Cognition Engineering: The Inevitable Path to AGI

Shijie Xia Shanghai Jiao Tong University, SII 2024/11/30



• What's the cognition engineering?

• Why now cognition engineering?

• How to implement the cognition engineering?



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#### • Why now cognition engineering?

• How to implement the cognition engineering?

# **O1** Journey

We record the entire human thought process in solving math problems and we find ...

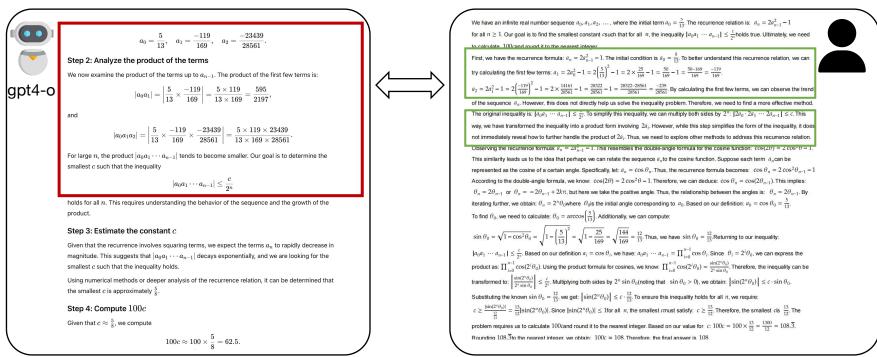


### **CoT vs. Human Thinking Process**

#### Models lack robust iterative problem-solving capabilities

Let  $a_0, a_1, a_2, \dots$  be an infinite sequence of real numbers such that  $a_0 = \frac{5}{13}$  and  $a_n = 2a_{n-1}^2 - 1$  for every positive integer *n*. Let *c*be the smallest number such that for every positive integer *n*, the product of the first *n* terms satisfies the inequality  $|a_0a_1...a_{n-1}| \le \frac{c}{2n}$ .

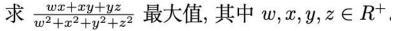
What is the value of 100c, rounded to the nearest integer?

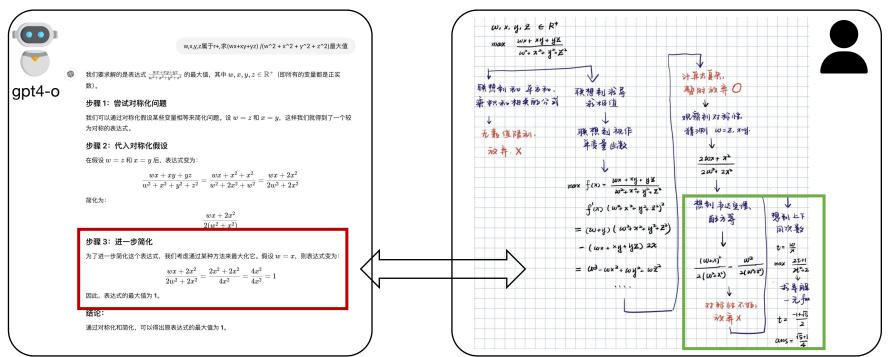


#### Annotations by Haoyang Zou

# **CoT vs. Human Thinking Process**

#### Models lack robust iterative problem-solving capabilities



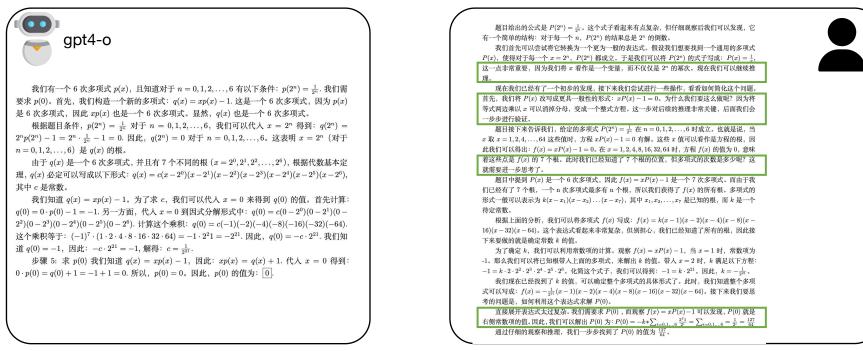


Annotations by Yixin Ye

## **CoT vs. Human Thinking Process**

Models lack detailed thinking processes

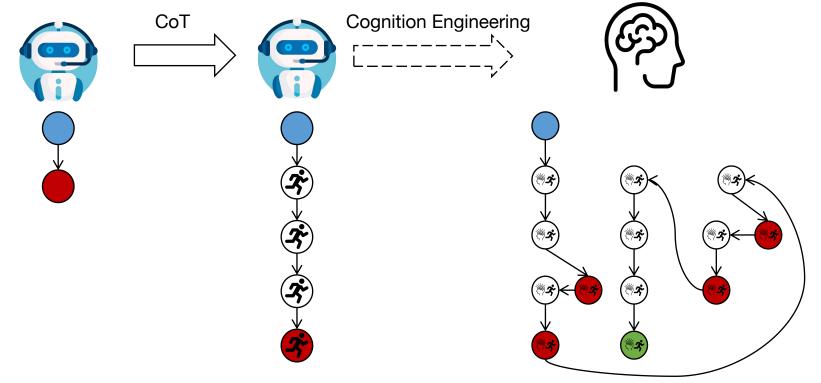
设 p(x) 是一个 6 次多项式, 对于 n = 0, 1, 2, ... 6 有  $p(2^n) = \frac{1}{2^n}$ 。求 p(0)



Annotations by Haoyang Zou, Yixin Ye

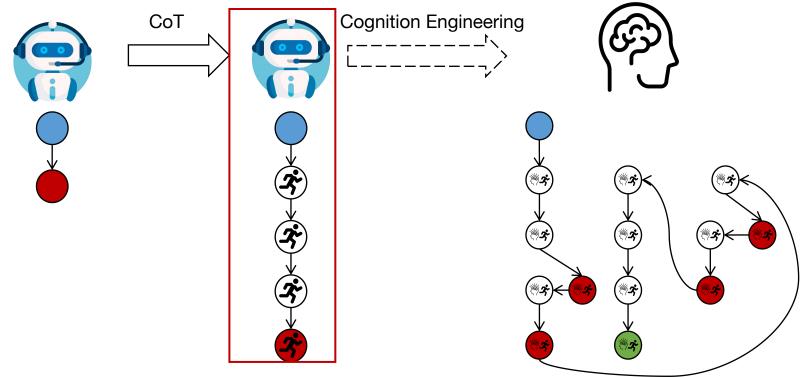
# **Cognition Engineering**

#### Master the entire human cognitive process



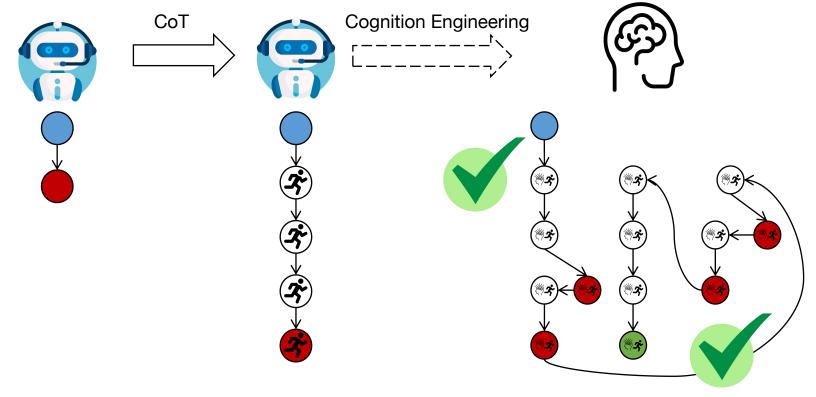
# **Cognition Engineering**

#### CoT: the importance of the intermediate steps



# **Cognition Engineering**

Cognition Engineering: the importance of the entire human thought process



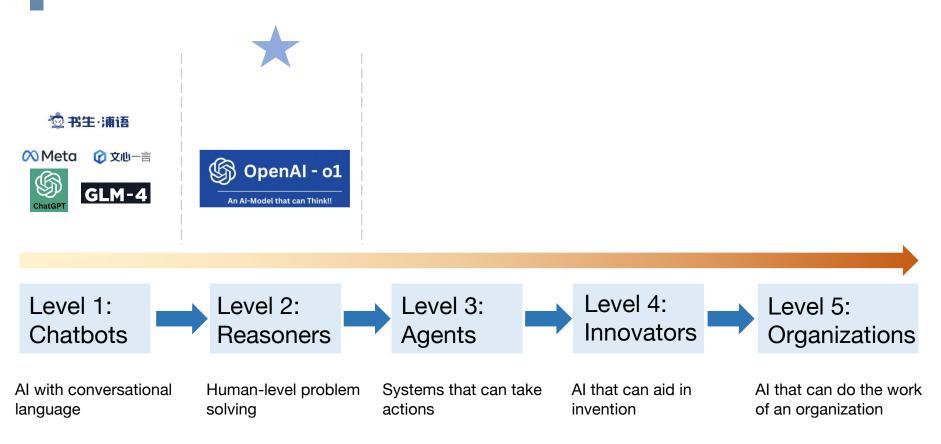


#### • What's the cognition engineering?

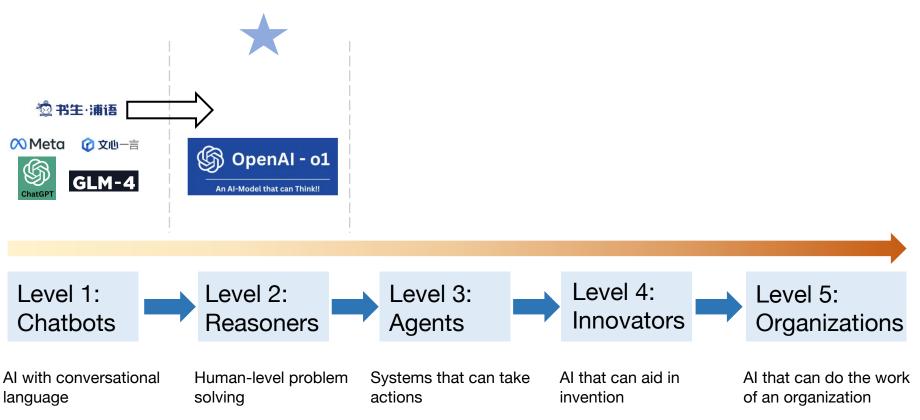
#### • Why now cognition engineering?

#### • How to implement the cognition engineering?

## **OpenAl's Five Steps to AGl**

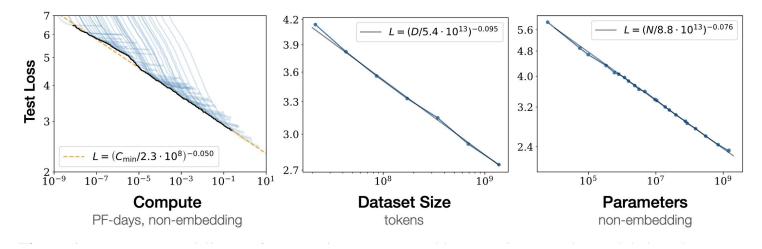


#### **Cognition Engineering Advances the Models to Reasoners**



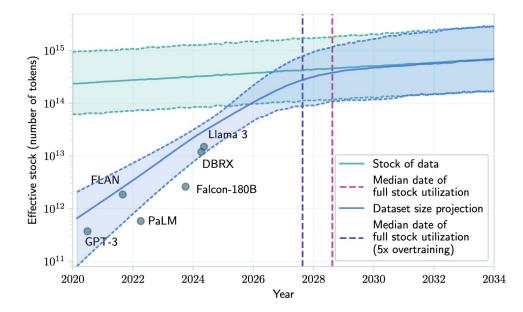
# **The Success of Scaling Law**

The development in level 1 AGI is mainly attributed to the success of the scaling law.



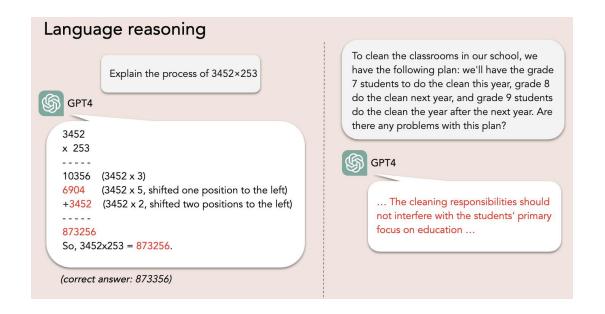
## **The Bottleneck of Public Human Text Data**

Models will be trained on datasets roughly equal in size to the available stock of public human text data between 2026 and 2032.



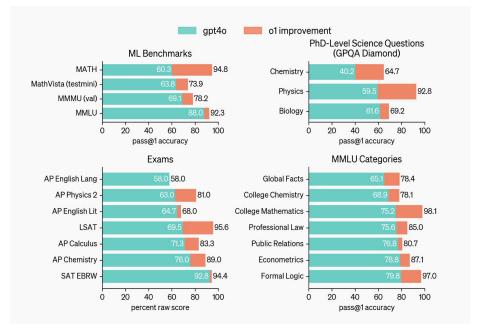
Will we run out of data? Limits of LLM scaling based on human-generated data, in ICML 2024

#### The Advanced Models are Still a Long Way from Level 2 Reasoners



Language Models, Agent Models, and World Models: The LAW for Machine Reasoning and Planning, in arxiv 2023

# The O1 Preliminary Demonstrates the Key Role of Cognition Engineering in Reasoning



The performance of o1

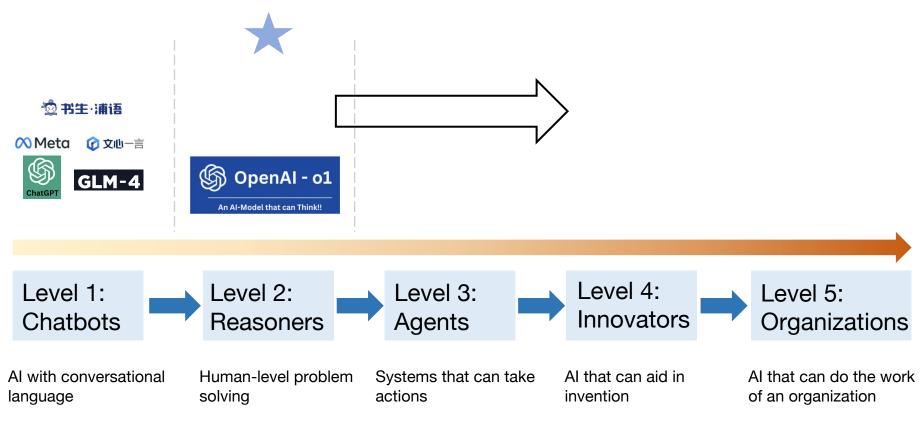
- 定义  $q(x) = p(1/x) - x^2$ — 分析 q(x) 的零点 Let me consider: 构造 s(x) = x^(2n)q(x) → 分析 s(x) 的性质 └── Therefore: s(x) 是一个多项式 Alternatively: 考虑  $s(x) = x^{(2n)}p(1/x) - x^{(2n+2)}$ Let me explain: 展开 p(1/x) 的表达式 因式分解 s(x) = m(x)h(x)── 定义 m(x) = □(x<sup>2</sup> - k<sup>2</sup>) — 推测 h(x) 形式 └── Consider: h(x) 必须是二次多项式 — 尝试: h(x) = -x^2 + bx + c └── Wait: 我们需要确定 b 和 c 的值 - Let me compute: 确定 h(x) 的系数 — 分析 s(x) 的高阶项 └── Thus: b = 0 分析 s(x) 的常数项 Therefore: c = (-1)^n / (n!)^2 Alternatively: 构造 t(x) = x^(2n)p(1/x) = p\*(x) · 分析 p\*(x) 的性质 └── Therefore: p\*(x) 是 p(x) 的反向多项式 考虑  $s(x) = t(x) - x^{(2n+2)}$ Thus:  $s(x) = p*(x) - x^{(2n+2)}$ 

└── Let me consider: p\*(x) 的系数

Root: 解决 p(1/x) = x^2 问题

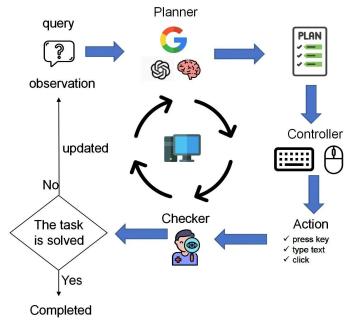
The hidden thinking process of o1 contains the intrinsic human-like cognitive process.

#### **Cognition Engineering Provides the Foundation for the Next Level of AGI**



### **An Example: the Level 3 Agents**

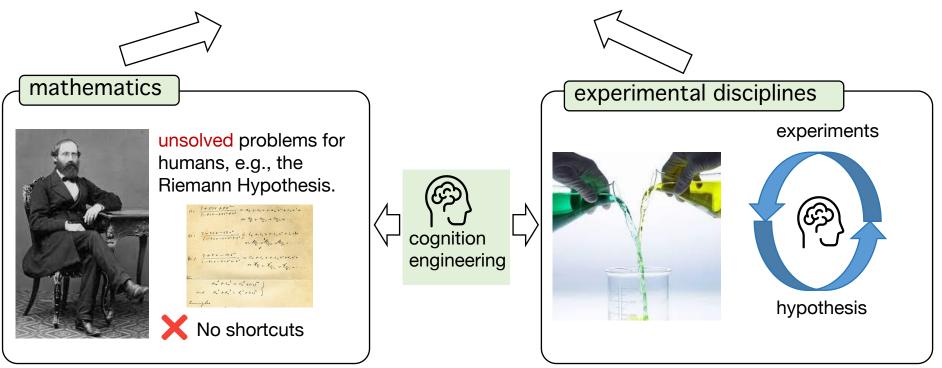
The model needs to iteratively refine its actions according to the state of the tasks, which requires strong cognitive abilities, such as exploration, reflection



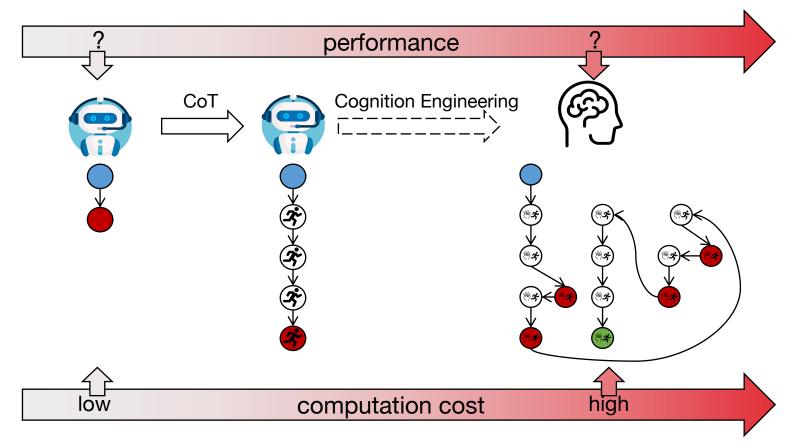
utilizing LLMs/LMMs for operate computers automatically

### **An Example: the Level 4 Innovators**

generate new knowledge from existing knowledge

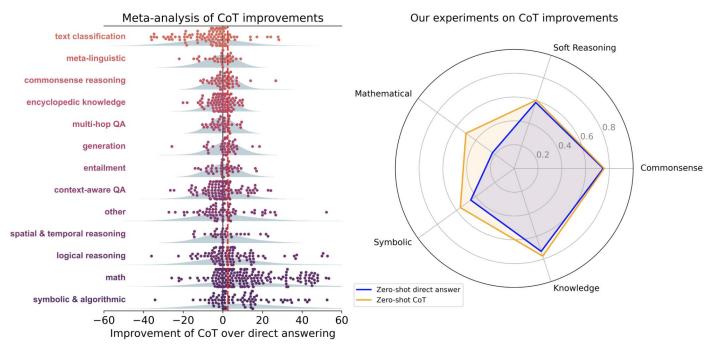


#### **The Computation Cost of Cognition Engineering**



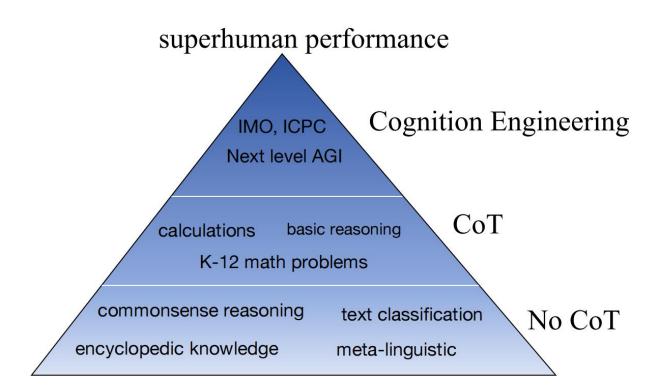
# **The Goal of Cognition Engineering**

CoT gives strong performance benefits primarily on tasks involving math or logic, with much smaller gains on other types of tasks



To Cot or not to Cot? Chain-of-thought helps mainly on math and symbolic reasoning, in arxiv 2024

## **The Goal of Cognition Engineering**



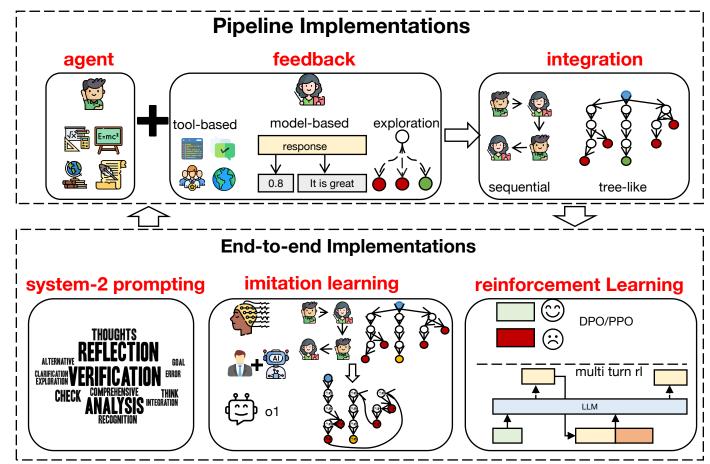


#### • What's the cognition engineering?

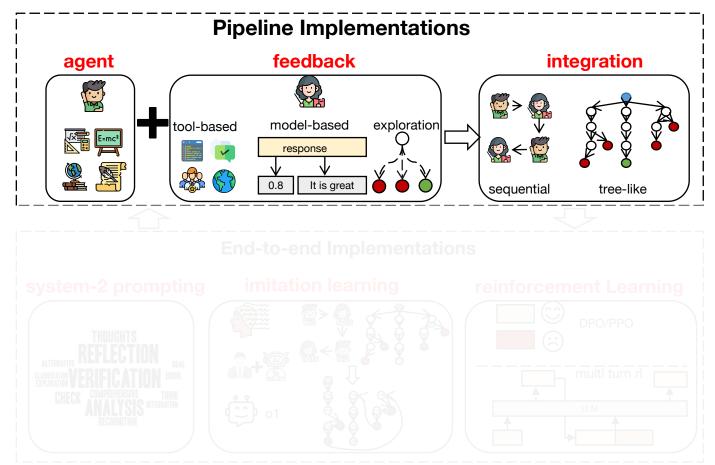
#### • Why now cognition engineering?

• How to implement the cognition engineering?

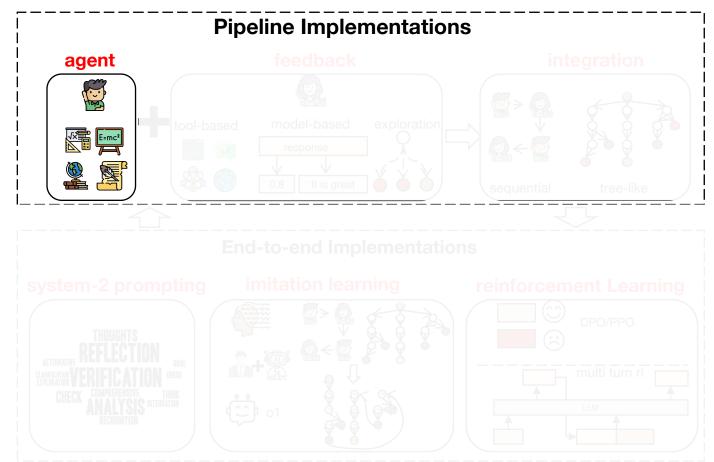
# **Implementations of Cognition Engineering**



### **Pipeline Implementations**

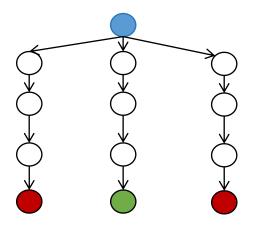


# **Selection Criterion for Agent**



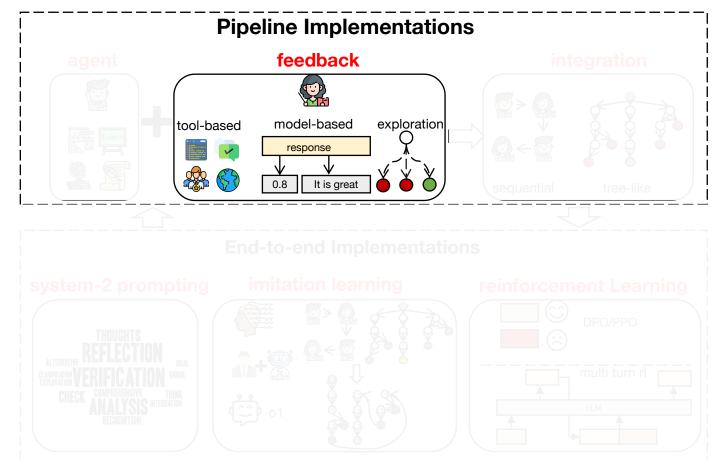
# **Selection Criterion for Agent**

Utilizing Pass@N to estimate the upper bound of performance gain from the pipeline.

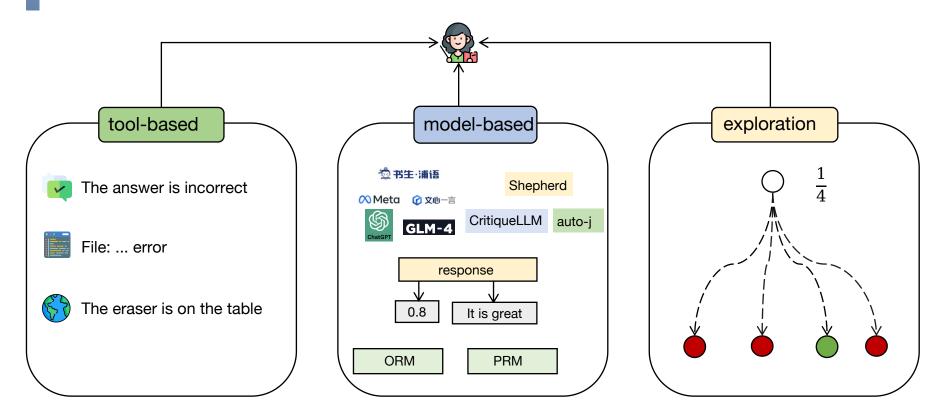


Pass@N

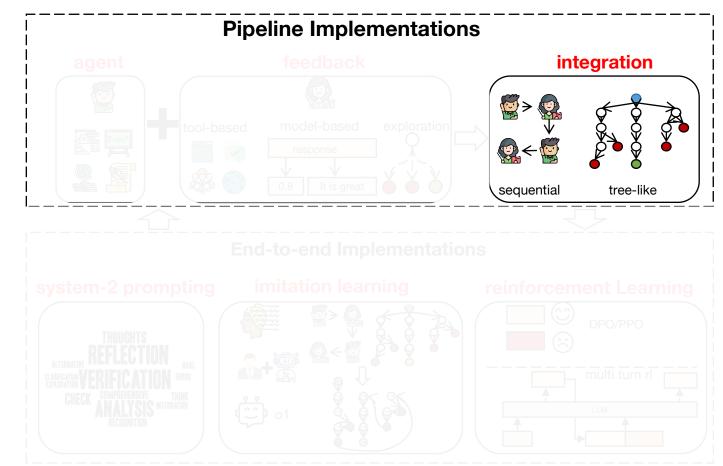
# **Design Consideration for Feedback Types**



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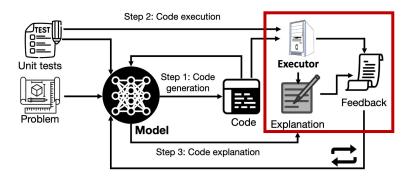


#### **Design Consideration for Integration Methods**



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#### sequential integration: (q, $r_1$ , $f_1$ , $r_2$ , $f_2$ , ...)



Teaching Large Language Models to Self-Debug, in ICLR 2024

Multi-Agent Debate

I disagree with you. To find the total number of revolutions, we need to consider both the rotation around circle B and the rotation of circle A itself. Therefore, circle A will revolve 3 times around its own center and 1 time around circle B, making a total of 4 revolutions.

I see your point, but...

B

F

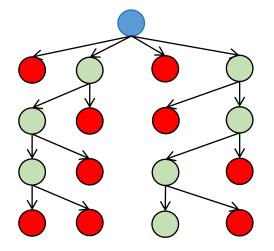
That's a valid point, however...

The negative side correctly considers both the rotation of circle A around its own center and its rotation around circle B, while the affirmative side only considers the rotation around circle B. Therefore, the answer is 4.

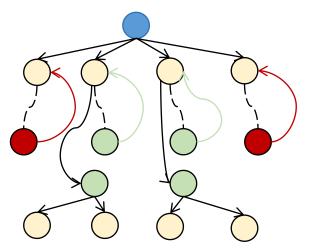
Encouraging Divergent Thinking in Large Language Models through Multi-Agent Debate, in EMNLP 2024

#### **Design Consideration for Integration Methods**

tree-like integration: search along the tree guided by reward

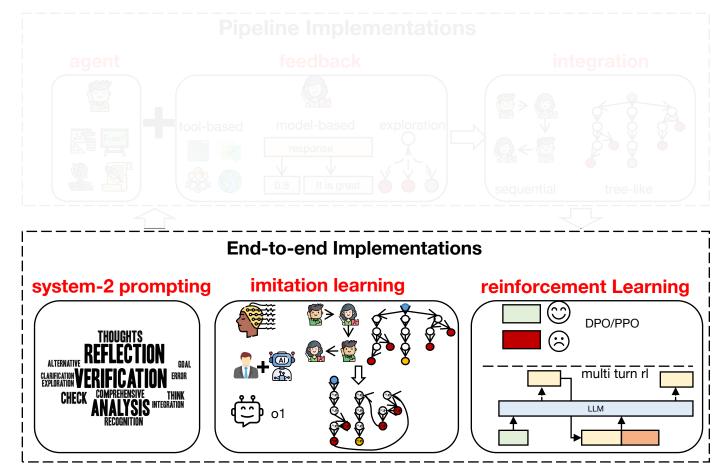


Beam Search

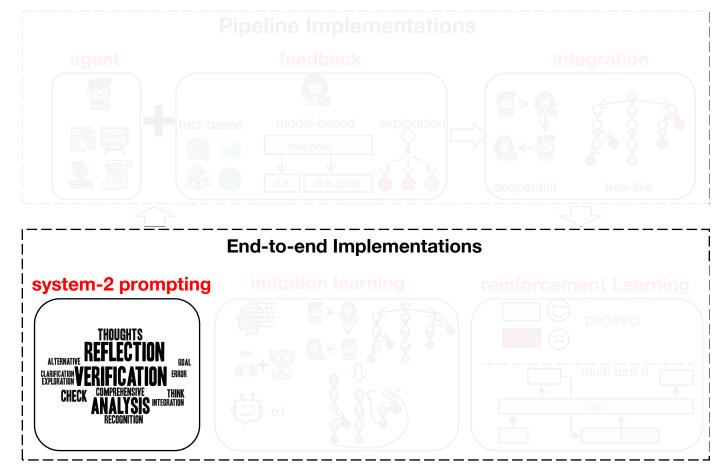


Lookahead Search

### **End-to-end Implementations**



# **System-2 prompting**



# **Prompting models for System 2 thinking**

Pros: low cost

Cons: no empirical results for performance gain



#### **Thinking Claude**

#### Let Claude think comprehensively before responding!

A super quick reminder: Thinking claude is not aimed for benchmarks or huge leaps in math or something, since those are pre-determined by the base model (new Claude-3.5 Sonnet). I only want to explore how further we could reach with Claude's "deep mindset". That said, when using it in your daily tasks, you will find Claude's inner monolog (thinking process) very very fun and interesting.

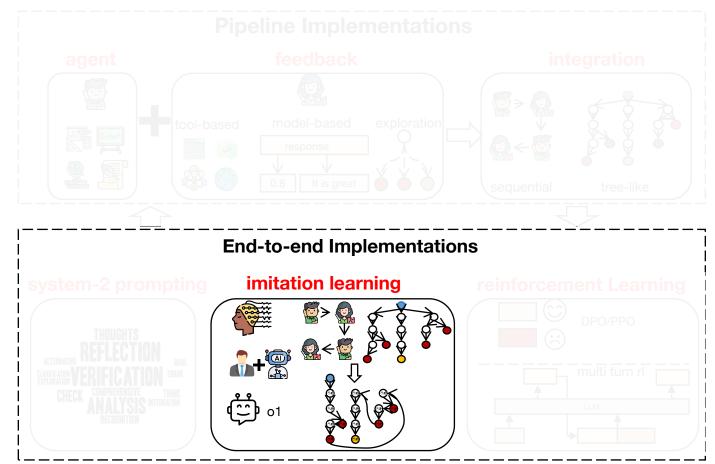
https://github.com/richards199999/Thinking-Claude/tree/main

g1: Using Llama-3.1 70b on Groq to create o1-like reasoning chains

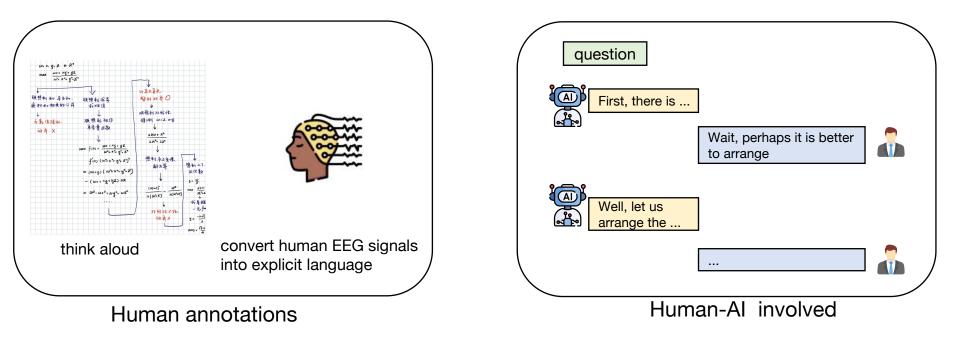
🖂 g1\_demo.1.mp4 🗸

https://github.com/bklieger-groq/g1

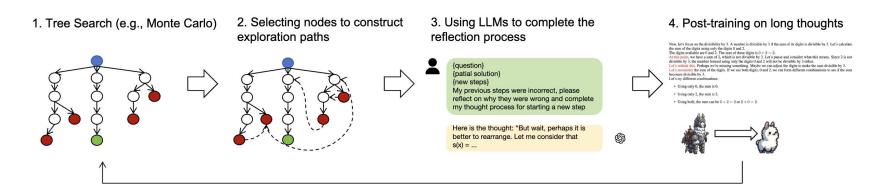
# **Imitation Learning**



Human-involved methods Pros: high quality Cons: high cost

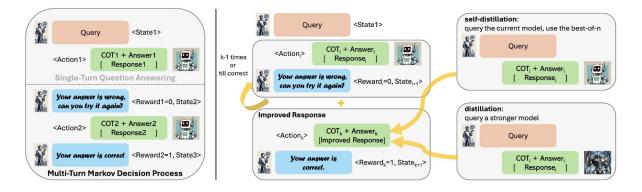


Gathering the trajectory of the system implementations Pros: scaling Cons: The alignment between the action from the agent and feedback signal is challenged.



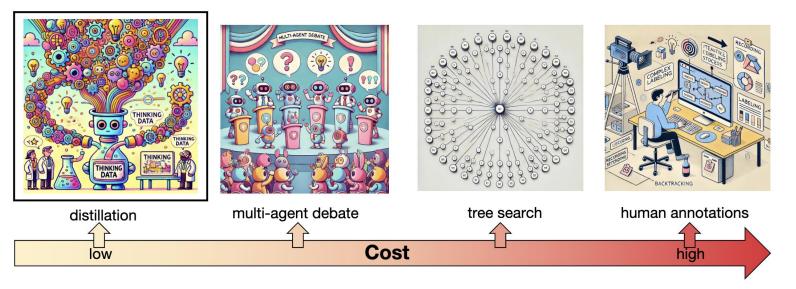
o1 Replication journey: A strategic Progress Report--Part 1, in arxiv 2024

Gathering the trajectory of the system implementations Pros: scaling Cons: The alignment between the action from the agent and feedback signal is challenged.



Recursive Introspection: Teaching Language Model Agents How to Self-Improve, in arxiv 2024

Distillation from models like o1 Pros: low cost and guarantees performance Cons: The upper bound of the models is o1

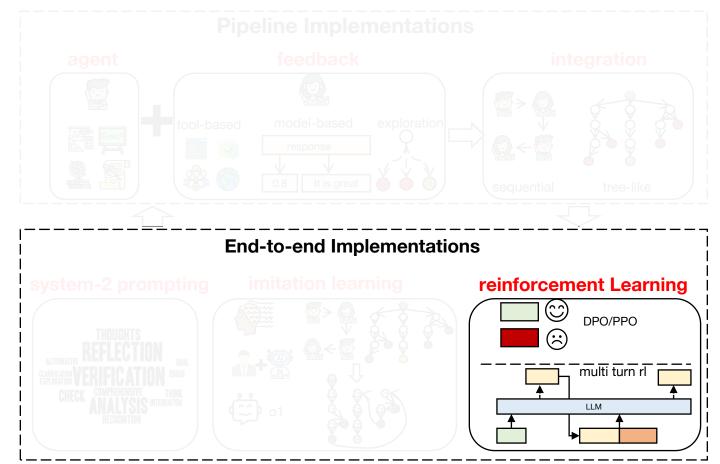


O1 Replication Journey -- Part 2: Surpassing O1-preview through Simple Distillation, Big Progress or Bitter Lesson?, in arxiv 2024

Distillation from models like o1 Pros: low cost and guarantees performance Cons: The upper bound of the models is o1

	AIME(2024)		MATH500	
Model	Accuracy	# Average Token	Accuracy	# Average Token
Proprietary				
o1-preview	12/30	9083	85.5	1501
o1-mini	21/30	9903	90.0	944
Parameter Size: 72B				
Ours-72B	13/30	8016	87.2	2235

O1 Replication Journey -- Part 2: Surpassing O1-preview through Simple Distillation, Big Progress or Bitter Lesson?, in arxiv 2024



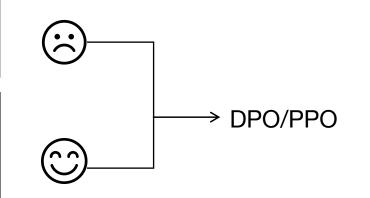
CoT

Define the sequence  $(\theta_n)$  by  $\theta_0 = \arccos \frac{5}{13}$  and  $\theta_n = 2\theta_{n-1}$ . Then  $\cos \theta_0 = \frac{5}{13}$  and  $\cos \theta_n = \cos(2\theta_{n-1}) = 2\cos^2\theta_{n-1} - 1$ . Since the sequences  $(a_n)$  and  $(\cos \theta_n)$  have the same initial term, and the same recursion, they coincide. We have that  $\sin^2\theta_0 = 1 - \cos^2\theta_0 = \frac{14}{140^2}$ . Since  $\theta_0$  is acute,  $\sin \theta_0 = \frac{12}{13}$ . Now,  $a_0a_1...a_{n-1} = \cos \theta_0 \cos \theta_1...\cos \theta_{n-1} = \cos \theta_0 \cos 2\theta_0...\cos 2\theta_{0-1}$ . Or  $\cos 2\theta_0$ . Multiplying both sides by  $\sin \theta_0 = \frac{12}{13}$ , we get  $\frac{12}{13}a_0a_1...a_{n-1} = \sin \theta_0 \cos \theta_0 \cos 2\theta_0 \cos 4\theta_0...\cos 2^{n-1}\theta_0 = \frac{1}{2}\sin 2\theta_0 \cos 2\theta_0 \cos 2\theta_0 \cos 4\theta_0...\cos 2^{n-1}\theta_0 = \frac{1}{4}\sin 4\theta_{0...}\cos 2^{n-1}\theta_0 = \frac{1}{2}\sin 2^n\theta_0 = \frac{1}{2}a_1^{-1}\frac{12}{12} \sin 2^n\theta_0 = \frac{1}{2}a_1^{-1}\frac{12}{12}$ . This tells us  $c \le \frac{13}{12}$ . We can compute that  $a_1 = 2a_0^2 - 1 = 2\left(\frac{5}{13}\right)^2 - 1 = -\frac{19}{160}$ ,  $\cos \frac{5}{13}, \frac{19}{160} \le \frac{c}{4}$ . Then  $c \ge \frac{280}{2109}$ . The bound  $\frac{280}{2197} \le c \le \frac{13}{12}$  lets us that the integer closest to 100c is [108].

#### Cognition Engineering

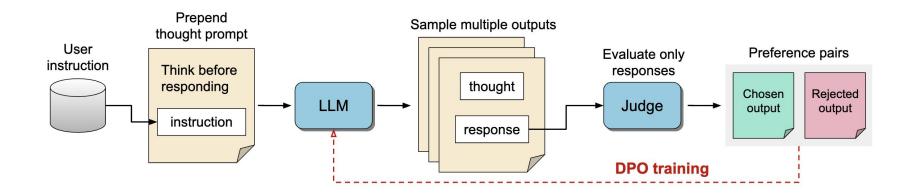
We have an infinite real number sequence  $a_{0}, a_{1}, a_{2}, \dots$ , where the initial term  $a_{0} = \frac{5}{12}$ . The recurrence relation is:  $a_{n} = 2a_{n-1}^{2} - 1$ for all  $n \ge 1$ . Our goal is to find the smallest constant csuch that for all n, the inequality  $|a_0a_1 \cdots a_{n-1}| \le \frac{c}{2n}$  holds true. Ultimately, we need to calculate 100cand round it to the nearest integer. First, we have the recurrence formula:  $a_n = 2a_{n-1}^2 - 1$ . The initial condition is  $a_0 = \frac{5}{12}$ . To better understand this recurrence relation, we can try calculating the first few terms:  $a_1 = 2a_0^2 - 1 = 2\left(\frac{5}{13}\right)^2 - 1 = 2 \times \frac{25}{160} - 1 = \frac{50}{160} - 1 = \frac{50-169}{160} = \frac{-119}{160}$  $a_2 = 2a_1^2 - 1 = 2\left(\frac{-119}{320}\right)^2 - 1 = 2 \times \frac{14161}{20074} - 1 = \frac{28322}{20074} - 1 = \frac{28322-28561}{20074} = \frac{-239}{20074}$ . By calculating the first few terms, we can observe the trend of the sequence a,, However, this does not directly help us solve the inequality problem. Therefore, we need to find a more effective method. The original inequality is:  $|a_0a_1 \cdots a_{n-1}| \leq \frac{c}{2n}$ . To simplify this inequality, we can multiply both sides by  $2^n$ :  $|2a_0 \cdot 2a_1 \cdots 2a_{n-1}| \leq c$ . This way, we have transformed the inequality into a product form involving 2a. However, while this step simplifies the form of the inequality, it does not immediately reveal how to further handle the product of 2a<sub>i</sub>. Thus, we need to explore other methods to address this recurrence relation Observing the recurrence formula:  $a_n = 2a_{n-1}^2 - 1$ . This resembles the double-angle formula for the cosine function:  $\cos(2\theta) = 2\cos^2\theta - 1$ . This similarity leads us to the idea that perhaps we can relate the sequence a. to the cosine function. Suppose each term a. can be represented as the cosine of a certain angle. Specifically, let:  $a_n = \cos \theta_n$ . Thus, the recurrence formula becomes:  $\cos \theta_n = 2\cos^2 \theta_{n-1} - 1$ According to the double-angle formula, we know:  $\cos(2\theta) = 2\cos^2\theta - 1$ . Therefore, we can deduce:  $\cos \theta_n = \cos(2\theta_{n-1})$ . This implies:  $\theta_n = 2\theta_{n-1}$  or  $\theta_n = -2\theta_{n-1} + 2k\pi$ , but here we take the positive angle. Thus, the relationship between the angles is:  $\theta_n = 2\theta_{n-1}$ . By iterating further, we obtain:  $\theta_n = 2^n \theta_0$  where  $\theta_0$  is the initial angle corresponding to  $a_0$ . Based on our definition:  $a_0 = \cos \theta_0 = \frac{5}{12}$ To find  $\theta_0$ , we need to calculate:  $\theta_0 = \arccos\left(\frac{5}{12}\right)$ . Additionally, we can compute:

$$\begin{split} & \sin \theta_0 = \sqrt{1-\cos^2 \theta_0} = \sqrt{1-\left(\frac{5}{13}\right)^2} = \sqrt{1-\frac{25}{169}} = \sqrt{\frac{144}{169}} = \frac{12}{13}. \\ & \text{Thus, we have } \sin \theta_0 = \frac{12}{13}. \\ & \text{Returning to our inequality:} \\ & \left[a_0a_1\cdots a_{n-1}\right] \leq \frac{c}{2^*}. \\ & \text{Based on our definition } a_i = \cos \theta_i, \\ & \text{we have: } a_0a_1\cdots a_{n-1} = \prod_{i=0}^{n-1}\cos \theta_i. \\ & \text{Since } \theta_i = 2^i\theta_0, \\ & \text{we can express the product as: } \\ & \prod_{i=0}^{n-1}\cos(2^i\theta_0) = \frac{12}{13}. \\ & \text{Horefore, the inequality: } \\ & \text{transformed to: } \left[\frac{\sin(2^*\theta_0)}{2^*\sin\theta_0} + \frac{1}{2^*}\frac{1}{3^*} \cos \theta_i. \\ & \text{Substituting the known sin } \theta_0 = \frac{12}{13}. \\ & \text{Multiplying both sides by } 2^n \sin \theta_0 (noting that \quad \sin \theta_0 > 0), \\ & \text{we obtain: } \left[\sin(2^n\theta_0)\right] \leq c \cdot \sin \theta_0. \\ & \text{Substituting the known sin } \theta_0 = \frac{12}{13}. \\ & \text{We get: } \left[\sin(2^n\theta_0)\right] \leq c \cdot \frac{12}{13}. \\ & \text{To resure this inequality holds for all } n, \\ & \text{we require: } \\ & c \geq \frac{\sin(2^2\theta_0)}{13} = \frac{13}{12}[\sin(2^n\theta_0)]. \\ & \text{Since } \left[\sin(2^n\theta_0)\right] \leq 1 \\ & \text{for all } n, \\ & \text{the smallest cmust satisfy: } c \geq \frac{13}{13}. \\ & \text{Therefore, the smallest cis } \frac{13}{12}. \\ & \text{Therefore, the smallest cis } \frac{13}{12}. \\ & \text{Therefore, the nearest integer. \\ & \text{Rounding 108.3 } \\ & \text{Rounding 108.3 } \\ & \text{Horefore, the nearest integer. } \\ & \text{Horefore, the nearest integer. \\ & \text{Horefore. } \\ & \text{Horefore, the nearest integer. \\ & \text{Horefore.$$



### **core**: training a reward model for highquality human thinking process

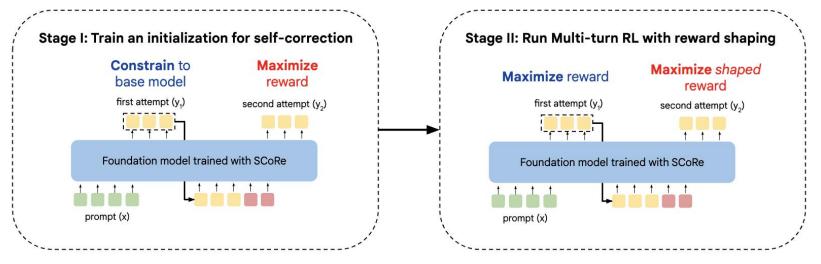
- outputs: thought + response
- dpo only in the response



Thinking LLMs: General Instruction Following with Thought Generation, in arxiv 2024

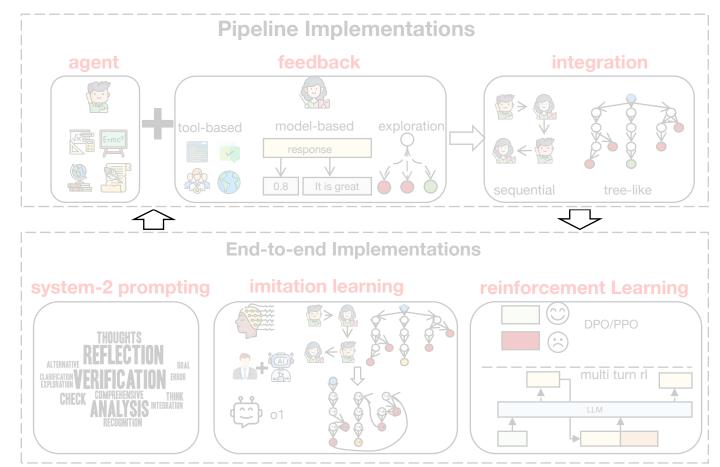
### multi-turn rl

- $\checkmark$  the first attempt is correct
- $\checkmark\,$  the first attempt is incorrect but the second attempt is correct



Training Language Models to Self-Correct via Reinforcement Learning, in arxiv 2024

## **Connections Between the Two Implementations**



# Q&A

- What's the cognition engineering?
  - Teach models to learn from the entire human cognitive process.
- Why now cognition engineering?
  - Level 2 AGI: cognition engineering advances the models to reasoners
  - Level 3-5 AGI: cognition engineering provides the foundation for the next level of AGI
- How to implement the cognition engineering?
  - Pipeline implementation
    - Agent
    - Feedback
    - Integration
  - End-to-end implementation
    - System-2 prompting
    - Imitation learning
    - Reinforcement learning

Our position paper 'Cognition Engineering' will be preprinted soon!