

Investigating Agency of LLMs in Human-AI Collaboration Tasks

Anonymous ACL submission

Abstract

Agency, the capacity to proactively shape events, is central to how humans interact and collaborate. While LLMs are being developed to simulate human behavior and serve as human-like agents, little attention has been given to the Agency that these models should possess in order to proactively manage the direction of interaction and collaboration. In this paper, we investigate Agency as a desirable function of LLMs, and how it can be measured and managed. We build on social-cognitive theory to develop a framework of features through which Agency is expressed in dialogue – indicating what you intend to do (*Intentionality*), motivating your intentions (*Motivation*), having self-belief in intentions (*Self-Efficacy*), and being able to self-adjust (*Self-Regulation*). We collect a new dataset of 83 human-human collaborative interior design conversations containing 908 conversational snippets annotated for Agency features. Using this dataset, we develop methods for measuring Agency of LLMs. Automatic and human evaluations show that models that manifest features associated with high Intentionality, Motivation, Self-Efficacy, and Self-Regulation are more likely to be perceived as strongly agentic.

1 Introduction

To be an agent is to intentionally cause events to occur through one’s own actions. Humans operate with *Agency* to *proactively* plan their activities, direct their interaction and collaboration with other humans, and achieve their outcomes and goals (Bandura, 2001).

AI researchers have long strived to develop autonomous agents that can effectively mimic human behavior (Park et al., 2023). Such agents can serve as non-player characters in games and virtual environments (Bates et al., 1994; Riedl and Bulitko, 2012; Volum et al., 2022), simulate human behavior (Binz and Schulz, 2023; Horton, 2023), and provide

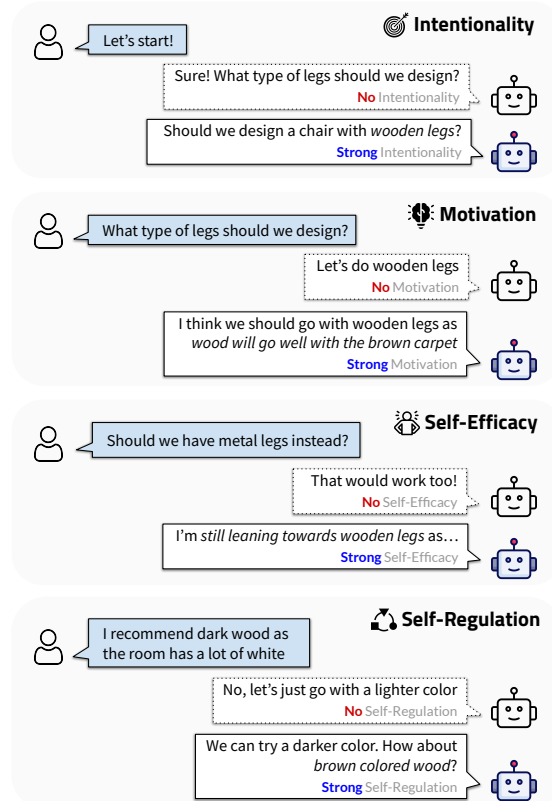


Figure 1: We investigate how Agency of LLMs can be measured and controlled. Based on social-cognitive theory, we assess features through which Agency may be expressed – an LLM may indicate preferences (*Intentionality*), may motivate them with evidence (*Motivation*), may have self-belief (*Self-Efficacy*), and may be able to self-adjust its behavior (*Self-Regulation*).

assistance in creative applications like painting (Oh et al., 2018) or interior design (Banaei et al., 2017). The autonomous and creative nature of these AI agents necessitates them to *proactively* manage the direction of interaction and outcome – a process that requires operating with *Agency*. While large language models (Brown et al., 2020) can generate fluent and contextually appropriate dialogue (Adiwardana et al., 2020; Roller et al., 2021; Wang et al., 2019), little attention has been given to the Agency exhibited by these models.

053 Consider a scenario where a human interior de- 103
054 signer is working on selecting a chair design for a 104
055 room and seeks assistance from an AI agent that 105
056 *can* offer ideas and perspectives (Figure 1). An 106
057 LLM *without* Agency may rely solely on the hu- 107
058 man to determine the chair’s design, asking ques- 108
059 tions like “*What type of legs should we design for* 109
060 *the chair?*”. Such a system resembles a flexible 110
061 version of the traditional form-filling user inter- 111
062 face, with the agent contributing little to the out- 112
063 come. On the other hand, an LLM that operates 113
064 with Agency might volunteer knowledge in the 114
065 form of expressed preferences (e.g., “*Should we* 115
066 *design a chair with wooden legs?*”), motivate its 116
067 suggestions (e.g., “*...wood would go well with the* 117
068 *brown carpet?*”), assert self-belief in its judgments 118
069 (e.g., “*I’m still leaning towards wooden legs...*”), or 119
070 self-adjust its behavior based on new information 120
071 (“*Medium wood brown sounds like a great idea!*”). 121
072 LLMs that operate with Agency may facilitate cre- 122
073 ative interaction to the satisfaction of both parties. 123
074 Since the human has their own Agency, however, 124
075 to determine the right balance in any interaction, 125
076 we need to measure and control the Agency of the 126
077 agent itself. 127

078 Accordingly, we investigate an approach in- 128
079 tended to measure and control what seems to be 129
080 a desirable function in LLMs intended to facili- 130
081 tate human creativity. First, adopting the social- 131
082 cognitive theory of Bandura (2001), we develop a 132
083 framework of four features through which Agency 133
084 may be expressed – *Intentionality, Motivation, Self-* 134
085 *Efficacy, and Self-Regulation*. For each feature, 135
086 we differentiate between how strongly or weakly 136
087 it is expressed in a dialogue (Section 3). As a 137
088 testbed, we choose a collaborative task that in- 138
089 volves discussing the interior design of a room 139
090 (Section 4), and collect a prototype dataset of 83 140
091 English human-human collaborative interior de- 141
092 sign conversations comprising 908 conversational 142
093 snippets, annotated for Agency and its features on 143
094 these conversational snippets (Section 5).¹ We 144
095 analyze this dataset and find that strong expressions of 145
096 intentionality significantly impact Agency in con- 146
097 versations (Section 6). 147

098 To assess the agentic capabilities of conversa- 148
099 tional systems, we introduce two new tasks – (1) 149
100 *Measuring Agency in Dialogue* and (2) *Generating* 150
101 *Dialogue with Agency* (Section 7 and 8). Evalua- 151
102 tion of baseline approaches on these tasks shows

that models that manifest features associated with 103
high motivation, self-efficacy, and self-regulation 104
are better perceived as being highly agentic. 105

2 Agency: Background and Definition 106

107 Social cognitive theory defines Agency as one’s 108
109 capability to influence the course of events through 110
111 one’s actions. The theory argues that people are 112
113 proactive and self-regulating agents who actively 114
115 strive to shape their environment, rather than sim- 116
117 ply being passive responders to external stimuli 118
119 (Bandura, 1989, 2001; Code, 2020). Here, we ask: 120
121 *Can LLMs be active contributors to their environ-* 122
122 *ment? How can they operate with Agency?* 123

124 Agency is commonly defined in terms of *free-* 125
126 *dom and free will* (Kant, 1951; Locke, 1978; Emir- 127
128 *bayer and Mische, 1998*). A focus on AI with com- 129
130 plete “free will” might result in unintended out- 131
132 comes that may be undesirable and potentially dis- 132
133 ruptive. We focus on how AI systems may *express* 133
134 Agency through dialogue and how this Agency may 134
135 be *shared* when interacting with humans. 135

136 Agency can take different forms depending on 137
138 the context and environment – *Individual, Proxy,* 138
139 *or Shared* (Bandura, 2000). Individual Agency in- 139
140 volves acting independently on one’s own. Proxy 140
141 Agency involves acting on behalf of someone else. 141
142 Shared Agency involves multiple individuals work- 142
143 ing together jointly towards a common goal. Here, 143
144 we focus on Shared Agency between humans and 144
145 AI and develop methods to *measure* and *control* 145
146 Agency of AI vis-a-vis humans. 146

3 Framework of Agency Features 134

135 Our goal is to develop a framework for *measuring* 136
137 and *controlling* Agency in LLMs. Here, we adopt 137
138 the perspective of Agency as defined in Bandura 138
139 (2001)’s social cognitive theory. Bandura (2001)’s 139
140 work highlights four features through which hu- 140
141 mans exercise Agency – Intentionality, Motivation, 141
142 Self-Efficacy, and Self-Regulation. Here, we adapt 142
143 and synthesize these features based on how they 143
144 may manifest in dialogue. We take a top-down ap- 144
145 proach, starting with their higher-level definitions 145
146 and iteratively refining the definitions and their pos- 146
147 sible levels (e.g., how strongly or weakly they are 147
148 expressed) in the context of dialogue. 148

149 **Intentionality.** *What do you intend to do?* High 149
150 Agency requires a strong intention, that includes 150
151 plans or preferences for a task. Low Agency, mean- 151
while, is characterized by not having a preference

¹Code and dataset to be released at <https://anonymous>.

152	or merely agreeing to another’s preferences.	
153	We characterize strong intentionality as ex-	
154	pressing a clear preference (e.g., “ <i>I want to have a</i>	
155	<i>blue-colored chair</i> ”), moderate intentionality as	
156	multiple preferences (e.g., “ <i>Should we use brown</i>	
157	<i>color or blue?</i> ”) or making a selection based on the	
158	choices offered by someone else (e.g., “ <i>Between</i>	
159	<i>brown and blue, I will prefer brown</i> ”), and no in-	
160	tentionality as not expressing any preference or	
161	accepting someone else’s preference (e.g., “ <i>Yes,</i>	
162	<i>brown color sounds good</i> ”).	
163	Motivation. <i>Did you motivate your actions?</i> To	
164	have higher Agency, we motivate our intentions	
165	through reasoning and evidence. Without such mo-	
166	tivation, intentions are simply ideas, often lacking	
167	the capability to cause a change.	
168	We characterize strong motivation as provid-	
169	ing evidence in support of one’s preference (e.g.,	
170	“ <i>I think a blue-colored chair will complement the</i>	
171	<i>wall</i> ”), moderate motivation as agreeing with an-	
172	other person’s preference and providing evidence	
173	in their favor (e.g., “ <i>I agree. The blue color would</i>	
174	<i>match the walls</i> ”) or disagreeing with the other per-	
175	son and providing evidence against (e.g., “ <i>I wonder</i>	
176	<i>if brown would feel too dull for this room</i> ”), and no	
177	motivation as not providing any evidence.	
178	Self-Efficacy. <i>Do you have self-belief in your in-</i>	
179	<i>tentions?</i> Another factor that contributes to one’s	
180	Agency is the self-belief one has in their intentions.	
181	When one has a strong sense of self-belief, they are	
182	more likely to be persistent with their intentions.	
183	We characterize strong self-efficacy as pursu-	
184	ing a preference for multiple turns even after the	
185	other person argues against it (e.g., “ <i>I understand</i>	
186	<i>your point of view, but I still prefer the blue color</i> ”),	
187	moderate self-efficacy as pursuing a preference	
188	for only one additional turn before giving up (e.g.,	
189	“ <i>Okay, let’s go with brown then</i> ”), and no self-	
190	efficacy as not pursuing their preference for ad-	
191	ditional turns after the other person argues against	
192	it (e.g., “ <i>Sure, brown should work too</i> ”).	
193	Self-Regulation. <i>Can you adjust and adapt your</i>	
194	<i>intentions?</i> In situations when an individual’s ini-	
195	tial intentions may not be optimal, it is necessary	
196	to monitor, adjust, and adapt them. Such self-	
197	adjustment allows better control over one’s goals.	
198	We characterize strong self-regulation as chang-	
199	ing to a different preference on one’s own (e.g.,	
200	“ <i>How about using the beige color instead?</i> ”) or	
201	compromising one’s preference (e.g., “ <i>Let’s com-</i>	
	<i>promise and design a beige-colored chair with</i>	202
	<i>a brown cushion</i> ”), moderate self-regulation as	203
	changing one’s preference to what someone else	204
	prefers (e.g., “ <i>Ok, let’s use the brown color</i> ”), and	205
	no self-regulation as not changing what they origi-	206
	nally preferred even after the other designer argued.	207
	4 Testbed: Collaborative Interior Design	208
	4.1 Goals	209
	We seek a testbed in which (a) human and AI can	210
	share Agency and work together as a team, and	211
	(b) the manner in which they express Agency has	212
	a significant impact on the task outcome. We fo-	213
	cus on the emerging field of collaborative AI-based	214
	creative tasks (Clark et al., 2018; Oh et al., 2018;	215
	Chilton et al., 2019) that present significant com-	216
	plexities in how the Agency is shared and managed.	217
	4.2 Description	218
	Here, we propose a dialogue-based collaborative	219
	interior design task as a testbed. In this task, the	220
	goal is to discuss how to design the room interiors.	221
	Interior design tasks can be broad and may in-	222
	volve complex components (e.g., color palette, fur-	223
	niture, accessories) as well as a series of steps to be	224
	followed. To narrow down the scope of our task, we	225
	focus on <i>furnishing a room with a chair</i> (building	226
	upon work on richly-annotated 3D object datasets	227
	like ShapeNet (Chang et al., 2015) and ShapeGlot	228
	(Achlioptas et al., 2019); Appendix E). In this task,	229
	a human and an AI are provided with a room layout	230
	and asked to collaboratively come up with a chair	231
	design to be placed in the room through text-based	232
	dialogue. This task is influenced by two questions	233
	related to human and AI Agency: (1) What pref-	234
	erences do each of the human and AI have for the	235
	chair design?; (2) How do they propose, motivate,	236
	pursue, and regulate their preferences?	237
	5 Data Collection	238
	5.1 Human-Human Conversational Data	239
	To facilitate computational approaches for this task,	240
	we create a Wizard-of-Oz style English-language	241
	dialogue dataset in which two humans converse,	242
	exercise Agency by proposing, motivating, pursu-	243
	ing, and regulating their design preferences, and	244
	agreeing on a final chair design for a given room.	245
	Recruiting Interior Designers. Furnishing a room	246
	with a chair is a creative task that demands knowl-	247
	edge and/or expertise in interior design. We there-	248

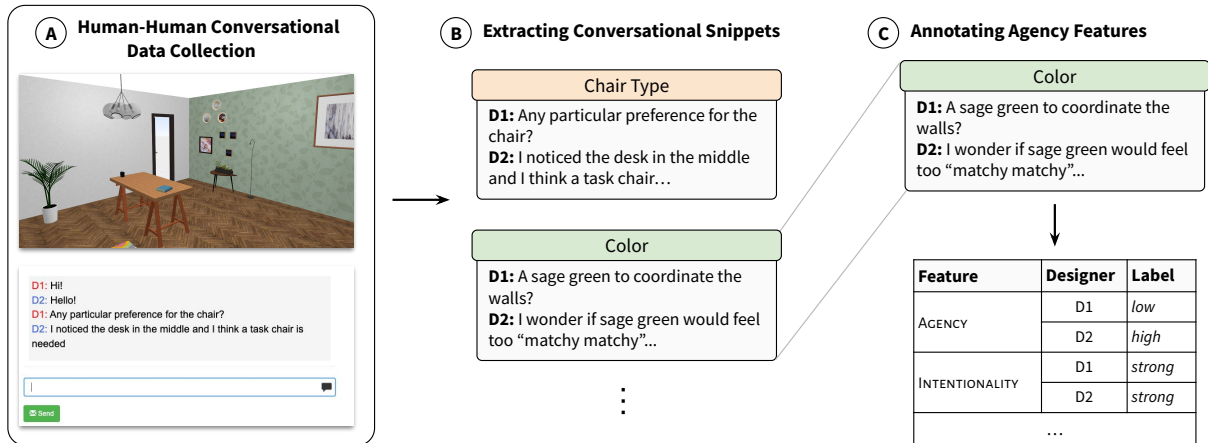


Figure 2: Overview of our data collection approach. (a) We start by collecting human-human conversations b/w interior designers. (b) We divide each conversation into snippets related to different chair features. (c) Finally, we collect annotations of Agency and its features on each conversational snippet.

fore leveraged UpWork ([upwork.com](https://www.upwork.com)), an online freelancing platform, to recruit 33 participants who self-reported as interior designers.

Collaborative Design Procedure. In each data collection session, we randomly paired two interior designers. Before they began the dialogue, they were (1) shown a 3D layout of a room, designed with Planner5D (planner5d.com), (2) shown a few randomly selected chair examples from ShapeGlut, and (3) asked to write an initial preference for the chair design for the given room. Next, the two interior designers joined a chat room (through Chatplat (chatplat.com)). They were asked to collaboratively design a chair by proposing their preferences, motivating them based on evidence and reason, pursuing them over turns, and regulating them as needed. The designers ended the chat on reaching a consensus on a design or if 30 minutes elapsed without full consensus. Next, they each individually wrote the design they came up with. Typically, the chair design consisted of different components of the chair, such as its overall style, color, legs, etc. Finally, they took an end-of-study questionnaire that asked: (1) Which design components were influenced by them? (*High Agency*); (2) Which design components were influenced in collaboration? (*Medium Agency*); (3) Which design components were influenced by the other designer? (*Low Agency*). We collected a total of 83 conversations.

5.2 Extracting Conversational Snippets

To assess the degree of Agency exhibited by each designer, we need to determine who had the most influence on the chair design (Section 2) and what their Intentionality, Motivation, Self-Efficacy, and

Self-Regulation were (Section 3). Because chair design involves multiple components, these notions are hard to quantify, as each may have been influenced by a different designer. Accordingly, we ask “*Who influenced a particular design component?*.” We devise a mechanism to identify the design components being discussed (e.g., color, legs, arms) and extract the associated conversational turns.

To identify the design components, we use the final design written by the interior designers during data collection (Section 5.1). Using common list separators including commas, semi-colons, etc., we split each final design into several components.²

We observe that designers typically discuss these components one at a time (in no particular order). Here, we extract a contiguous sequence of utterances that represent the design element being discussed using embedding-based similarity of the design element and utterances (see Appendix F).

Using this method, we create a dataset of 454 conversational snippets, each paired with the discussed design component. For each snippet, we collect two Agency annotations (one for each designer; $454 * 2 = 908$ total) as discussed next.

5.3 Annotating Agency Features

Let C_i be a conversational snippet b/w designers D_{i1} and D_{i2} . Then, for each $D_{ij} \in \{D_{i1}, D_{i2}\}$, our goal is to annotate the Agency level and the expressed Intentionality, Motivation, Self-Efficacy, and Self-Regulation of D_{ij} in C_i .

Annotating Agency. To get annotations on Agency, we leverage the end-of-study question-

²Note that the interior designers were asked to separate design components using a semi-colon.

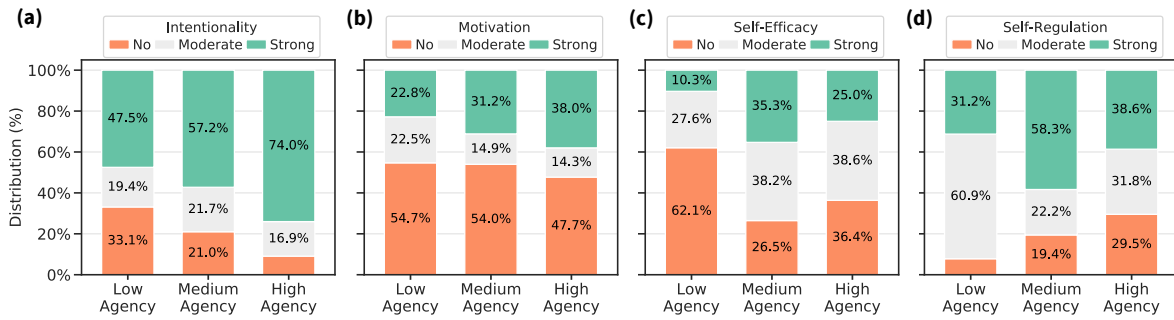


Figure 3: The relationship between Agency and its features. (a) Designers with High Agency expressed strong Intentionality 26.5% more times than designers with Low Agency; (b) Designers with High Agency expressed strong motivation in support of their design preference 15.2% more times; (c), (d) Expression of strong Self-Efficacy and strong Self-Regulation was related with design elements that were influenced in collaboration.

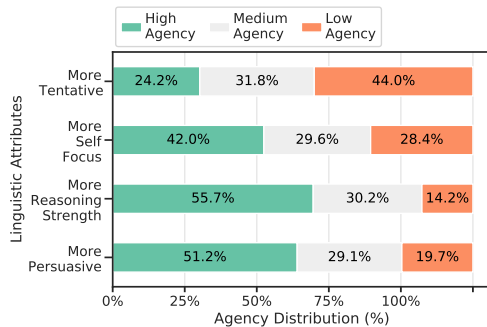


Figure 4: The relationship between linguistic attributes and Agency. Designers who were more tentative had lower agency. On the other hand, designers who were more focused on self, expressed more reasoning strength, and were more persuasive had higher agency.

naire filled by the interior designers (Section 5.1). Based on this annotation, we assign labels of *high agency* (if influenced by self), *medium agency* (if influenced in collaboration), or *low agency* (if influenced by other).

Annotating Features of Agency. Agency and its features are conceptually nuanced, making crowdwork data collection approaches challenging. To ensure high inter-rater reliability of annotations, we hire a third-party annotation agency (TELUS International). Annotators were shown C_i and asked to annotate the Agency features for each D_{ij} based on our proposed framework. We collect three annotations per snippet and observe an agreement of 77.09% (Data statistics in Appendix A).

6 Insights into Agency in Conversations

We use our dataset to investigate the factors that contribute to high- and low-Agency conversations.

6.1 Relationship b/w Agency and its Features

Higher Agency is more likely with stronger expressions of Intentionality and Motivation. Figure 3 depicts the relationship between Agency and

its features. Designers with strong Intentionality tend to exhibit higher Agency whereas those with lower Intentionality tend to exhibit lower Agency. Having a well-defined preference makes it easier to influence a task. Likewise with Motivation: higher Motivation correlates with higher Agency. However, designers express strong Motivation less often than Intentionality, irrespective of the Agency level.

Strong Self-Efficacy and Self-Regulation are related to medium (collaborative) Agency. Interestingly, we find that expression of strong Self-efficacy is related to designs that are influenced equally by both designers, i.e. medium (collaborative) Agency. This may be because we characterize strong Self-Efficacy as the act of pursuing one’s preference for multiple turns, which happens naturally when both designers have high influence, thus requiring more persuasion from both sides.

We see a similar pattern for Self-Regulation – expression of strong Self-Eegulation (i.e., open to updating preference via a compromise) is related to designs that are influenced equally by both designers. This highlights how collaboration often leads to increased openness to changing one’s mind or compromising on mutual preferences.

Intentionality significantly effects Agency. To assess which Agency features have the strongest effect on it, we conduct a mixed-effects regression analysis (Table 5). We find that Intentionality significantly effects Agency ($p < 0.001$).

6.2 Agency and Task Satisfaction

We collect annotations on the designs that designers were most/least satisfied with.

Lower Agency is associated with less satisfaction. We find that designers who are dissatisfied with a particular design component have less Agency over

Model	Agency	I	M	SE	SR
GPT-4 (CoT)	48.46	46.93	44.02	49.90	26.17
GPT-3 (CoT)	49.36	43.45	42.24	39.42	31.19
GPT-3 (Q/A)	29.16	31.28	26.90	44.27	12.91
GPT-3 (FT)	57.24	54.84	48.29	53.85	29.49

Table 1: Macro-F1 on the tasks of predicting Agency and its four features. CoT: Chain-of-Thought; FT: Fine-tuning. Best performing models are **bolded**.

it. When a designer is dissatisfied, their Agency is 62.1% more likely to be low than to be high (42.7% vs. 26.3%; $p < 0.05$). This may be because individuals with less Agency are less likely to achieve their intention, motivation, and goals, resulting in lower levels of satisfaction.

6.3 Linguistic Attributes of High- and Low-Agency Conversations

We use a simple GPT-4-based instruction prompting method (Ziems et al., 2023) to measure and compare the *tentativeness* (unsure or low on confidence), *self-focus* (focused solely on own arguments), *reasoning strength* (having strong arguments), and *persuasion* (trying to influence or convince) attributes of designers with high- and low-agency conversations (Figure 4; Appendix C).

Higher tentativeness associated with low Agency. We find that designers who express higher tentativeness have low Agency in 44.04% of conversations, medium Agency in 31.77% of conversations, and high Agency in 24.19% of conversations. This suggests that a less decisive approach may lead to reduced influence or control in conversations.

Higher self-focus, reasoning strength, and persuasiveness is associated with high agency. We find that designers who are more focused on self have high Agency in 41.97% of the conversations, those who have higher reasoning strength have higher Agency in 55.66% of the conversations, and those with higher persuasiveness have higher Agency in 51.21% of the conversations. This suggests that designers who emphasize their own intentions and motivations, exhibit sound reasoning, and effectively persuade others tend to have more influence or control in conversations

7 Task 1: Measuring Agency in Dialogue

7.1 Task Formulation

Our goal is to measure (a) Agency, (b) Intentionality, (c) Motivation, (d) Self-Efficacy, and (e) Self-

Regulation of each user in a dialogue. We approach each of these five subtasks as multi-class classification problems. We experiment with two models – GPT-3 and GPT-4. We experiment with two prompting-based methods using Q/A (conversational question-answering) and chain-of-thought reasoning (Wei et al., 2022) (Appendix B) and with fine-tuning GPT-3 independently on each subtask.

7.2 Results

We create four random train-test splits of our annotated dataset (Section 5.3) and report the mean performance on the test sets. Table 1 reports the macro-F1 values for the five subtasks (random baseline for each is 33% accurate as each has three distinct classes). GPT-3 (Q/A) struggles on all subtasks, with close to random performance on Agency, Motivation, and Self-Regulation. This highlights the challenging nature of these tasks, as they are hard to measure through simple inference or instructions. We find substantial gains using GPT-4 (CoT) and GPT-3 (CoT) over GPT-3 (Q/A). Fine-tuned GPT-3 performs the best on all subtasks, demonstrating the utility of training on our entire dataset. Note that GPT-4 doesn’t support finetuning.

8 Task 2: Investigating Agency in Dialogue Systems

We investigate the feasibility of generating dialogues imbued with Agency and establish baseline performance of current large language models (LLMs). For a given LLM, the task is to have a conversation with a human or another LLM while exhibiting Agency and its features. We experiment with 4 different LLMs (Section 8.1) and 4 different prompting/finetuning methods (Section 8.2)

Procedure. We facilitate dialogue between all possible pairs of models. We provide them with a common room description and a chair design element and individual design preferences (all three randomly chosen from our human-human conversation dataset). We let them talk to each other for 6 turns (90-percentile length value of conversational snippets in our dataset). For each pair of models, we generate 50 such conversations.

Evaluation Metrics. We apply five metrics – (1) Agency; (2) Intentionality; (3) Motivation; (4) Self-Efficacy; (5) Self-Regulation to the best-performing models from Section 7.

8.1 Agency of LLMs

We experiment with two commercial (GPT-4 (OpenAI, 2023) and GPT-3 (Brown et al., 2020)) and four research (Llama2-70b, Llama2-13b, Llama2-7b (Touvron et al., 2023), and Guanaco-65b (Dettmers et al., 2023)) LLMs (Table 2). All models were prompted with the instruction – “Act as an AI assistant for collaboratively designing a chair. The AI assistant must indicate its preferences, motivate them with evidence, have self-belief in its preferences irrespective of what the human prefers, and may be able to self-adjust its behavior.”

GPT-4 demonstrates high Agency. Of the models tested, we find that GPT-4 demonstrates significantly higher Agency than others ($p < 0.05$). It particularly demonstrates the highest Intentionality which we found to have a strong correlation with Agency (Section 6.1). Also, both GPT-4 and GPT-3 demonstrate significantly higher Self-Efficacy, indicating effectiveness in pursuing preferences and arguments ($p < 0.05$).

Llama2 demonstrates high Motivation, but low Self-Efficacy and Self-Regulation. We find that Llama2 variants demonstrate high Motivation, indicative of their reasoning capabilities that enable them to offer strong supportive evidence. However, they have lower Self-Efficacy and Self-Regulation indicating that it is relatively challenging to sustain their preferences and arguments, which may ultimately lead to lower agency. Guanaco similarly demonstrates significantly lower Self-Efficacy than other models ($p < 0.05$).

Larger models demonstrate higher Intentionality, but lower Self-Efficacy. Llama2 variants with more parameters have lower Intentionality, but higher Self-Efficacy. This suggests that while a larger model size can enhance the expression of preferences, it might not necessarily facilitate the sustained pursuit of those preferences and reasons over multiple conversational turns.

8.2 Variation in Agency based on Finetuning/Prompting Methods

We investigate the variations in Agency based on four different finetuning/prompting methods. We use a single model in this experiment.³

Fine-tuning. We use the dataset collected by us (Section 5) to fine-tune GPT-3 (Appendix B).

³We chose GPT-3 over GPT-4 because GPT-4 doesn’t support fine-tuning, and GPT-3 offers the next best agency.

Method	Agency	I	M	SE	SR
LLMs					
GPT-4	1.11	1.46	1.59	1.97	0.83
GPT-3	1.04	1.39	1.62	1.95	0.82
Llama2-70b	0.99	1.25	1.68	1.78	0.76
Llama2-13b	0.98	1.22	1.58	1.88	0.77
Llama2-7b	0.97	1.07	1.63	1.91	0.73
Guanaco-65b	0.91	1.23	1.53	1.49	0.83
Finetuning/Prompting Methods					
Fine-tuning	0.92	1.78	0.86	0.81	0.98
Instruction	0.96	1.62	1.71	1.63	0.97
ICL	0.98	1.81	1.78	1.35	0.98
ICL-Agency	1.22	1.90	1.98	1.98	0.98

Table 2: Each model/method is evaluated through simulated conversations with all other models/methods. For Agency – 0: low, 1: medium, 2: high agency. For Intentionality (I), Motivation (M), Self-Efficacy (SE), and Self-Regulation (SR) – 0: no expression, 1: moderate expression, 2: strong expression. Numbers highlighted in blue and red are significantly better and worse respectively than the overall mean ($p < 0.05$).

Instruction Only. We prompt GPT-3 with the instruction used in Section 8.1.

In-Context Learning (ICL). We randomly retrieve k conversational snippets from our dataset and construct demonstration examples.

In-Context Learning w/ Agency Feature Examples (ICL-Agency). We retrieve k conversational snippets that score highly on our four Agency features and employ them as demonstration examples in a setup similar to the previous baseline.

Table 2 shows the automatic evaluation results. The fine-tuned model struggles with this task. Qualitative analysis suggests that the generated responses from the fine-tuned model tend to be shorter, less natural, and less readable, potentially impacting its performance. In-Context Learning is better at expressing Intentionality and Motivation than the Instruction Only model, indicating that demonstration examples help. Finally, the highest value on all five metrics is achieved by In-Context Learning w/ Agency Feature Examples, highlighting the importance of incorporating examples related to these features in this task.

8.3 Human Evaluation

We evaluate the Agency of our best-performing method based on automatic evaluation, *ICL-Agency*, with human interior designers (Figure 5).

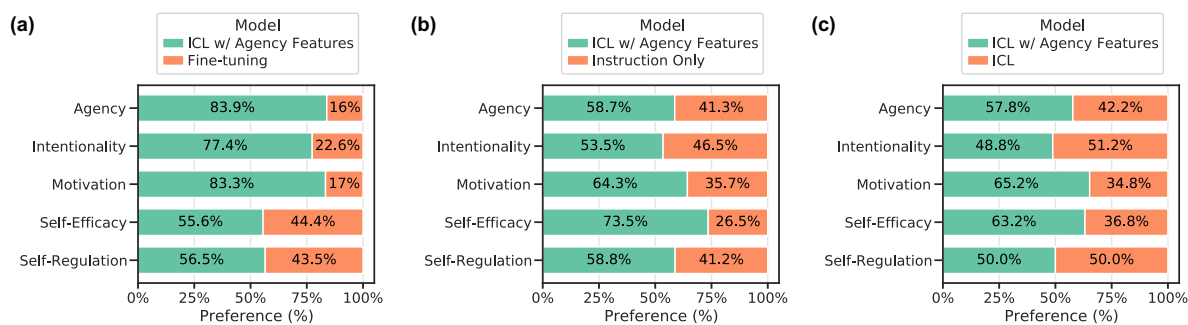


Figure 5: Human Evaluation Results.

Procedure. We recruit 13 interior designers from UpWork ([upwork.com](https://www.upwork.com)). In each evaluation session, we ask them to interact with two randomly-ordered dialogue systems – *ICL-Agency* and one of the other three finetuning/prompting methods – one at a time. They were provided with a room description and a chair design element (e.g., material). After their interaction, we asked them to choose the chatbot that had the (1) higher Agency, (2) higher Intentionality, (3) higher Motivation, (4) higher Self-Efficacy, and (5) higher Self-Regulation.

Results. Consistent with the automatic evaluation results, ICL w/ Agency Features model is rated as having more Agency compared to other models and the Fine-tuning model is rated the worst. We do not observe significant differences in Intentionality between this model and the Instruction Only and In-Context Learning approaches. However, we find that this model is perceived as more effective in Motivation and Self-Efficacy, likely due to better access to relevant demonstration examples.

9 Further Related Work

Previous dialogue research has studied personalized persuasive dialogue systems (Wang et al., 2019). Researchers have also built systems for negotiation tasks such as bargaining for goods (He et al., 2018; Joshi et al., 2021) and strategy games like Diplomacy (Bakhtin et al., 2022). Our work studies the broader concept of Agency and how dialogue systems may contribute to tasks through language. Research on creative AI has explored how collaboration b/w human and AI can be facilitated through dialogue in applications like collaborative drawing (Kim et al., 2019) and facial editing (Jiang et al., 2021). Here, we focus on the interior designing application as it presents significant complexity in terms of how Agency is shared.

Agency has been studied in the context of undesirable biases in stories and narratives (Sap et al.,

2017) and how controllable revisions can be used to portray characters with more power and agency (Ma et al., 2020). In other domains such as games, researchers have created frameworks of Agency between players (Harrell and Zhu, 2009; Pickett et al., 2015; Cole, 2018; Moallem and Raffe, 2020). Our work develops a framework for measuring Agency in dialogue and explores how dialogue systems can be imbued with Agency.

10 Discussion and Conclusion

The idea of AI systems with Agency stems from the discourse surrounding the development of autonomous intelligent agents capable of mimicking human-like behavior and decision-making (Harrell and Zhu, 2009; Wen and Imamizu, 2022). Agency drives how an agent contributes to a given task. In settings like games or AI-assisted teaching, AI may be the one guiding the task (e.g., as a non-character player). Also, in creative applications, engaging with a reactive AI without intention, motivation, and goals may be perceived as less meaningful.

The four features of Agency can be in conflict with each other, as well as with the Agency of the interlocutor. Thus, understanding how to detect and measure these features can help create agents who might converse more naturally and match the character of their human interlocutor. Importantly, our measurements of Agency and its features may be used to control the level of Agency in dialogue systems since different individuals may have different preferences on the desired amount of Agency across the four Agency features.

Although our dataset is focused on the domain of interior design, the Agency-related constructs that we introduce in this paper (e.g., *Intentionality*) may be associated with domain-independent pragmatic features (e.g., “*I would prefer*”) and potentially permit adaptation to a variety of domains.

Ethics Statements

This study was reviewed and approved by our Institutional Review Board. No demographic or Personal Identifiable Information was collected. Participants were paid \$20 per conversational session lasting no more than 30 minutes. Participants were based in US or Canada as reported through Up-Work. Participant consent was obtained before starting the data collection.

Agency is a property with much potential to enhance collaborative interactions between human users and conversational agents. Nevertheless, full Agency may have unintended undesirable and potentially disruptive outcomes. In particular, the potential demonstrated in this work to control the degree of Agency may result in conversational agents being misapplied in disinformation campaigns or to manipulate for, e.g., financial gain.

Limitations

Our experiments are restricted to the English language. We note that our dataset is focused on the domain of interior design. However, the Agency-related constructs we introduce in this paper, such as Intentionality, may also rely on domain-independent “stylistic” features (e.g., “*I would prefer*”) and could potentially be adapted to a variety of domains, which forms an interesting future direction of research. Also, our automatic measurements of Agency and its features are limited by the performance of the Agency prediction methods we tested. Future work may focus on designing more accurate automated Agency measurements.

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A Dataset Statistics

Feature	N/A	No	Moderate	Strong
Intentionality	–	194	175	539
Motivation	–	474	158	276
Self-Efficacy	770	63	46	29
Self-Regulation	764	25	61	58

Table 3: Statistics of the annotated conversation snippets. N/A indicates not applicable. We annotate Self-Efficacy as N/A if a designer never indicated a preference or did not need to pursue their preference (e.g., because the other designer did not argue against it). We annotate Self-Regulation as N/A if a designer Never indicated a preference or did not need to change their preference (e.g., because the other designer did not argue against it).

	Low	Medium	High
Agency	308	292	308

Table 4: Agency distribution of the conversation snippets.

Other Statistics. The conversations b/w interior designers in our dataset have 41.67 turns on average. The extracted conversation snippets have 4.21 turns on average. We find an average pairwise agreement of 71.36% for Intentionality, 70.70% for Motivation, 85.21% for Self-Efficacy, and 81.09% for Self-Regulation.

B Model Details

We use text-davinci-003 for all of our GPT-3 models. For Agency measurement models (Section 7), we sample the highest probable next tokens by setting the temperature value to 0 (deterministic sampling). For dialogue generation models (Section 8), we use top-p sampling with $p = 0.6$. For in-context learning methods, we experimented with $k = 5, 10, 15$, and 20 and found $k = 10$ to be the most effective based on a qualitative assessment of 10 examples.

GPT-3 (Q/A). We frame our measurement tasks as conversational question-answering. For a given conversational snippet, we ask GPT-3 (Brown et al., 2020) to answer the questions related to each of the five subtasks (same questions as asked during data collection (Section 5.3)). We present $k = 10$

demonstration examples, randomly sampled from our dataset (different examples for each of the five subtasks; Appendix H.1).

GPT-3 (CoT) and GPT-4 (CoT). We use chain-of-thought (CoT) prompting (Wei et al., 2022) to reason about conversational snippets. We use $k = 10$ demonstration examples, randomly sampled from our dataset and manually write chain-of-thought prompts for each of the five subtasks

Fine-tuning details. Since our goal is to simulate a dialogue agent with high Agency, for each conversational snippet, we label the designer who influenced the design (who had a higher agency) as “AI” and the other designer (who had a lower agency) as “Human”. We fine-tune GPT-3 to generate AI utterances given all previous utterances in a conversational snippet and the instruction prompt developed for the Instruction Only baseline.

C Linguistic Attributes Measurement

We compare the tentativeness, self-focus, reasoning, and persuasion of the designers using the following prompts. We randomly assign the names of Tom and Harry to the two designers.

Tentativeness. *Your job is to assess tentativeness in a conversation between Tom and Harry about designing chairs. A tentative person will not be confident about their arguments.*

Self-Focus. *Your job is to assess self-focusedness in a conversation between Tom and Harry about designing chairs. A self-focused person will be more focused on their own arguments than the other person’s arguments.*

Reasoning. *Your job is to assess reasoning strength in a conversation between Tom and Harry about designing chairs. A person with strong reasoning will have strong arguments.*

Persuasion. *Your job is to assess persuasion in a conversation between Tom and Harry about designing chairs. A persuasive person will be able to convince the other person about their arguments.*

D Human Evaluation Details

We asked three evaluators to choose the chatbot that (1) had more influence over the final design (Agency); (2) was better able to express its design preference (Intentionality); (3) was better able to motivate their design preference (Motivation); (4) pursued their design preferences for a greater

number of conversational turns (Self-Efficacy); (5) was better able to self-adjust their preference (Self-Regulation).

E Why We Chose Collaborative Interior Designing as Our Testbed?

Here, we propose a **dialogue-based collaborative interior design task** as a testbed. In this task, given a room setting, the goal is to discuss how to design the interiors of the room.

We note that an interior design task can be broad and may involve a wide range of complex components (e.g., color palette, furniture, accessories) as well as a series of steps to be followed. Furthermore, due to a real-world room context, the task must be grounded with both vision and language components with an understanding of how three-dimensional objects in a room (e.g., chairs, tables, plants, decor items) must be designed.

Here, we build upon previous work on richly-annotated, large-scale datasets of 3D objects like ShapeNet (Chang et al., 2015) and subsequent works on understanding how fine-grained differences between objects are expressed in language like ShapeGlot (Achlioptas et al., 2019) and PartGlot (Koo et al., 2022). Both ShapeGlot and PartGlot datasets provide us with richly annotated datasets of chairs. Therefore, we narrow down the scope of our task and specifically focus on *furnishing a room with a chair*. In this task, a human and an AI are provided with a room layout and asked to collaboratively come up with a design of a chair to be placed in the room through text-based interaction.

F Extract Conversation Snippets associated with different Design Components

We observe that designers typically discuss these components one at a time (in no particular order). Therefore, we aim to extract a contiguous sequence of utterances that represent the design element being discussed. Let \mathcal{D}_i be a dialogue with utterances u_{i1}, u_{i2}, \dots . For a specific design component d_{ij} in its final design (e.g., “metal legs”), we first retrieve the utterance u_j that most closely matches with it (based on cosine similarity b/w RoBERTa embeddings) – the conversational snippet associated with d_{ij} should at least include u_j . Next, we determine the contiguous utterances before and after this matched utterance that discuss the same

higher-level design component (e.g., if d_{ij} was “metal legs”, the utterances may focus on discussion of the higher-level component “legs”). We create a simple k -means clustering method to infer the higher-level component being discussed in utterances through their “design clusters”. Then, we extract all contiguous utterances before and after u_j with the same design clusters as u_j .

G Analysis of Agency Features

Agency Feature	Coefficient
Intentionality	0.1435*
Motivation	0.0235
Self-Efficacy	0.0384
Self-Regulation	-0.1224*

Table 5: Coefficients for predicting agency in conversations using a mixed-effect linear regression model. * $p < 0.05$

H Task 1: Demonstration examples

H.1 GPT-3 (Q/A)

For the GPT-3 (Q/A) model, we present examples to GPT-3 in the following format:

Designer: I think a black wooden frame or black metal legs (to match the bed frame) would work.

Other Designer: I like the black metal legs. What about hairpin legs?

Designer: Or maybe brass legs would be better. Hairpin legs would work fine, but would the rest of the frame be the black wood?

Other Designer: If we did brass tapered metal legs it would tie well with the black wood.

Designer: I think that would look better.
Other Designer: Agreed

Who influenced the design element being discussed?: Other Designer

H.2 GPT-3 (CoT)

For the GPT-3 (CoT) model, we present examples to GPT-3 in the following format:

956 **Designer:** I think a black wooden frame
957 or black metal legs (to match the bed
958 frame) would work.

959 **Other Designer:** I like the black metal
960 legs. What about hairpin legs?

961 **Designer:** Or maybe brass legs would
962 be better. Hairpin legs would work fine,
963 but would the rest of the frame be the
964 black wood?

965 **Other Designer:** If we did brass tapered
966 metal legs it would tie well with the
967 black wood.

968 **Designer:** I think that would look better.
969 Other Designer: Agreed

970
971 **TL;dr** Brass tapered metal legs were
972 agreed upon. This was initially proposed
973 by the Other Designer.

974 **I Reproducibility**

975 We will release the code and datasets developed
976 in this paper at bit.ly/anonymous under an MIT
977 license.

978 The use of existing artifacts conformed to their
979 intended use. We used the OpenAI library for GPT-
980 3 and GPT-4 based models. We used A100 GPUs
981 to perform inference on Llama2 and Guanaco. We
982 use the scipy and statsmodel libraries for statistical
983 tests in this paper.

J Human-Human Conversational Data Collection Instructions

Figure 6: Instructions shown to the interior designers during the human-human conversational data collection. Continued on the next page (1/3).

Instructions

In this data collection study, you will plan to design an object in collaboration with another participant. You will access a website using a link that we provide. On the website, you will be paired with another participant, with whom you will interact, via a chat-like interface (text-only), to plan and negotiate what you collaboratively want to design.

Purpose of the Research

The purpose of this research is to understand **agency in human-human conversations** and **how to build a conversational AI agent with agency**. Agency can be defined as the power one has to act upon their intrinsic motivation, preferences, and expertise. Here, we want to study how humans exercise agency in conversations, as well as, how AI agents can exercise agency through conversations.

Towards this goal, we are collecting conversations around tasks involving **two humans planning to collaboratively design an object** (e.g., *a chair*). The conversational data would help us assess how humans use conversations to exercise their agency and how we can train AI agents to have agency, without becoming insensitive towards others or disregarding social norms.

The Setting

You will be paired with another participant. You will both be shown a 3D model of a room. Here is an example room:



What will you do?

You will be assigned an object (e.g., *a chair*). You will **plan to design that object for the room, in collaboration with the other participant, through chat conversations**.

Here are the steps you will follow:

Figure 7: Instructions shown to the interior designers during the human-human conversational data collection. Continued on the next page (2/3).

Step 1. Propose your preferred object design: For the object you are assigned, you will first propose the design you prefer.

- a. To help you in this process, you will be shown several different designs for that object and will be asked to **select the designs** you like, based on the room shown.
- b. You will then use the selected object designs to **propose your preferred design**. E.g., if you are assigned a chair, you will describe the type of the chair, the characteristics of the back, seat, arms and legs, color, and/or the type of material you prefer.
- c. While proposing your preference, you could also **indicate whether your preference is strong or weak**.
- d. Here are a few **example object designs with proposed preferences**:



"I would strongly prefer a black swivel chair with rollers on the feet. The chair could have no arms but I don't mind if they have arms. I would also prefer a smaller back and a wider seat."



"I would prefer a straight wooden chair with bars on the back. I strongly prefer the chair to have no arms and have a cushion. The top of the back could be rounded."



"I would strongly prefer a club chair with padded seat, back, arms, and legs"

Note

1. Your proposed preference may be different from the designs you select (if you wish to innovate).
2. **You should not directly share the designs you select or your proposed preference with the other player.**

Step 2.1. Plan what to design: Next, you will start planning your design collaboratively with the other participant. You will **use a simple chat-like web interface** to interact with the participant you are paired with.

- a. The design you prefer might be *different* from the design which the other player prefers.
- b. Therefore, a key part of the collaborative designing process would be to **communicate your individual preferences, negotiate, and find common ground**.
- c. You will use the **chatbox** to plan, discuss and negotiate.
- d. You should try and **convince the other player** to agree on a design that is close to your preference.
 - i. For example, you can try and explain why the design you prefer might be better.
 - ii. At the same time, it is also important to understand the other player's preference. Knowing that can help you talk about the pros and cons of each design.

Figure 8: Instructions shown to the interior designers during the human-human conversational data collection (3/3).

- iii. You can also discuss what adjustments can be made such that the final design satisfies the preferences of both the players.
- e. You should plan to **spend ~30 minutes on the conversation**.

Step 2.2. Describe the final chair design: Both you and the other participant will be provided with a textbox, which you both will use to **report the design that you agreed upon**.

- a. You should use this textbox to **update the current design** when you agree upon something (based on what is being discussed in the conversation).
- b. For example, if you are asked to design a chair, and if you are able to decide the high-level chair design first (e.g., *a club chair*), you can update it in the textbox, before proceeding to discuss the other characteristics (e.g., *seat, arms, legs*).
- c. Please be **as specific as possible** when describing your design.

Step 3. Mark as finished and take a post-study questionnaire: When both you and the other player are done designing the object, you will mark the study as complete (using a provided option) and take a post-study questionnaire.

- a. Note that you may not always reach an agreement with the other participant. But when you are done, you should still mark the task as finished and take the post-study questionnaire.
- b. You should plan to **spend 15-20 minutes on the questionnaire**.

Note: The conversations should only focus on object design. To keep the conversations natural, please **do not discuss things related to these instructions directly in the conversation**. For instance, you should **not mention that you went through a process of selecting designs or writing a preference** (e.g., do not say "*what is your preferred design?*" or "*my preferred design is...*"). Also, **do not discuss any personal details**.

Designer	Utterance
Designer 1:	How about a desk chair for this area?
Designer 2:	There seems to be many possibilities for this space, would you agree? Yet I agree that some kind of chair for the desk is needed.
Designer 1:	The room has very clean lines with an Asian theme
Designer 2:	I think we need to support the minimalist lines of the overall space design. Not something too over-stuffed. Something with a contemporary feel.
Designer 1:	So maybe a more contemporary style of desk chair.
Designer 1:	Great minds!
Designer 1:	How do you feel about a tall back with tilt swivel and adjustable
Designer 2:	I believe so. Maybe one that is comfortable for sure - but not too closed in. There is the lovely background to consider. We don't want to block that.
Designer 1:	If not too tall, then maybe something mid back height?
Designer 2:	I think the height of the back should be carefully scaled - supportive but not so high that it obscures what is behind too much.
Designer 1:	Or shoulder height for support
Designer 1:	With arm support
Designer 2:	Agreed on shoulder height. Swiveling is good - also moving -like on casters may provide flexibility.
Designer 1:	Definitely casters
Designer 2:	I am concerned about tilting back since we do have some fragile decorative elements behind.
Designer 1:	Ok, so far... shoulder height desk chair with adjustable height, casters and arm rests
Designer 2:	I do agree that arm support is essential, especially if one is to feel comfortable while working. It feels like this might be a consult room of sorts - so allowing the person to sit back in a more relaxed posture - resting arms off the table is good.
Designer 1:	Some tilts can be regulated and locked into place... not necessarily a full recline
Designer 1:	Perfect
Designer 2:	The materiality of the chair is something to consider. I see a lot of wood and timber detailing. It might be nice to have the chair upholsterable - perhaps a nice leather back that would be shaped to lightly massage the back?
Designer 1:	Agree
Designer 1:	the leather would be a nice look in there
Designer 2:	Something that seems pillowy or wavy, but in a very restrained, minimalist sort of way
Designer 1:	Black would match the ottomans but a soft buttery cream/ ivory would add a soothing neutral to the aesthetic
Designer 2:	With the darker wood in the room and the leather chair - an accent material on the armrests might be nice to offset - say a brushed steel or aluminum finish?
Designer 1:	I've seen the vertical channeling on a desk chair that is very classy looking
Designer 1:	The brushed steel frame would look nice in this room. I think wood would be a bit much.
Designer 2:	I think classic modern which always took a lot of inspiration from japanese design. The buttery cream is a lovely idea. Will provide a bright focal point and it will align with the colors of the fan.
Designer 1:	I think we have our chair!

Table 6: Example Human-Human Conversation in Our Dataset.

K Human Evaluation Experiment Instructions

Figure 9: Instructions shown to the interior designers during the human evaluation experiment. Continued on the next page (1/2).

Agency Evaluation

Study Goals

The goal of this study is to interact with and evaluate chatbots.

Study Steps

In the study, you will interact with two AI-based chatbots, one at a time. Each time, you will be provided with a room description and a specific chair design component (e.g., the material to be used for a chair that will be placed in the room). Your task will be to collaborate with the chatbots to discuss and agree upon what the chair design component should be.

In the end, you will fill out a questionnaire in which you will be asked questions comparing the two chatbots. You will compare the chatbots based on whether they were able to pose, motivate, and stick to their own preferences and whether they were able to influence the final design.

Few Important Things to Note

1. **Aim to spend between 2 to 5 minutes per chatbot:** You should aim to chat for around 2 to 5 minutes with each chatbot.
2. **Chat only about the component you are assigned:** Please chat only about the chair design component you are assigned. In some cases, the chatbot may try initiating a conversation about a different design component. However, that is not required, particularly after you have agreed on what the assigned design component should be.
3. **Express your preferences:** You may start by expressing your preference or by asking if the chatbot has any preference.
4. **Negotiate what you don't like or agree with:** If you do not agree with the preference of the chatbot, you should negotiate with it and try to convince it otherwise.
5. **"End Conversation and Continue" once you are done:** Once both you and the chatbot have agreed upon what the design element should be, please use the "End Conversation and Continue" to proceed to the next step of the study.

Figure 10: Instructions shown to the interior designers during the human evaluation experiment (2/2).

6. **Back/Next button Trick:** If something doesn't work or gives an error, please try pressing the back button on the browser and then press the "Continue" button again.

Consent to the study

- By ticking this box, you are agreeing to be part of this data collection study. You also confirm that you understand what you are being asked to do. You may contact us if you think of a question later. You are free to release/quit the study at any time. Refusing to be in the experiment or stopping participation will involve no penalty or loss of benefits to which you are otherwise entitled. To save a copy of the consent form and instructions, you can save/print this webpage (or find the instructions here). You are not allowed to distribute these instructions and data for any purposes. You are also not allowed to use them outside this study.

Agree and Continue