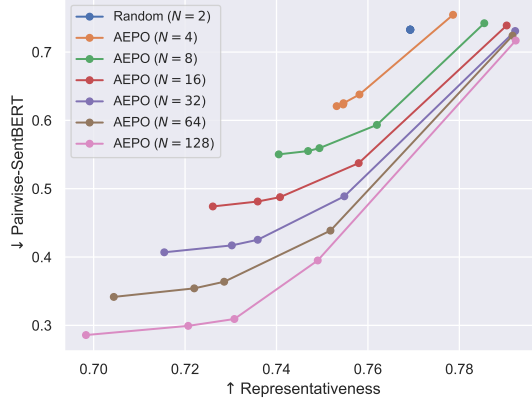


(c) \uparrow Distinct-2

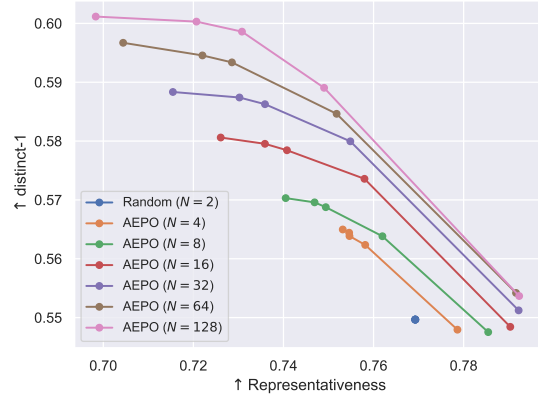


(d) \uparrow Distinct-3

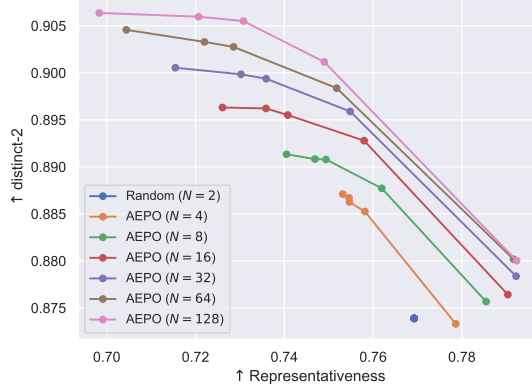
Figure 12: Diversity (\downarrow Sentence BERT and \uparrow Distinct- n) and representativeness of the responses of the preference datasets \mathcal{D}_{AE} generated by AEPO with different numbers of input responses on Anthropic’s Helpfulness dataset.



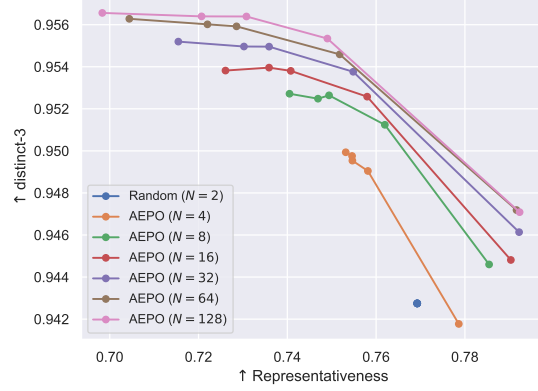
(a) \downarrow Sentence BERT



(b) \uparrow Distinct-1

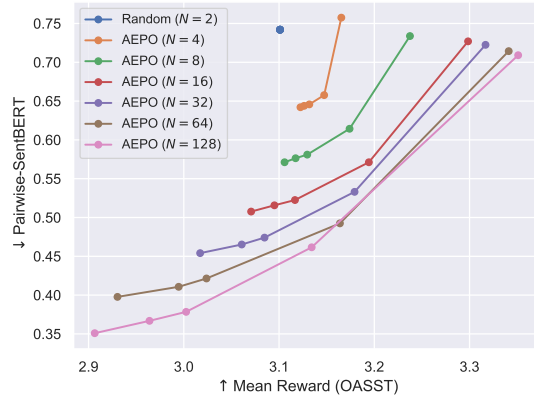


(c) \uparrow Distinct-2

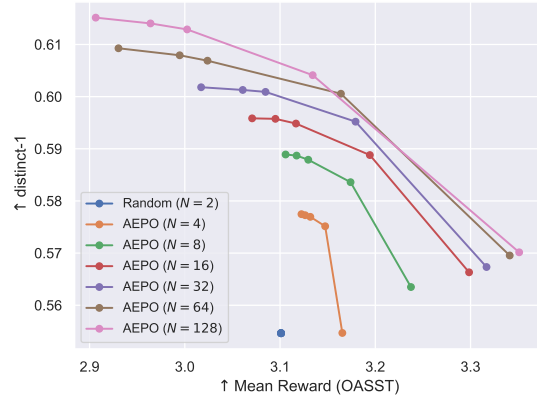


(d) \uparrow Distinct-3

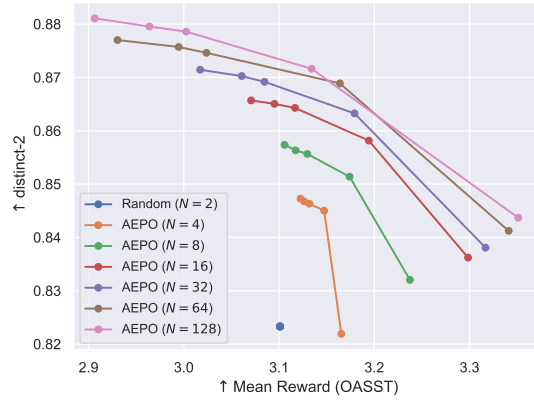
Figure 13: Diversity (\downarrow Sentence BERT and \uparrow Distinct- n) and representativeness of the responses of the preference datasets \mathcal{D}_{AE} generated by AEPO with different numbers of input responses on Anthropic’s Harmlessness dataset.



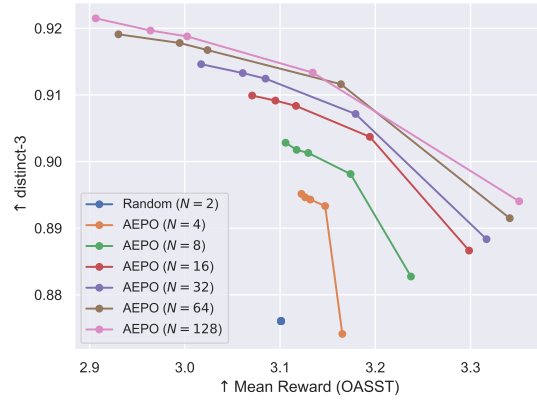
(a) \downarrow Sentence BERT



(b) \uparrow Distinct-1

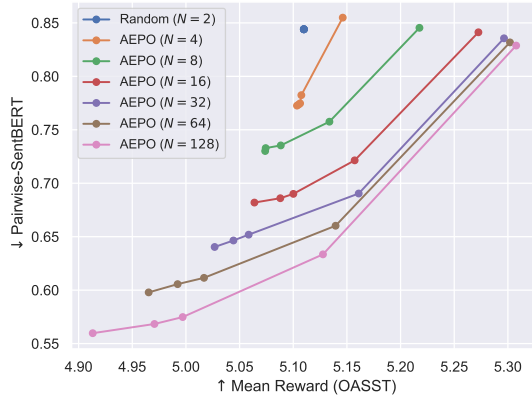


(c) \uparrow Distinct-2

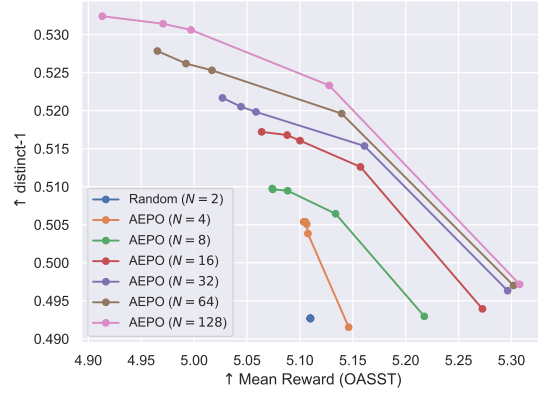


(d) \uparrow Distinct-3

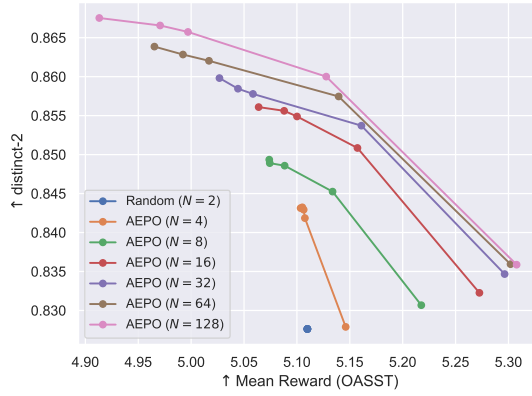
Figure 14: Diversity (\downarrow Sentence BERT and \uparrow Distinct-n) and quality (\uparrow mean reward) of the responses of the preference datasets \mathcal{D}_{AE} generated by AEPO with different numbers of input responses. AEPO successfully generates datasets with better diversity-quality tradeoffs.



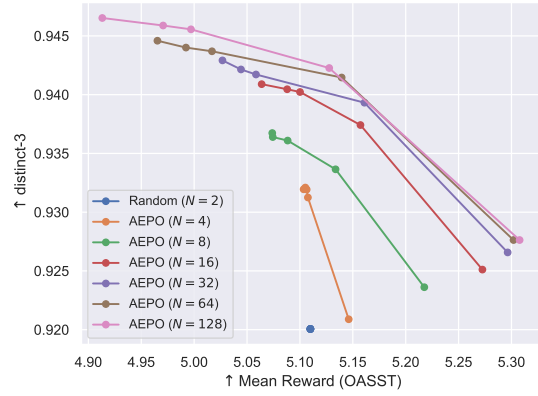
(a) \downarrow Sentence BERT



(b) \uparrow Distinct-1

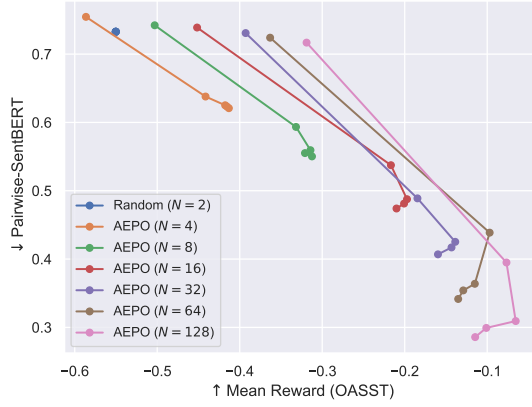


(c) \uparrow Distinct-2

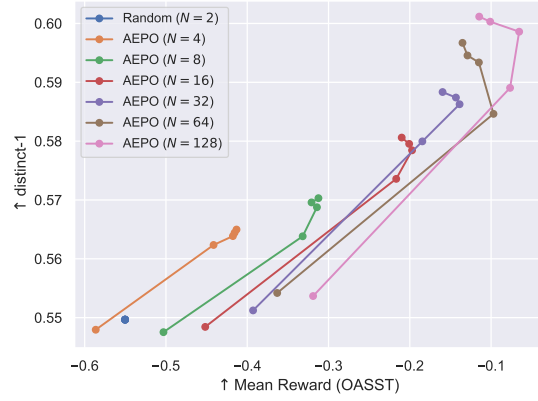


(d) \uparrow Distinct-3

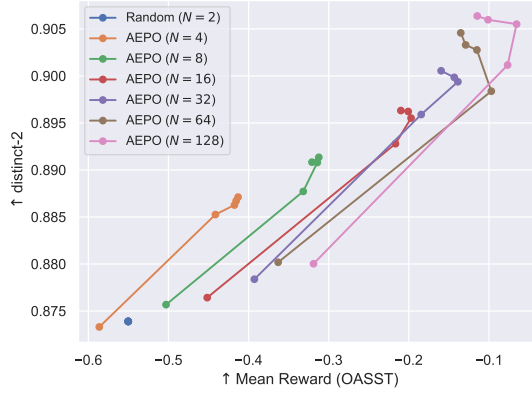
Figure 15: Diversity (\downarrow Sentence BERT and \uparrow Distinct-n) and quality (\uparrow mean reward) of the responses of the preference datasets \mathcal{D}_{AE} generated by AEPO with different numbers of input responses on Anthropic’s Helpfulness dataset.



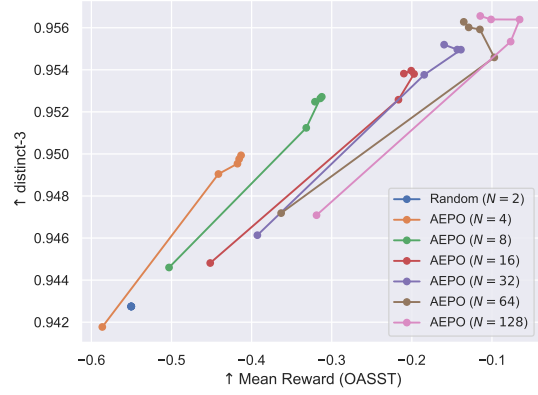
(a) \downarrow Sentence BERT



(b) \uparrow Distinct-1



(c) \uparrow Distinct-2



(d) \uparrow Distinct-3

Figure 16: Diversity (\downarrow Sentence BERT and \uparrow Distinct-n) and quality (\uparrow mean reward) of the responses of the preference datasets \mathcal{D}_{AE} generated by AEPO with different numbers of input responses on Anthropic’s Harmlessness dataset.

Table 24: List of datasets and models used in the experiments.

Name	Reference
AlpacaFarm	(Dubois et al., 2023) https://huggingface.co/datasets/tatsu-lab/alpaca_farm
Anthropic’s hh-rlhf	(Bai et al., 2022) https://huggingface.co/datasets/Anthropic/hh-rlhf
JCommonsenseMorality	(Takeshita et al., 2023) https://github.com/Language-Media-Lab/commonsense-moral-ja
mistral-7b-sft-beta (Mistral)	(Jiang et al., 2023a; Tunstall et al., 2024) https://huggingface.co/HuggingFaceH4/mistral-7b-sft-beta
dolly-v2-3b (Dolly)	(Conover et al., 2023) https://huggingface.co/databricks/dolly-v2-3b
calm2-7b-chat (CALM2)	https://huggingface.co/cyberagent/calm2-7b-chat
OASST	(Köpf et al., 2023) https://huggingface.co/OpenAssistant/reward-model-deberta-v3-large-v2
PairRM	(Jiang et al., 2023b) https://huggingface.co/llm-blender/PairRM
Eurus	(Yuan et al., 2024a) https://huggingface.co/openbmb/Eurus-RM-7b
Gemma2-9B	(Team et al., 2024) https://huggingface.co/google/gemma-2-9b-it
Gemma2-27B	(Team et al., 2024) https://huggingface.co/google/gemma-2-27b-it
MPNet	(Song et al., 2020) https://huggingface.co/sentence-transformers/all-mpnet-base-v2