MAS.S68, Spring 2023 3/8

Generative Al for Constructive Communication

Evaluation and New Research Methods



Agenda

Mina Lee

Zoom talk

Q&A after her talk



Second half of class:

5 minute break

Feedback notes

Break after talks, assignments focused on project

Human Subjects Research

Lecture

Human subject research for LM-based applications



Scope of this lecture

Our goal is to summarize practical advice on measuring the impact of your work on people. We'll cover many subjects, each of which can stand on its own as a whole course! There are links to more reading throughout this presentation.

Outline:

- [10 min] Motivation + examples
- [5 min] Ethics / IRB
- [5 min] Methods: Surveys
- [5 min] Methods: Interviews
- [10 min] Methods: Randomized control trials
- [5 min] Platforms and resources





Every stage is full of people!

People write the words that LMs are trained on

People express the preferences that we use to fine-tune these LMs

People provide the labels that let us evaluate these LMs

People decide which applications to create

People use these applications

People are impacted by this usage

How do these people relate to each other, and how can we best serve them?

What is human subject research?

"Interventional"

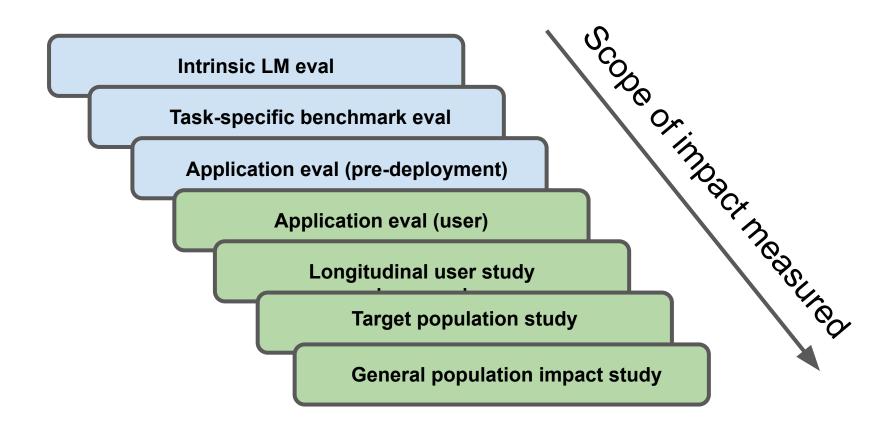
Studies in which real human beings are affected or observed.

"Observational"

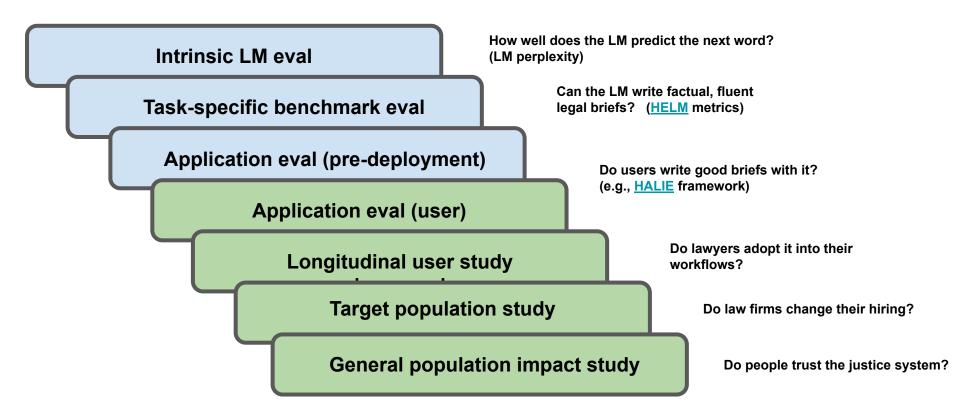
What is human subject research?

Studies in which real human beings are affected or observed. They vary in **scope**, **method**, and **scale**.

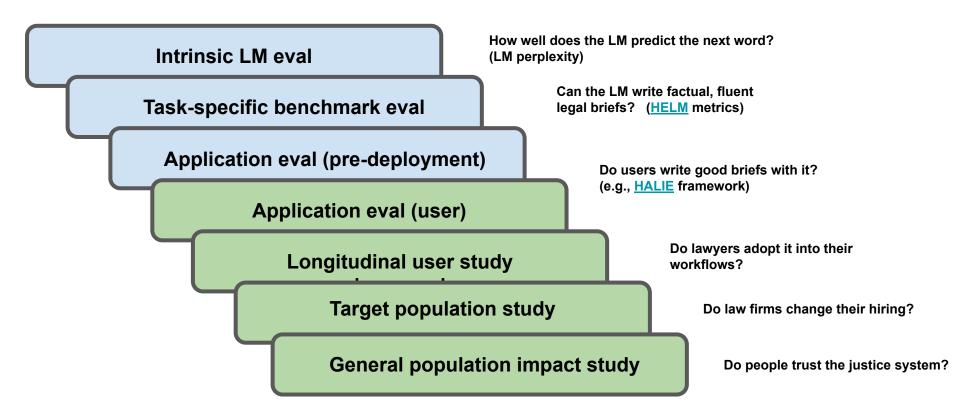
Evaluation landscape for LM-based applications



Evaluation landscape: "Chatbot for lawyers" app example

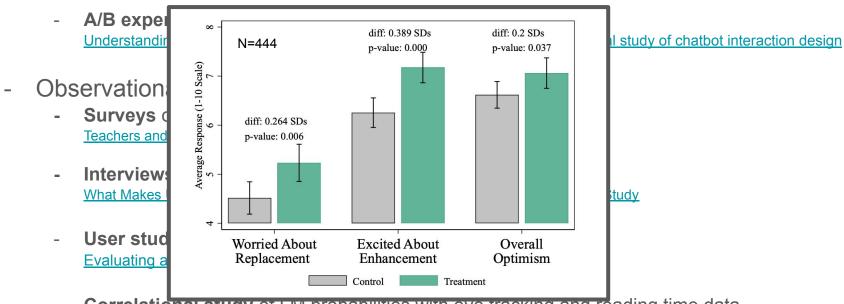


Evaluation landscape: "Chatbot for lawyers" app example



- Interventional
 - Randomized control trial measuring how ChatGPT impacts productivity
 Experimental Evidence on the Productivity Effects of Generative Artificial Intelligence (+ appendix)
 - A/B experiments in chatbots
 Understanding the user experience of customer service chatbots: An experimental study of chatbot interaction design
- Observational
 - Surveys of teachers about chatbots in the classroom
 Teachers and Students Embrace ChatGPT for Education
 - Interviews with users of customer service chatbots
 What Makes Users Trust a Chatbot for Customer Service? An Exploratory Interview Study
 - User studies of users of chatbots on different websites (2018)
 Evaluating and Informing the Design of Chatbots
 - Correlational study of LM probabilities with eye tracking and reading time data
 On the Predictive Power of Neural Language Models for Human Real-Time comprehension Behavior

- Interventional
 - Randomized control trial measuring how ChatGPT impacts productivity
 Experimental Evidence on the Productivity Effects of Generative Artificial Intelligence (+ appendix)



Correlational study of LIVI probabilities with eye tracking and reading time data

On the Predictive Power of Neural Language Models for Human Real-Time comprehension Behavior

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-	Observationa - Surveys of	N=35	Interaction mechanism	Mean	SD	t	df	Sig. (2- tailed)	Effect size (d)
	Teachers and S	Anthropomorphism	Buttons Free text	4.39 4.00	1.33 1.53	1.39	34	.17	0.24
	- Interviews What Makes Us	Social presence	Buttons Free text	4.71 4.39	1.57 1.76	1.07	34	.29	0.18
	- User studie Evaluating and	Hedonic quality	Buttons Free text	4.67 4.37	0.73 0.78	2.35	34	<0.05	0.39
	- Correlation On the Predictiv	Pragmatic quality	Buttons Free text	5.54 5.06	1.19 1.35	2.17	34	<0.05	0.37

Recent examples of LM-or

- Interventional
 - Randomized control trial measu <u>Experimental Evidence on the Productivity</u>
 - A/B experiments in chatbots
 Understanding the user experience of customers

Key Findings

N=1002 (early Feb, 2023)

Most teachers, and many students, are already using ChatGPT for their job.
 A 51% majority of teachers report using ChatGPT, with higher usage among
 Black (69%) and Latino (69%) teachers. This includes 40% of teachers who use it weekly and 10% who use it almost every day.

Three in ten teachers have used it for lesson planning (30%), coming up with creative ideas for classes (30%), and building background knowledge for lessons and classes (27%). Middle school and high school teachers are more likely to have used ChatGPT for lesson planning (38% and 35%, respectively), brainstorm for ideas (38% and 34%), and build background knowledge (31% and 34%) than pre-K and elementary school teachers.

A third of students 12-17 say they've used ChatGPT for school (33%), including 47% of those 12-14.

- Observational
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- Interventional
 - Randomized con <u>Experimental Evidence</u>
 - A/B experiments
 Understanding the use

However, five of the participants also noted that them becoming regular users of chatbots for customer service in part depended on their own interest in technology and new services. That is, their future use of chatbot may not only depend on the chatbot as such but also on themselves as users.

I have very strong belief in this. I am a user because I want to show my support to the technology as I am quite interested in information technology. (P5)

N = 13

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Recent examples of LM

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CONCLUSION

We define chatbots as text-based, turn-based, task-fulfilling programs, embedded within existing platforms. Our study, involving 16 participants interacting with 8 pre-selected chatbots for the first-time, over three days, spanning almost 10,000 messages, revealed that expectations of users were not met. Participants were either disappointed or frustrated with mediocre natural language capabilities and the limited set of features offered by the chatbots. The comments for the high-rated chatbots provided directions for improvements. Clarifying a chatbot's capabilities, supporting context resolution for dialog efficiency, managing dialogue failures, engaging in small talk, and ending conversation gracefully, are some of the guidelines for chatbot designers. We expect the results from our work to inform and guide the design of future chatbots. N = 16

User studies of users of chatbots on different websites (2018)

Evaluating and Informing the Design of Chatbots

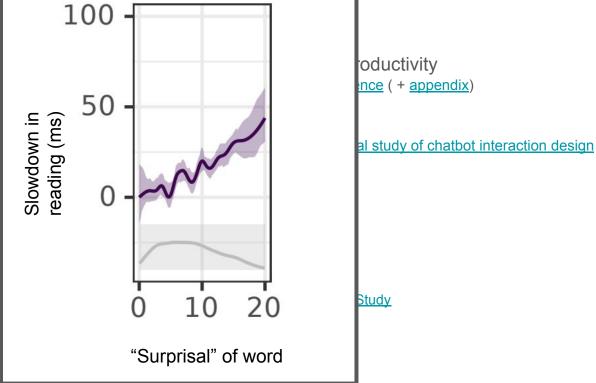
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Interventional

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Human subject research: ethics



Three principles of ethical human subject research (The Belmont Report)

Respect for Persons

- Requirement for autonomy
- Requirement to protect those with diminished autonomy

Beneficence

- Do no harm
- Maximize possible benefits

Justice

- Fairness in selection of research subjects
- Fairness in distribution of research benefits

Institutional Review Board (IRB)

"The purpose of IRB review is to assure, both in advance and by periodic review, that appropriate steps are taken to protect the rights and welfare of humans participating as subjects in the research"

At MIT, our IRB is called *Committee on the Use of Humans as Experimental Subjects* (https://couhes.mit.edu/).

Research protocols that involve human subjects must be approved by COUHES prior to the start of research. Submit online via https://couhes-connect.mit.edu/

Additional Information

This survey is part of a research study conducted by Shakked Noy and Whitney Zhang at the Massachusetts Institute of Technology (MIT) Economics Department. The research aims to understand the determinants of people's productivity on writing tasks. Your participation in this study is completely voluntary and you can choose to withdraw at any time without any penalty or consequence. If you volunteer to participate, we will assign you questions and writing tasks as described above, and ask you to sign up for an online account. We do not anticipate any risks or discomforts in the survey. The research may involve risks that are currently unforeseeable. We anticipate the study will provide benefits to society by enabling a better understanding of the determinants of productivity.

If you have any concerns or comments about this study, you can contact the researchers at snow@mit.edu or zhangww@mit.edu. You can contact the MIT Committee on the Use of Humans as Experimental Subjects at couhes@mit.edu.

Data from this survey may be made public. We will remove Prolific IDs and all identifying information before posting the data, to maintain confidentiality.

COUHES review categories

Exempt review

- "Benign intervention" or analysis of existing data; minimal risk; no PII
- Most surveys or educational tests qualify for exempt review. Those involving deception, embarrassment, or children may not. Those in which subjects are prisoners never do.
- Still **must submit a form to COUHES**; PI approval required.

Expedited review

- Minimal risk intervention
- Reviewed on rolling basis

- Full committee review

Reviewed at monthly board meetings

(See https://couhes.mit.edu/definitions for more)

Human subject research: Observational Methods

- 1) Surveys
- 2) Interviews



Surveys

- Useful for assessing people's opinions, behaviors, and experiences
- **Pros**: Easy to deploy online; low/benign impact on subject
- Cons: Many sources of bias to be aware of! Less versatile than interviews.
- Three good resources on how to design surveys:
 - Writing Survey Questions (Pew Research)
 - Harvard's tip sheet
 - Methods of Study Designs- Observational Studies & Surveys

Case study: ChatGPT in the workplace (Noy, Zhang)

Their research question: What kinds of professionals benefit the most and the least from exposure to ChatGPT in terms of satisfaction, efficacy, and productivity?

Their surveys asked:

- Demographics (employment status, income)
- Objective measures of experience, job tenure
- Subjective skill assessment
- Familiarity with other software
- How much did you enjoy doing the task?
- How skilled/effective did you feel while doing the task?
- How long did it take you to do the task?

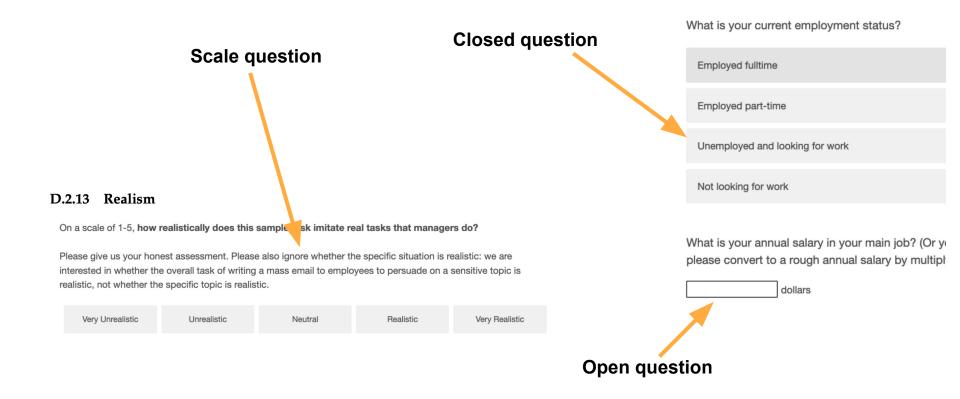
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Case study: ChatGPT in the workplace (Noy, Zhang)



Total Survey Error framework

Goal of <u>TSE</u> is to maximize data quality given a fixed budget.

"Total survey error = representation errors + measurement errors"

Errors come from who we ask: ("Representation")

- Sampling bias
- Non-response bias

...and how we ask them: ("Measurement")

- Question wording biases
- Question ordering biases
- Social desirability bias
- Acquiescence bias

See: <u>Bit by Bit: Social Research in the Digital Aget</u> (Salganik)

<u>Total Survey Error: Design, Implementation, and Evaluation</u> (Biemer)

Nonresponse rates on open-ended survey questions vary by demographic group, other factors (Pew)

In 2003 more people favored civil unions when asked after a question about same-sex marriage

% of U.S. adults

	Legal agreements Favor	% 37	Gay marriage Favor	% 33
Asked first	Oppose	55	Oppose	61
	Don't know	8	Don't know	6
		100		100
	Gay marriage		Legal agreements	
Asked second	Favor	30	Favor	45
Askeu secoliu	Oppose	58	Oppose	47
	Don't know	12	Don't know	8
		100		100

Survey conducted October 2003.

PEW RESEARCH CENTER

Human subject research: Observational Methods

- 1) Surveys
- 2) Interviews



Qualitative methods

You can learn a lot from... talking to people.

Want to know what educators think of ChatGPT?

You could ask them!

Anonymized interviews are often exempt sources of research data.

Interview research

In brief:

- Decide who you're interviewing
- Plan interview guide what will you ask about?
- Collect notes (according to IRB approval, might need to be anonymous)
- Do qualitative coding:
 - o Inductive: look at the data, derive themes from the data, label themes in the data
 - o Deductive: start with a list of themes, label the data with list of themes
- Analyze!
 - Describe the data, perform statistical analysis, etc.

[If you want more details on this, come talk to us!]

How do text to image models affect design?

Qualitative and quantitative methods can support each other, and you can come to the same conclusions using different methods.

A true story:

Raw materials



Mixed methods research:

"Green red and white buildings in front of a shiny river with a white fence on the side"



Model generates image

Interviewer asks the user:

Did this image inform your design?



Interviewer takes notes



Researcher synthesizes answers, pulls out and analyzes themes





Participants are using prompting for different purposes!



User

Creating and applying qualitative codes to interviews

Identified 3+ "styles"

EXPLORER

Labeled 30 participants by hand based on their 3 prompts





Prompt 1: 'My printed map required too much plastic'



I'm still having fun'



Prompt 2: 'I'm exhausted but Prompt 3: 'My hovercraft is full of eels'



Prompt 1: 'Angel vegetables octopus



Prompt 2: 'Angel vegetables



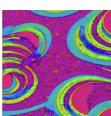
Prompt 3: 'Cat dog angel'



Prompt 1: 'Orb pink glitter utopian soundscape'



Prompt 2: 'Disco ball pink glitter utopian soundscape

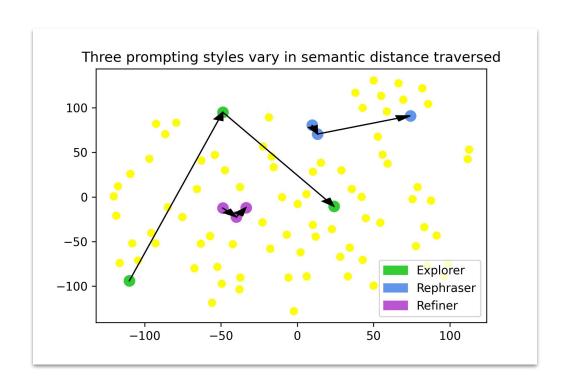


Prompt 3: 'Disco ball pink glitter utopian soundscape waves diatom ripples'

Mixed methods research

Quantitative version:

Quantified degree of "conceptual exploration" using average cosine distance over 3 prompts

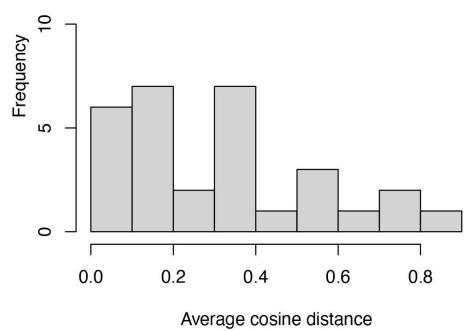


Mixed methods research

Findings reinforced each other!

Point is:

- -There are multiple versions of every project
- Choose methods that match your background and goals!



(Amount of conceptual exploration)

Human subject research: Interventional methods

1) Randomized Controlled Trials (RCTs)



A Case Study

Pre-ordained outcomes

Research Question: What are the productivity effects of ChatGPT in the context of mid-level professional writing tasks? (Noy and Zhang 2023)

Specific context

Three Elements of an RCT

Randomization

Pre-ordained outcome measures

Blinding

RCTs: Randomization

Why can't we just observe people that use ChatGPT and those who don't?

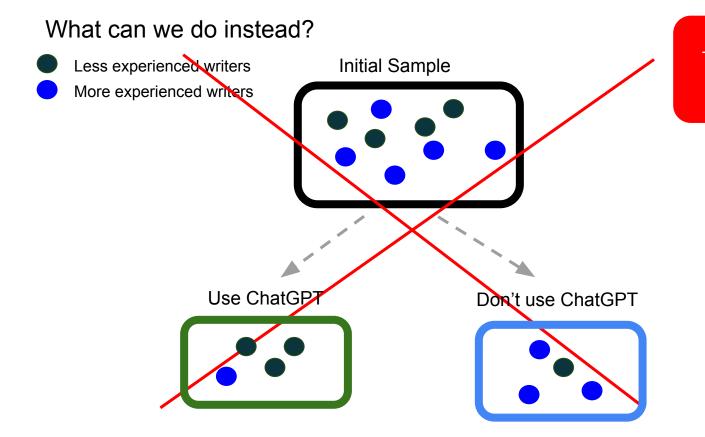
- Send out a survey to MIT students that asks them to partake in the study
- Measure "writing productivity" for the students that do/don't use ChatGPT and compare the two groups

Selection bias!

"occurs when individuals or groups in a study differ systematically from the population of interest leading to a systematic error in an association or outcome." (<u>Catalog of Bias, Oxford</u> <u>University</u>) Confounding!

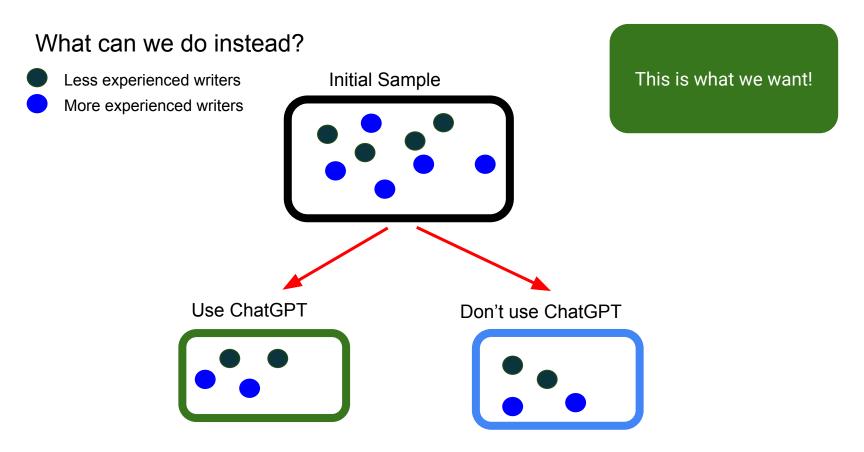
"Confounding variables are those that affect other variables in a way that produces spurious or distorted associations between two variables. They confound the "true" relationship between two variables." (ICPSR. University of Michigan)

RCTs: Randomization



This is NOT what we want!

RCTs: Randomization



RCTs: Preordained outcome measures

Decide what/how you want to measure **before** you run your RCT

of tasks completed in a certain time Quality of writing as determined by human raters

Factual correctness of answers

- Be precise and exhaustive on your data collection and analysis before you run your experiment
- Most of the thinking should be done before running your experiment
- What other data would you want to collect?
 - Demographics
 - Writing experience
- Negative results are positive results!
 - Most experiments don't work, which is totally fine

RCTs: Blinding

Who knows what about the experiment?

Single blind

Only the researcher knows who got what treatment (e.g. surgery)

Double blind

- Neither the researcher nor the subject knows who got what treatment
 - Ideal case
 - Least chance of bias

RCTs: Practical Analysis Tips

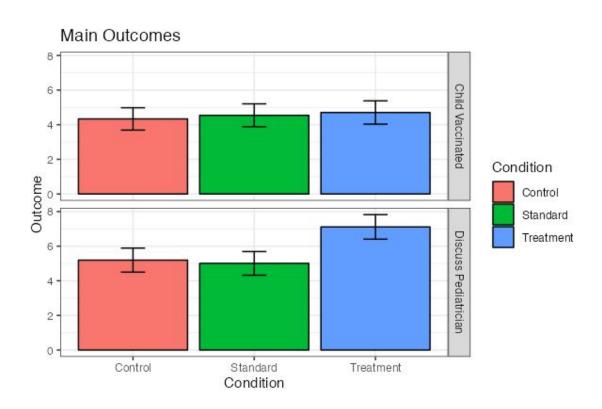
Sanity Checks

What do I do first?

- Include attention checks!
 - Were your participants actually doing what you asked?
- Ensure proper randomization
 - E.g. are the groups balanced on demographics?
- Did **all subjects comply** with the treatment?

- **Plot the difference** between treatment and control outcomes, and have a sense for what is a "big deal"
 - Don't rely only on p-values
- Plot the distribution of outcomes
 - Is it very skewed?
- Use regressions to control for any confounders not balanced by randomization
- Qualitative analysis is great! Can collect comments from survey participants
 - Hypothesis for mechanism; why did the intervention work?

RCTs



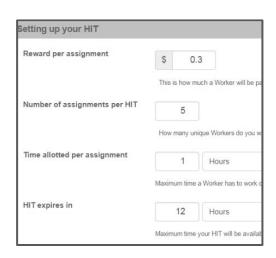
Human subject research: platforms

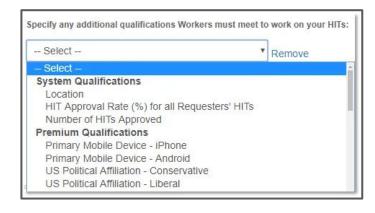
- 1) Crowdworking platforms
- 2) Survey design platforms
- 3) Other resources



Platform: Amazon Mechanical Turk

- Oldest and most popular "crowdsourcing marketplace".
- Requestors post "High Intelligence Tasks" such as surveys that Workers complete these for pay
- ~250k workers, 90% in U.S.
- Workers can be selected based on self-reported qualifications such as age, location, political affiliation, education, and many more.
- Good for reaching a large group quickly; bad for having them do hard tasks.

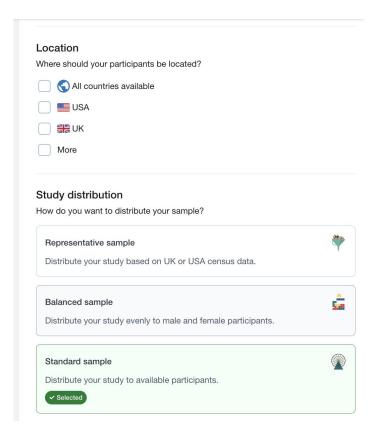




(Here's a good presentation from <u>UMich</u> about MTurk)

Platform: Prolific

- More targeted at academic research in behavioral sciences. Better when you need survey responses or have a longer-duration task
- More modern UI than MTurk
- Generally higher data quality. See: <u>Data quality of platforms and panels for online behavioral</u> research



Tips about crowd-work platforms in general

- Guard against fraud:
 - Some workers lie about qualifications in order to answer survey
 - Some workers rush through surveys in order to get rewards more quickly
- Tips for improving data quality:
 - Increase qualifications required (e.g., MTurk "Master" status)
 - Attention checks
 - Golden data
 - For a good guide on these and other data annotation practices, see section 3 in

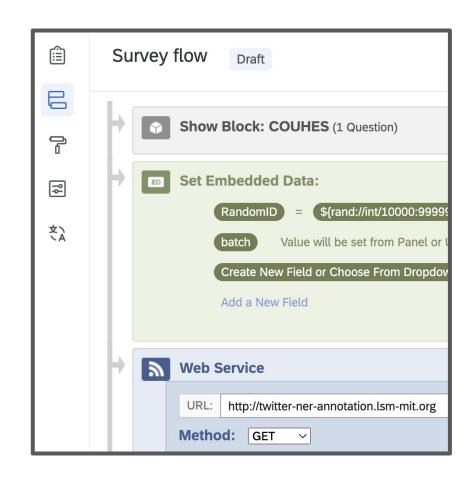
 Human-in-the-Loop Machine Learning">Human-in-the-Loop Machine Learning. (Copy available here)
- Always measure inter-annotator agreement
- Pay fairly! At least the prevailing minimum wage in the location of the worker.

Also see:

- Online panels in social science research: Expanding sampling methods beyond Mechanical Turk
- The Perils of Using Mechanical Turk to Evaluate Open-Ended Text Generation

Platform: Qualtrics

- Survey design / deployment tool
- Nice GUI supporting common randomization / looping logic
- Can pair with MTurk/Prolific to recruit respondents
- Incudes library of time-tested demographic questions
- MIT has a license. Set up your account at https://qualtrics.mit.edu/



MIT's Behavioral Research Lab

Offers MIT researchers assistance with recruitment of research study participants, both on online platforms and in their own "participant pool"

See: https://brl.mit.edu/



Logistics

Next week:

Media Lab Research Panel

In person!



Project 1 pager due Friday!

Sign up for office hours

Homework is light this week and due Monday



Out-takes

(Topics we didn't get to cover)



Human subject research: A/B experiments in industry



A/B experiments in industry

"A/B experiment": industry jargon for an RCT in which the test hypothesis is whether a change to an application leads to a change in some business criterion.

Typically:

- Control = status quo; Treatment = proposed change (e.g., use a new LM to score search results)
- **Experimental unit** is some unit of activity of the application (e.g. users, sessions, search queries)
- Key metrics are defined based on this activity (e.g. click-through rate, active days per user, "like" rate)
- Some "overall evaluation criterion" (OEC) is defined in terms of the key metrics
- Change is launched if OEC(treatment) > OEC(control) at some level of confidence

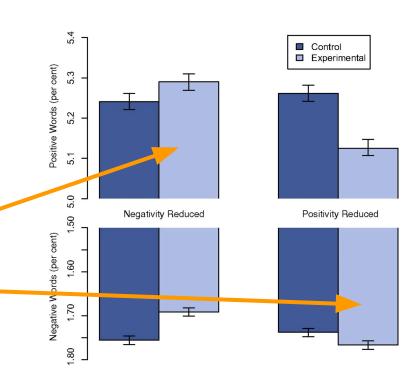
- Building a Culture of Experimentation (HBR)
- Trustworthy Online Controlled Experiments: A Practical Guide to A/B Testing

A/B experiments in industry: Facebook case study

"Emotional contagion experiments" in 2012:

- Control → User gets normal news feed
- Treatment → Some fraction of "positive" or "negative" posts omitted
- Users who had negative posts reduced made more positive status updates
- ...and vice versa

(2014 PNAS paper)



Also: Everything We Know About Facebook's Secret Mood-Manipulation Experiment

A/B experiments in industry: Google example

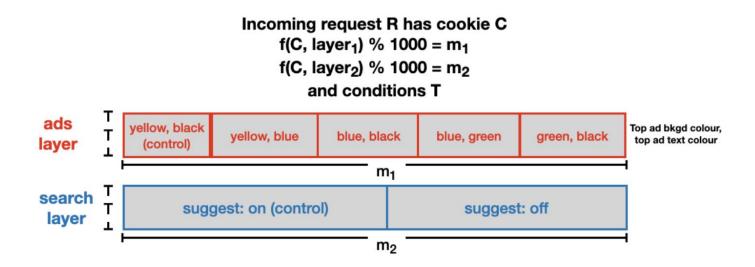


Diagram source: Experimentation platforms at scale (Ambiata)

Implementation Science

How can an evidence-based intervention reach a larger population?

Efficacy trials vs. Effectiveness trials [more]

Concepts:

- Fidelity: How much does the implemented EBI looks like the original plan?
- Sustainability: Will the value of EBI sustain over time?

Work from the developing world

See District outreach paper

Implementation Science at a Glance (NIH)

Preregistration

The Preregistration revolution

Also see

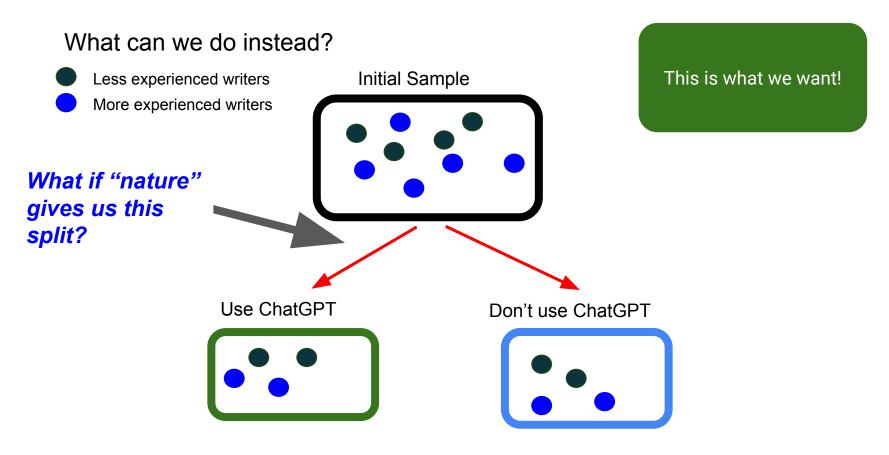
https://docs.google.com/presentation/d/11pmZ5jPFdZOGPyTrzmr1eBSJvtVgDgCYs8VNMg89vlw/edit#slide=id.p

Degrees of impact

(Inspired by Stewardship of Global Collective Behavior,)

Scenario	Typical 1st order concern	2nd order	3rd order	4th order
	(developer-focused)	(immediate impact on user)	(long-term impact on user)	(collective behavior)
Making a new social network	Does it get a lot of usage?	Do users report that they enjoy the time they spend on it?	Do users strengthen their bonds with their local community through it?	Is affective polarization reduced by the existence of this social network?
Adding "autocomplete" to a search input box	Do people make more searches when the auto-complete suggestions are enabled?	How often do the users find the suggestions useful?	Are users seeing diverse perspectives over time?	Does misinformation spread less rapidly?
Adding a "read receipts" feature on a messaging app	Do I get more installs when this feature is offered?	Do users keep the feature turned on?	Is the user's anxiety reduced?	Are relationships strengthened with the knowledge from this feature?
Putting ads on a web page	Does it make more money than before?	Are people buying things from the ads?	Are people buying things they actually need?	Do we avoid incentivizing "clickbait" content?

Natural Experiments



Natural/Quasi Experiments:

"The prefix quasi means "resembling." Thus quasi-experimental research is research that resembles experimental research but is not true experimental research. Although the independent variable is manipulated, participants are not randomly assigned to conditions or orders of conditions (Cook & Campbell, 1979, Research Methods in Psychology)"

Natural/Quasi Experiments: Examples

- Social Media and Mental Health (Braghieri, Levy, Makarin)
 - Leveraged the differential rollout of Facebook across college campuses to estimate the effect of its introduction on student mental health
- <u>The Persuasive Effect of Fox News: Non-Compliance with Social Distancing During the COVID-19 Pandemic (Simonov, Sacher, Dubé, Biswas)</u>
 - Used the fact that channel numbers are randomly assigned (?) to estimate the effect of Fox News viewership on non-compliance with social distancing
- <u>Large-Scale Psychological Differences Within China Explained by Rice Versus Wheat Agriculture</u>
 (Talhelm et al.)
 - Geographic quasi-experiment
 - Used villages on "rice-wheat" border to test the effect of the type of farming on different psychological traits

Natural/Quasi Experiments: Pros and Cons

Pros

- No need to recruit participants
- Often larger sample size
- Test hypothesis that would be unethical to test with an RCT (e.g. smoking)

Cons

- "Plausibly random" is not random
- Often missing key confounding variables
- Very little flexibility to collect more data

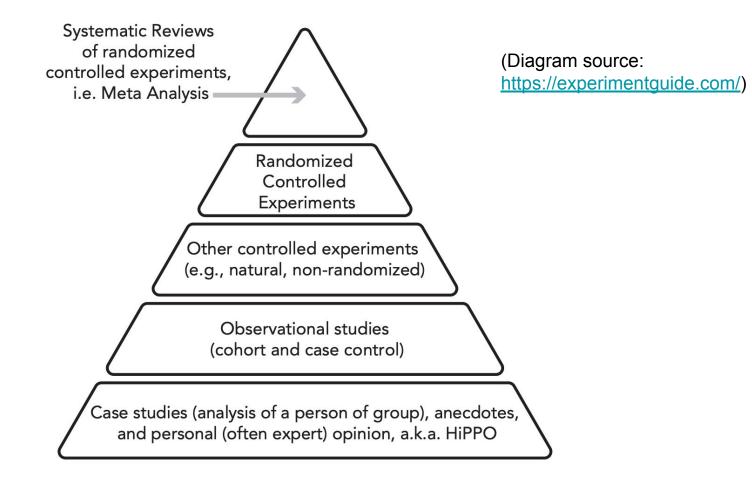


Figure 1.3 A simple hierarchy of evidence for assessing the quality of trial design (Greenhalgh 2014)