# Adaptive optimal training of animal behavior


**Ji Hyun Bak**[1,4] **Jung Yoon Choi**[2,3] **Athena Akrami**[3] **Ilana Witten**[2,3] **Jonathan W. Pillow**[2,3]

[1]Department of Physics, [2]Department of Psychology, [3] Princeton Neuroscience Institute,
Princeton University, Princeton, NJ 08544, USA
[4]School of Computational Sciences, Korea Institute for Advanced Study, Seoul 02455, Korea
jhbak@kias.re.kr, {jungchoi,aakrami,iwitten,pillow}@princeton.edu


## Abstract


Neuroscience experiments often require training animals to perform tasks designed to elicit various sensory, cognitive, and motor behaviors. Training typically involves a series of gradual adjustments of stimulus conditions and rewards in order to bring about learning. However, training protocols are usually hand-designed, relying on a combination of intuition, guesswork, and trial-and-error, and often require weeks or months to achieve a desired level of task performance. Here we combine ideas from reinforcement learning and adaptive optimal experimental design to formulate methods for adaptive optimal training of animal behavior. Our work addresses two intriguing problems at once: first, it seeks to infer the learning rules underlying an animal's behavioral changes during training; second, it seeks to exploit these rules to select stimuli that will maximize the rate of learning toward a desired objective. We develop and test these methods using data collected from rats during training on a two-interval sensory discrimination task. We show that we can accurately infer the parameters of a policy-gradient-based learning algorithm that describes how the animal's internal model of the task evolves over the course of training. We then formulate a theory for optimal training, which involves selecting sequences of stimuli that will drive the animal's internal policy toward a desired location in the parameter space. Simulations show that our method can in theory provide a substantial speedup over standard training methods. We feel these results will hold considerable theoretical and practical implications both for researchers in reinforcement learning and for experimentalists seeking to train animals.


## 1 Introduction

An important first step in many neuroscience experiments is to train animals to perform a particular sensory, cognitive, or motor task. In many cases this training process is slow (requiring weeks to months) or difficult (resulting in animals that do not successfully learn the task). This increases the cost of research and the time taken for experiments to begin, and poorly trained animals—for example, animals that incorrectly base their decisions on trial history instead of the current stimulus—may introduce variability in experimental outcomes, reducing interpretability and increasing the risk of false conclusions.

In this paper, we present a principled theory for the design of normatively optimal adaptive training methods. The core innovation is a synthesis of ideas from reinforcement learning and adaptive experimental design: we seek to reverse engineer an animal's internal learning rule from its observed behavior in order to select stimuli that will drive learning as quickly as possible toward a desired objective. Our approach involves estimating a model of the animal's internal state as it evolves over training sessions, including both the current policy governing behavior and the learning rule used to modify this policy in response to feedback. We model the animal as using a policy-gradient based


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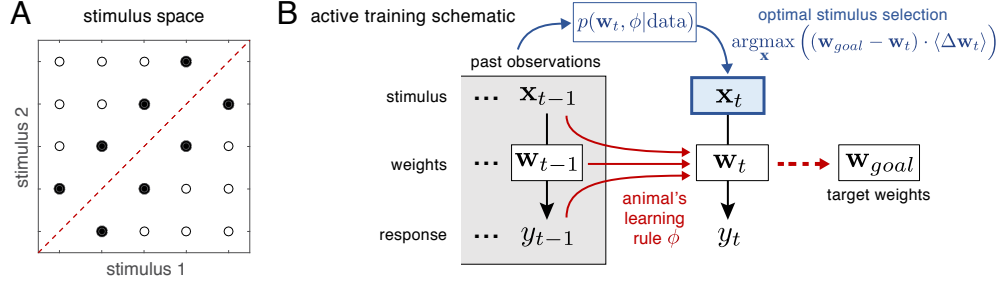

Figure 1: (A) Stimulus space for a 2AFC discrimination task, with optimal separatrix between correct "left" and "right" choices shown in red. Filled circles indicate a "reduced" set of stimuli (consisting of those closest to the decision boundary) which have been used in several prominent studies [3, 6, 9]. (B) Schematic of active training paradigm. We infer the animal's current weights $\mathbf{w}_t$ and its learning rule ("RewardMax"), parametrized by $\phi$, and use them to determine an optimal stimulus $\mathbf{x}_t$ for the current trial ("AlignMax"), where optimality is determined by the expected weight change towards the target weights $\mathbf{w}_{\text{goal}}$.

learning rule [15], and show that parameters of this learning model can be successfully inferred from a behavioral time series dataset collected during the early stages of training. We then use the inferred learning rule to compute an optimal sequence of stimuli, selected adaptively on a trial-by-trial basis, that will drive the animal's internal model toward a desired state. Intuitively, optimal training involves selecting stimuli that maximally align the predicted change in model parameters with the trained behavioral goal, which is defined as a point in the space of model parameters. We expect this research to provide both practical and theoretical benefits: the adaptive optimal training protocol promises a significantly reduced training time required to achieve a desired level of performance, while providing new scientific insights into how and what animals learn over the course of the training period.

## 2    Modeling animal decision-making behavior

Let us begin by defining the ingredients of a generic decision-making task. In each trial, the animal is presented with a stimulus $\mathbf{x}$ from a bounded stimulus space $X$, and is required to make a choice $y$ among a finite set of available responses $Y$. There is a fixed reward map $r : \{X, Y\} \to \mathbb{R}$. It is assumed that this behavior is governed by some internal model, or the psychometric function, described by a set of parameters or weights $\mathbf{w}$. We introduce the "y-bar" notation $\bar{y}(\mathbf{x})$ to indicate the correct choice for the given stimulus $\mathbf{x}$, and let $X_y$ denote the "stimulus group" for a given $y$, defined as the set of all stimuli $\mathbf{x}$ that map to the same correct choice $y = \bar{y}(\mathbf{x})$.

For concreteness, we consider a two-alternative forced-choice (2AFC) discrimination task where the stimulus vector for each trial, $\mathbf{x} = (x_1, x_2)$, consists of a pair of scalar-valued stimuli that are to be compared [6, 8, 9, 16]. The animal should report either $x_1 > x_2$ or $x_1 < x_2$, indicating its choice with a left ($y = L$) or right ($y = R$) movement, respectively. This results in a binary response space, $Y = \{L, R\}$. We define the reward function $r(\mathbf{x}, y)$ to be a Boolean function that indicates whether a stimulus-response pair corresponds to a correct choice (which should therefore be rewarded) or not:

$$r(\mathbf{x}, y) = \begin{cases} 1 & \text{if} \quad \{x_1 > x_2, \ y = L\} \text{ or } \{x_1 < x_2, \ y = R\}; \\ 0 & \text{otherwise.} \end{cases} \quad (1)$$

Figure 1A shows an example 2-dimensional stimulus space for such a task, with circles representing a discretized set of possible stimuli $X$, and the desired separatrix (the boundary separating the two stimulus groups $X_L$ and $X_R$) shown in red. In some settings, the experimenter may wish to focus on some "reduced" set of stimuli, as indicated here by filled symbols [3, 6, 9].

We model the animal's choice behavior as arising from a Bernoulli generalized linear model (GLM), also known as the logistic regression model. The choice probabilities for the two possible stimuli at trial $t$ are given by

$$p_R(\mathbf{x}_t, \mathbf{w}_t) = \frac{1}{1 + \exp(-\mathbf{g}(\mathbf{x}_t)^\top \mathbf{w}_t)}, \qquad p_L(\mathbf{x}_t, \mathbf{w}_t) = 1 - p_R(\mathbf{x}_t, \mathbf{w}_t) \quad (2)$$

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where $\mathbf{g}(\mathbf{x}) = (1, \mathbf{x}^\top)^\top$ is the input carrier vector, and $\mathbf{w} = (b, \mathbf{a}^\top)^\top$ is the vector of parameters or weights governing behavior. Here $b$ describes the animal's internal bias to choosing "right" ($y = R$), and $\mathbf{a} = (a_1, a_2)$ captures the animal's sensitivity to the stimulus.[1]

We may also incorporate the trial history as additional dimensions of the input governing the animal's behavior; humans and animals alike are known to exhibit history-dependent behavior in trial-based tasks [1, 3, 5, 7]. Based on some preliminary observations from animal behavior (see Supplementary Material for details), we encode the trial history as a compressed stimulus history, using a binary variable $\epsilon_{\bar{y}(\mathbf{x})}$ defined as $\epsilon_L = -1$ and $\epsilon_R = +1$. Taking into account the previous $d$ trials, the input carrier vector and the weight vector become:

$$\mathbf{g}(\mathbf{x}_t) \to (1, \mathbf{x}_t^\top, \epsilon_{\bar{y}(\mathbf{x}_{t-1})}, \cdots, \epsilon_{\bar{y}(\mathbf{x}_{t-d})})^\top, \qquad \mathbf{w}_t \to (b, \mathbf{a}^\top, h_1, \cdots, h_d). \tag{3}$$

The history dependence parameter $h_d$ describes the animal's tendency to stick to the correct answer from the previous trial ($d$ trials back). Because varying number of history terms $d$ gives a family of psychometric models, determining the optimal $d$ is a well-defined model selection problem.

## 3  Estimating time-varying psychometric function

In order to drive the animal's performance toward a desired objective, we first need a framework to describe, and accurately estimate, the *time-varying* model parameters of the animal behavior, which is fundamentally non-stationary while training is in progress.

### 3.1  Constructing the random walk prior

We assume that the single-step weight change at each trial $t$ follows a random walk, $w_t - w_{t-1} = \xi_t$, where $\xi_t \sim \mathcal{N}(0, \sigma_t^2)$, for $t = 1, \cdots, N$. Let $w_0$ be some prior mean for the initial weight. We assume $\sigma_2 = \cdots = \sigma_N = \sigma$, which is to believe that although the behavior is variable, the *variability* of the behavior is a constant property of the animal. We can write this more concisely using a state-space representation [2, 11], in terms of the vector of time-varying weights $\mathbf{w} = (w_1, w_2, \cdots, w_N)^\top$ and its prior mean $\mathbf{w}_0 = w_0 \mathbf{1}$:

$$D(\mathbf{w} - \mathbf{w}_0) = \boldsymbol{\xi} \sim \mathcal{N}(\mathbf{0}, \Sigma), \tag{4}$$

where $\Sigma = \mathrm{diag}(\sigma_1^2, \sigma^2, \cdots, \sigma^2)$ is the $N \times N$ covariance matrix, and $D$ is the sparse banded matrix with first row of an identity matrix and subsequent rows computing first order differences. Rearranging, the full random walk prior on the $N$-dimensional vector $\mathbf{w}$ is

$$\mathbf{w} \sim \mathcal{N}(\mathbf{w}_0, C), \quad \text{where} \quad C^{-1} = D^\top \Sigma^{-1} D. \tag{5}$$

In many practical cases there are multiple weights in the model, say $K$ weights. The full set of parameters should now be arranged into an $N \times K$ array of weights $\{w_{ti}\}$, where the two subscripts consistently indicate the trial number ($t = 1, \cdots, N$) and the type of parameter ($i = 1, \cdots, K$), respectively. This gives a matrix

$$W = \{w_{ti}\} = (\mathbf{w}_{*1}, \cdots, \mathbf{w}_{*i}, \cdots, \mathbf{w}_{*K}) = (\mathbf{w}_{1*}, \cdots, \mathbf{w}_{t*}, \cdots, \mathbf{w}_{N*})^\top \tag{6}$$

where we denote the vector of all weights at trial $t$ as $\mathbf{w}_{t*} = (w_{t1}, w_{t2}, \cdots, w_{tK})^\top$, and the time series of the $i$-th weight as $\mathbf{w}_{*i} = (w_{1i}, w_{2i}, \cdots, w_{Ni})^\top$.

Let $\mathbf{w} = \mathrm{vec}(W) = (\mathbf{w}_{*1}^\top, \cdots, \mathbf{w}_{*K}^\top)^\top$ be the vectorization of $W$, a long vector with the columns of $W$ stacked together. Equation (5) still holds for this extended weight vector $\mathbf{w}$, where the extended $D$ and $\Sigma$ are written as block diagonal matrices $D = \mathrm{diag}(D_1, D_2, \cdots, D_K)$ and $\Sigma = \mathrm{diag}(\Sigma_1, \Sigma_2, \cdots, \Sigma_K)$, respectively, where $D_i$ is the weight-specific $N \times N$ difference matrix and $\Sigma_i$ is the corresponding covariance matrix. Within a linear model one can freely renormalize the units of the stimulus space in order to keep the sizes of all weights comparable, and keep all $\Sigma_i$'s equal. We used a transformed stimulus space in which the center is at 0 and the standard deviation is 1.

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[1] We use a convention in which a single-indexed tensor object is automatically represented as a column vector (in boldface notation), and the operation $(\cdot, \cdot, \cdots)$ concatenates objects horizontally.

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## 3.2 Log likelihood

Let us denote the log likelihood of the observed data by $L = \sum_{t=1}^{N} L_t$, where $L_t = \log p(y_t|\mathbf{x}_t, \mathbf{w}_{t*})$ is the trial-specific log likelihood. Within the binomial model we have

$$L_t = (1 - \delta_{y_t,R}) \log(1 - p_R(\mathbf{x}_t, \mathbf{w}_{t*})) + \delta_{y_t,R} \log p_R(\mathbf{x}_t, \mathbf{w}_{t*}). \tag{7}$$

Abbreviating $p_R(\mathbf{x}_t, \mathbf{w}_{t*}) = p_t$ and $p_L(\mathbf{x}_t, \mathbf{w}_{t*}) = 1 - p_t$, the trial-specific derivatives are solved to be $\partial L_t/\partial \mathbf{w}_{t*} = (\delta_{y_t,R} - p_t) \mathbf{g}(\mathbf{x}_t) \equiv \boldsymbol{\Delta}_t$ and $\partial^2 L_t/\partial \mathbf{w}_{t*}\partial \mathbf{w}_{t*} = -p_t(1 - p_t)\mathbf{g}(\mathbf{x}_t)\mathbf{g}(\mathbf{x}_t)^\top \equiv \Lambda_t$. Extension to the full weight vector is straightforward because distinct trials do not interact. Working out with the indices, we may write

$$\frac{\partial L}{\partial \mathbf{w}} = \mathrm{vec}([\boldsymbol{\Delta}_1, \cdots, \boldsymbol{\Delta}_N]^\top), \qquad \frac{\partial^2 L}{\partial \mathbf{w}^2} = \begin{bmatrix} M_{11} & M_{12} & \cdots & M_{1K} \\ M_{21} & M_{22} & & M_{2K} \\ \vdots & & \ddots & \vdots \\ M_{K1} & M_{K2} & \cdots & M_{KK} \end{bmatrix} \tag{8}$$

where the $(i, j)$-th block of the full second derivative matrix is an $N \times N$ diagonal matrix defined by $M_{ij} = \partial^2 L/\partial \mathbf{w}_{*i}\partial \mathbf{w}_{*j} = \mathrm{diag}((\Lambda_1)_{ij}, \cdots, (\Lambda_t)_{ij}, \cdots, (\Lambda_N)_{ij})$. After this point, we can simplify our notation such that $\mathbf{w}_t = \mathbf{w}_{t*}$. The weight-type-specific $\mathbf{w}_{*i}$ will no longer appear.

## 3.3 MAP estimate of w

The posterior distribution of $\mathbf{w}$ is a combination of the prior and the likelihood (Bayes' rule):

$$\log p(\mathbf{w}|\mathcal{D}) \sim \left( \frac{1}{2} \log |C^{-1}| - \frac{1}{2} (\mathbf{w} - \mathbf{w}_0)^\top C^{-1} (\mathbf{w} - \mathbf{w}_0) \right) + L. \tag{9}$$

We can perform a numerical maximization of the log posterior using Newton's method (we used the Matlab function `fminunc`), knowing its gradient $\mathbf{j}$ and the hessian $H$ explicitly:

$$\mathbf{j} = \frac{\partial(\log p)}{\partial \mathbf{w}} = -C^{-1}(\mathbf{w} - \mathbf{w}_0) + \frac{\partial L}{\partial \mathbf{w}}, \qquad H = \frac{\partial^2(\log p)}{\partial \mathbf{w}^2} = -C^{-1} + \frac{\partial^2 L}{\partial \mathbf{w}^2}. \tag{10}$$

The maximum a posteriori (MAP) estimate $\hat{\mathbf{w}}$ is where the gradient vanishes, $\mathbf{j}(\hat{\mathbf{w}}) = \mathbf{0}$. If we work with a Laplace approximation, the posterior covariance is $\mathrm{Cov} = -H^{-1}$ evaluated at $\mathbf{w} = \hat{\mathbf{w}}$.

## 3.4 Hyperparameter optimization

The model hyperparameters consist of $\sigma_1$, governing the variance of $w_1$, the weights on the first trial of a session, and $\sigma$, governing the variance of the trial-to-trial diffusive change of the weights. To set these hyperparameters, we fixed $\sigma_1$ to a large default value, and used maximum marginal likelihood or "evidence optimization" over a fixed grid of $\sigma$ [4, 11, 13]. The marginal likelihood is given by:

$$p(\mathbf{y}|\mathbf{x}, \sigma) = \int d\mathbf{w} p(\mathbf{y}|\mathbf{x}, \mathbf{w}) p(\mathbf{w}|\sigma) = \frac{p(\mathbf{y}|\mathbf{x}, \mathbf{w}) p(\mathbf{w}|\sigma)}{\mathbf{p}(\mathbf{w}|\mathbf{x}, \mathbf{y}, \sigma)} \approx \frac{\exp(L) \cdot \mathcal{N}(\mathbf{w}|\mathbf{w}_0, C)}{\mathcal{N}(\mathbf{w}|\hat{\mathbf{w}}, -H^{-1})}, \tag{11}$$

where $\hat{\mathbf{w}}$ is the MAP estimate of the entire vector of time-varying weights and $H$ is the Hessian of the log-posterior over $\mathbf{w}$ at its mode. This formula for marginal likelihood results from the well-known Laplace approximation to the posterior [11, 12]. We found the estimate not to be insensitive to $\sigma_1$ so long as it is sufficiently large.

## 3.5 Application

We tested our method using a simulation, drawing binary responses from a stimulus-free GLM $y_t \sim \mathrm{logistic}(w_t)$, where $w_t$ was diffused as $w_{t+1} \sim \mathcal{N}(w_t, \sigma^2)$ with a fixed hyperparameter $\sigma$. Given the time series of responses $\{y_t\}$, our method captures the true $\sigma$ through evidence maximization, and provides a good estimate of the time-varying $\mathbf{w} = \{w_t\}$ (Figure 2A). Whereas the estimate of the weight $w_t$ is robust over independent realizations of the responses, the instantaneous weight changes $\Delta w = w_{t+1} - w_t$ are not reproducible across realizations (Figure 2B). Therefore it is difficult to analyze the trial-to-trial weight changes directly from real data, where only one realization of the learning process is accessible.

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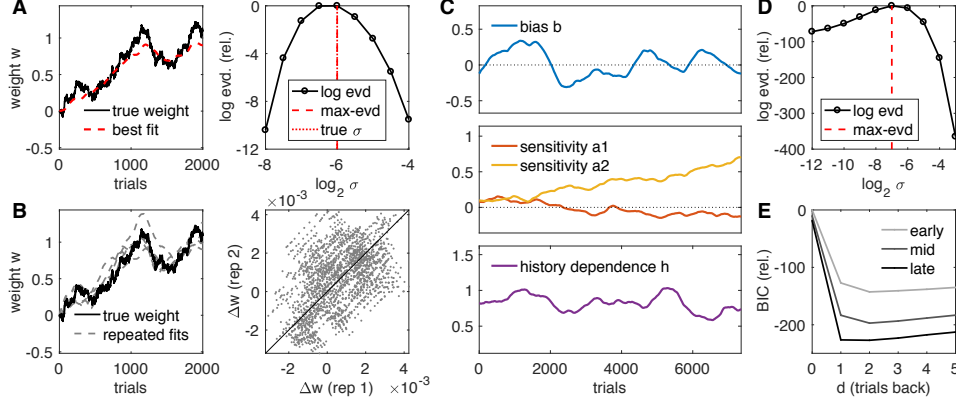
Figure 2: Estimating time-varying model parameters. (A-B) Simulation: (A) Our method captures the true underlying variability $\sigma$ by maximizing evidence. (B) Weight estimates are accurate and robust over independent realizations of the responses, but weight changes across realizations are not reproducible. (C-E) From the choice behavior of a rat under training, we could (C) estimate the time-varying weights of its psychometric model, and (D) determine the characteristic variability by evidence maximization. (E) The number of history terms to be included in the model was determined by comparing the BIC, using the early/mid/late parts of the rat dataset. Because log-likelihood is calculated up to a constant normalization, both log-evidence and BIC are shown in relative values.

We also applied our method to an actual experimental dataset from rats during the early training period for a 2AFC discrimination task, as introduced in Section 2 (using classical training methods [3], see Supplementary Material for detailed description). We estimated the time-varying weights of the GLM (Figure 2C), and estimated the characteristic variability of the rat behavior $\sigma_{\mathrm{rat}} = 2^{-7}$ by maximizing marginal likelihood (Figure 2D). To determine the length $d$ of the trial history dependence, we fit models with varying $d$ and used the Bayesian Information Criterion $\mathrm{BIC}(d) = -2 \log L(d) + K(d) \log N$ (Figure 2E). We found that animal behavior exhibits long-range history dependence at the beginning of training, but this dependence becomes shorter as training progresses. Near the end of the dataset, the behavior of the rat is best described $d_{\mathrm{rat}} = 1$ (single-trial history dependence), and we use this value for the remainder of our analyses.

## 4 Incorporating learning

The fact that animals show improved performance, as training progresses, suggests that we need a non-random component in our model that accounts for learning. We will first introduce a simple model of weight change based on the ideas from reinforcement learning, then discuss how we can incorporate the learning model into our time-varying estimate method.

A good candidate model for animal learning is the policy gradient update from reinforcement learning, for example as in [15]. There are debates as to whether animals actually learn using policy-based methods, but it is difficult to define a reasonable value function that is consistent with our preliminary observations of rat behavior (e.g. win-stay/lose-switch). A recent experimental study supports the use of policy-based models in human learning behavior [10].

### 4.1 RewardMax model of learning (policy gradient update)

Here we consider a simple model of learning, in which the learner attempts to update its policy (here the weight parameters in the model) to maximize the expected reward. Given some fixed reward function $r(\mathbf{x}, y)$, the expected reward at the next-upcoming trial $t$ is defined as

$$\rho(\mathbf{w}_t) = \left\langle \langle r(\mathbf{x}_t, y_t) \rangle_{p(y_t | \mathbf{x}_t, \mathbf{w}_t)} \right\rangle_{P_X(\mathbf{x}_t)} \tag{12}$$

where $P_X(\mathbf{x}_t)$ reflects the subject animal's knowledge as to the probability that a given stimulus $\mathbf{x}$ will be presented at trial $t$, which may be dynamically updated. One way to construct the empirical

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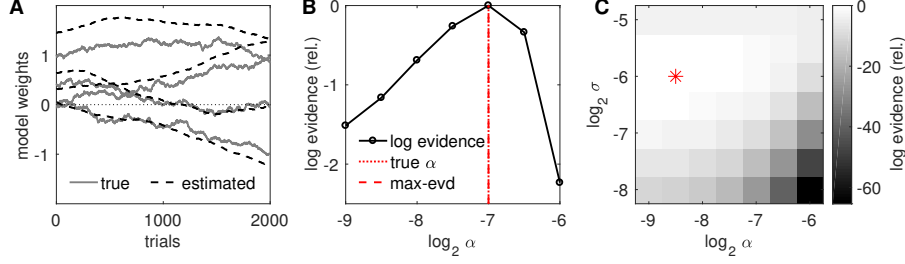
Figure 3: Estimating the learning model. (A-B) Simulated learner with $\sigma_{\mathrm{sim}} = \alpha_{\mathrm{sim}} = 2^{-7}$. (A) The four weight parameters of the simulated model are successfully recovered by our MAP estimate with the learning effect incorporated, where (B) the learning rate $\alpha$ is accurately determined by evidence maximization. (C) Evidence maximization analysis on the rat training dataset reveals $\sigma_{\mathrm{rat}} = 2^{-6}$ and $\alpha_{\mathrm{rat}} = 2^{-8.5}$. Displayed is a color plot of log evidence on the hyperparameter plane (in relative values). The optimal set of hyperparameters is marked with a star.

$P_X$ is to accumulate the stimulus statistics up to some timescale $\tau \geq 0$; here we restrict to the simplest limit $\tau = 0$, where only the most recent stimulus is remembered. That is, $P_X(\mathbf{x}_t) = \delta(\mathbf{x}_t - \mathbf{x}_{t-1})$. In practice $\rho$ can be evaluated at $\mathbf{w}_t = \mathbf{w}_{t-1}$, the posterior mean from previous observations.

Under the GLM (2), the choice probability is $p(y|\mathbf{x}, \mathbf{w}) = 1/(1 + \exp(-\epsilon_y \mathbf{g}(\mathbf{x})^\top \mathbf{w}))$, where $\epsilon_L = -1$ and $\epsilon_R = +1$, trial index suppressed. Therefore the expected reward can be written out explicitly, as well as its gradient with respect to $\mathbf{w}$:

$$\frac{\partial \rho}{\partial \mathbf{w}} = \sum_{\mathbf{x} \in X} P_X(\mathbf{x})\, f(\mathbf{x})\, p_R(\mathbf{x}, \mathbf{w})\, p_L(\mathbf{x}, \mathbf{w})\, \mathbf{g}(\mathbf{x}) \tag{13}$$

where we define the effective reward function $f(\mathbf{x}) \equiv \sum_{y \in Y} \epsilon_y r(\mathbf{x}, y)$ for each stimulus. In the spirit of the policy gradient update, we consider the **RewardMax model of learning**, which assumes that the animal will try to climb up the gradient of the expected reward by

$$\Delta \mathbf{w}_t = \alpha \left. \frac{\partial \rho}{\partial \mathbf{w}} \right|_t \equiv \mathbf{v}(\mathbf{w}_t, \mathbf{x}_t; \phi), \tag{14}$$

where $\Delta \mathbf{w}_t = (\mathbf{w}_{t+1} - \mathbf{w}_t)$. In this simplest setting, the learning rate $\alpha$ is the only learning hyperparameter $\phi = \{\alpha\}$. The model can be extended by incorporating more realistic aspects of learning, such as the non-isotropic learning rate, the rate of weight decay (forgetting), or the skewness between experienced and unexperienced rewards. For more discussion, see Supplementary Material.

## 4.2 Random walk prior with drift

Because our observation of a given learning process is stochastic and the estimate of the weight change is not robust (Figure 2B), it is difficult to test the learning rule (14) on any individual dataset. However, we can still assume that the learning rule underlies the observed weight changes as

$$\langle \Delta \mathbf{w} \rangle = \mathbf{v}(\mathbf{w}, \mathbf{x}; \phi) \tag{15}$$

where the average $\langle \cdot \rangle$ is over hypothetical repetitions of the same learning process. This effect of non-random learning can be incorporated into our random walk prior as a drift term, to make a fully Bayesian model for an imperfect learner. The new weight update prior is written as $D(\mathbf{w} - \mathbf{w}_0) = \mathbf{v} + \boldsymbol{\xi}$, where $\mathbf{v}$ is the "drift velocity" and $\boldsymbol{\xi} \sim \mathcal{N}(\mathbf{0}, \Sigma)$ is the noise. The modified prior is

$$\mathbf{w} - D^{-1}\mathbf{v} \sim \mathcal{N}(\mathbf{w}_0, C), \qquad C^{-1} = D^\top \Sigma^{-1} D. \tag{16}$$

Equations (9-10) can be re-written with the additional term $D^{-1}\mathbf{v}$. For the RewardMax model $\mathbf{v} = \alpha \partial \rho / \partial \mathbf{w}$, in particular, the first and second derivatives of the modified log posterior can be written out analytically. Details can be found in Supplementary Material.

## 4.3 Application

To test the model with drift, a simulated RewardMax learner was generated, based on the same task structure as in the rat experiment. The two hyperparameters $\{\sigma_{\mathrm{sim}}, \alpha_{\mathrm{sim}}\}$ were chosen such that the

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resulting time series data is qualitatively similar to the rat data. The simulated learning model can be recovered by maximizing the evidence (11), now with the learning hyperparameter $\alpha$ as well as the variability $\sigma$. The solution accurately reflects the true $\alpha_{\text{sim}}$, shown where $\sigma$ is fixed at the true $\sigma_{\text{sim}}$ (Figures 3A-3B). Likewise, the learning model of a real rat was obtained by performing a grid search on the full hyperparameter plane $\{\sigma, \alpha\}$. We get $\sigma_{\text{rat}} = 2^{-6}$ and $\alpha_{\text{rat}} = 2^{-8.5}$ (Figure 3C). [2]

Can we determine whether the rat's behavior is in a regime where the effect of learning dominates the effect of noise, or vice versa? The obtained values of $\sigma$ and $\alpha$ depend on our choice of units which is arbitrary; more precisely, $\alpha \sim [\mathbf{w}^2]$ and $\sigma \sim [\mathbf{w}]$ where $[\mathbf{w}]$ scales as the weight. Dimensional analysis suggests a (dimensionless) order parameter $\beta = \alpha/\sigma^2$, where $\beta \gg 1$ would indicate a regime where the effect of learning is larger than the effect of noise. Our estimate of the hyperparameters gives $\beta_{\text{rat}} = \alpha_{\text{rat}}/\sigma_{\text{rat}}^2 \approx 10$, which leaves us optimistic.

# 5 AlignMax: Adaptive optimal training

Whereas the goal of the learner/trainee is (presumably) to maximize the expected reward, the trainer's goal is to drive the behavior of the trainee as close as possible to some fixed model that corresponds to a desirable, yet hypothetically achievable, performance. Here we propose a simple algorithm that aims to align the expected model parameter change of the trainee $\langle \Delta \mathbf{w}_t \rangle = \mathbf{v}(\mathbf{w}_t, \mathbf{x}_t; \phi)$ towards a fixed goal $\mathbf{w}_{\text{goal}}$. We can summarize this in an **AlignMax training formula**

$$\mathbf{x}_{t+1} = \underset{\mathbf{x}}{\operatorname{argmax}} \ (\mathbf{w}_{\text{goal}} - \mathbf{w}_t)^\top \langle \Delta \mathbf{w}_t \rangle . \tag{17}$$

Looking at Equations (13), (14) and (17), it is worth noting that $\mathbf{g}(\mathbf{x})$ puts a heavier weight on more distinguishable or "easier" stimuli (exploitation), while $p_L p_R$ puts more weight on more difficult stimuli, with more uncertainty (exploration); an exploitation-exploration tradeoff emerges naturally.

We tested the AlignMax training protocol[3] using a simulated learner with fixed hyperparameters $\alpha_{\text{sim}} = 0.005$ and $\sigma_{\text{sim}} = 0$, using $\mathbf{w}_{\text{goal}} = (b, a_1, a_2, h)_{\text{goal}} = (0, -10, 10, 0)$ in the current paradigm. We chose a noise-free learner for clear visualization, but the algorithm works as well in the presence of noise ($\sigma > 0$, see Supplementary Material for a simulated noisy learner). As expected, our AlignMax algorithm achieves a much faster training compared to the usual algorithm where stimuli are presented randomly (Figure 4). The task performance was measured in terms of the success rate, the expected reward (12), and the Kullback-Leibler (KL) divergence. The KL divergence is defined as $D_{KL} = \sum_{\mathbf{x} \in X} P_X(\mathbf{x}) \sum_{y \in Y} \hat{p}_y(\mathbf{x}) \log(\hat{p}_y(\mathbf{x})/p_y(\mathbf{x}))$ where $\hat{p}_y(\mathbf{x}) = r(\mathbf{x}, y)$ is the "correct" psychometric function, and a smaller value of $D_{KL}$ indicates a behavior that is closer to the ideal. Both the expected reward and the KL divergence were evaluated using a uniform stimulus distribution $P_X(\mathbf{x})$. The low success rate is a distinctive feature of the adaptive training algorithm, which selects adversarial stimuli such that the "lazy flukes" are actively prevented (e.g. such that a left-biased learner wouldn't get thoughtless rewards from the left side). It is notable that the AlignMax training eliminates the bias $b$ and the history dependence $h$ (the two stimulus-independent parameters) much more quickly compared to the conventional (random) algorithm, as shown in Figure 4A.

Two general rules were observed from the optimal trainer. First, while the history dependence $h$ is non-zero, AlignMax alternates between different stimulus groups in order to suppress the win-stay behavior; once $h$ vanishes, AlignMax tries to neutralize the bias $b$ by presenting more stimuli from the "non-preferred" stimulus group yet being careful not to re-install the history dependence. For example, it would give $LLRLLR...$ for an $R$-biased trainee. This suggests that a pre-defined, non-adaptive de-biasing algorithm may be problematic as it may reinforce an unwanted history dependence (see Supp. Figure S1). Second, AlignMax exploits the full stimulus space by starting from some "easier" stimuli in the early stage of training (farther away from the true separatrix $x_1 = x_2$), and presenting progressively more difficult stimuli (closer to the separatrix) as the trainee performance improves. This suggests that using the reduced stimulus space may be suboptimal for training purposes. Indeed, training was faster on the full stimulus plane, than on the reduced set (Figures 4B-4C).

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[2]Based on a 2000-trial subset of the rat dataset.

[3]When implementing the algorithm within the current task paradigm, because of the way we model the history variable as part of the stimulus, it is important to allow the algorithm to choose up to $d + 1$ future stimuli, in this case as a pair $\{\mathbf{x}_{t+1}, \mathbf{x}_{t+2}\}$, in order to generate a desired pattern of trial history.

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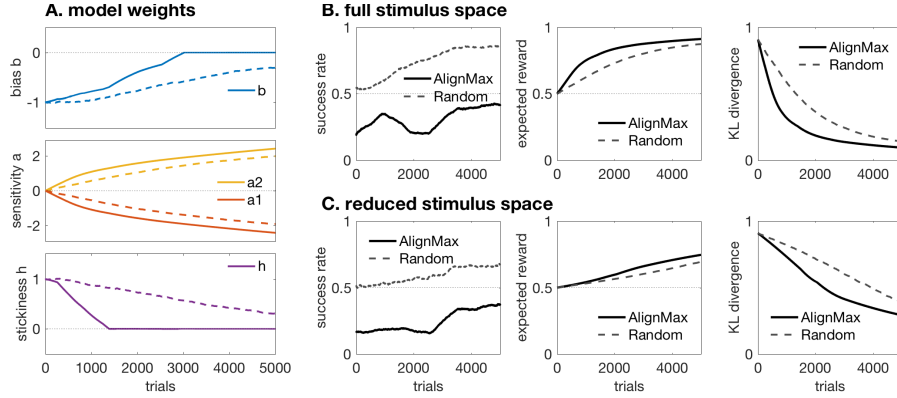
Figure 4: AlignMax training (solid lines) compared to a random training (dashed lines), for a simulated noise-free learner. (A) Weights evolving as training progresses, shown from a simulated training on the full stimulus space shown in Figure 1A. (B-C) Performances measured in terms of the success rate (moving average over 500 trials), the expected reward and the KL divergence. The simulated learner was trained either (B) in the full stimulus space, or (C) in the reduced stimulus space. The low success rate is a natural consequence of the active training algorithm, which selects adversarial stimuli to facilitate learning.

# 6  Discussion

In this work, we have formulated a theory for designing an optimal training protocol of animal behavior, which works adaptively to drive the current internal model of the animal toward a desired, pre-defined objective state. To this end, we have first developed a method to accurately estimate the time-varying parameters of the psychometric model directly from animal's behavioral time series, while characterizing the intrinsic variability $\sigma$ and the learning rate $\alpha$ of the animal by empirical Bayes. Interestingly, a dimensional analysis based on our estimate of the learning model suggests that the rat indeed lives in a regime where the effect of learning is stronger than the effect of noise.

Our method to infer the learning model from data is different from many conventional approaches of inverse reinforcement learning, which also seek to infer the underlying learning rules from externally observable behavior, but usually rely on the stationarity of the policy or the value function. On the contrary, our method works directly on the non-stationary behavior. Our technical contribution is twofold: first, building on the existing framework for estimation of state-space vectors [2, 11, 14], we provide a case in which parameters of a non-stationary model are successfully inferred from real time-series data; second, we develop a natural extension of the existing Bayesian framework where non-random model change (learning) is incorporated into the prior information.

The AlignMax optimal trainer provides important insights into the general principles of effective training, including a balanced strategy to neutralize both the bias and the history dependence of the animal, and a dynamic tradeoff between difficult and easy stimuli that makes efficient use of a broad range of the stimulus space. There are, however, two potential issues that may be detrimental to the practical success of the algorithm: First, the animal may suffer a loss of motivation due to the low success rate, which is a natural consequence of the adaptive training algorithm. Second, as with any model-based approach, mismatch of either the psychometric model (logistic, or any generalization model) or the learning model (RewardMax) may result in poor performances of the training algorithm. These issues are subject to tests on real training experiments. Otherwise, the algorithm is readily applicable. We expect it to provide both a significant reduction in training time and a set of reliable measures to evaluate the training progress, powered by direct access to the internal learning model of the animal.


### Acknowledgments

JHB acknowledges support from the Samsung Scholarship and the NSF PoLS grant (PHY-1521553). JWP was supported by grants from the McKnight Foundation, Simons Collaboration on the Global Brain (SCGB AWD1004351) and the NSF CAREER Award (IIS-1150186).


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## Supplementary material

### A Rat experiment: full description of the task

Each stimulus is a pair of two white-noise auditory signals with different amplitudes $\mathbf{x} = (x_1, x_2)$, played sequentially in time. The amplitude range from 55 to 95dB with 10dB intervals. The training box consists of three nosepokes – a center nosepoke, and two side nosepokes each with a reward port in it – and a speaker (Figure S1). The rat is required to maintain a nosepoke in the center while the stimuli are played. A trial starts as the center nosepoke lights up. The first stimulus is played 250ms after the rat makes a nosepoke in the center. After some delay period (2s or 3s), the second stimulus is played followed by a 1s post-stimulus delay. If the rat successfully maintained the nosepoke up to this point, the "go" cue is played and the rat can proceed to the choice phase; if the rat failed to do so, the trial is aborted (choice phase is skipped) and the next trial begins with a new pair of stimulus.

Once fully presented with the stimulus, the rat has to make a choice $y$ by making a nosepoke in one of the two sides, $Y = \{L, R\}$, either left or right. The rule of the game is to compare the amplitudes of the first stimulus ($x_1$) and the second stimulus ($x_2$). If $x_2 > x_1$, the correct answer is to make a nosepoke on the right side ($y = R$); otherwise, if $x_1 > x_2$, the correct choice is the left side ($y = L$). A correct nosepoke is immediately rewarded with water through the reward port in the nosepoke ($r = 1$), whereas an incorrect nosepoke is not rewarded ($r = 0$). This is followed by a 1s visual cue feedback (where the correct side is indicated with a light), after which an incorrect trial is punished with an additional 6s time-out period before moving on to the next trial. This task was adapted from [3].
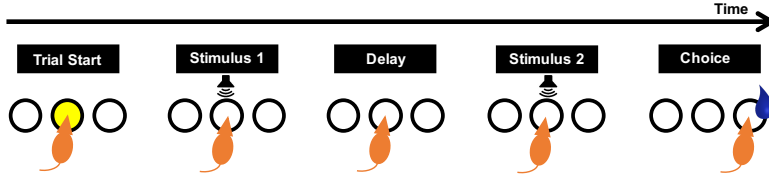
Figure S1: Schematic of task paradigm, where the rat has to maintain a nosepoke while listening to the auditory stimulus (a pair of two white-noise auditory signals with different amplitudes), then make a choice by making a nosepoke in one of the two sides. The desired behavior is to choose left when the second stimulus is lower than the first, and choose right when the second stimulus is higher than the first.

In collecting this specific set of data, only the stimulus pairs with amplitude difference 10dB were used, which corresponds to the reduced, narrow-band stimulus set (see Figure 1A in the main text) as opposed to the full 2-dimensional stimulus space. There was a de-biasing algorithm, which was turned on when the rat chose the same response, say $y = L$, in more than 7 out of 10 past trials. Once on, the algorithm was to keep presenting stimulus from the opposite stimulus group, in this case $X_R$, until the rat finally switches to $y = R$ and the de-biasing turns off.

The dataset consists of the choice behavior (stimulus-response pairs) of three rats during training sessions. Data collection started immediately after *pre-training*, in which rats were introduced to the sequence of events in the absence of auditory stimuli, and went on for 2 months. It includes 51 daily sessions over 66 days, with roughly 100-200 completed (non-aborted) trials per session, although the typical number of trials per session varies across rats.

### B Observations from the rat behavior

Simple non-parametric statistics of the choice behavior revealed two preliminary observations central to the rat behavior, common to all three rats. First, the behavior is **non-stationary**, changing over time both in terms of the marginal choice probability (bias), and of the probability that it gets rewarded (success rate). In particular, the success rate increases over the training period, although slowly, suggesting that the rat is indeed learning about the task.

Second, there is a strong **inter-trial history dependence**. In particular, we find both win-stay and lose-switch tendencies in the behavior of rats while training. Table 1 shows the empirical conditional

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Table 1: Single-step history dependence

| $P(y_t = R\|x_t, x_{t-1}, y_{t-1})$ | | $\bar{y}(\mathbf{x}_t) = R$ | $\bar{y}(\mathbf{x}_t) = L$ |
|---|---|---|---|
| $\bar{y}(\mathbf{x}_{t-1}) = R$ | $y_{t-1} = R$ | 0.77 | 0.73 |
| | $y_{t-1} = L$ | 0.58 | 0.55 |
| $\bar{y}(\mathbf{x}_{t-1}) = L$ | $y_{t-1} = R$ | 0.38 | 0.36 |
| | $y_{t-1} = L$ | 0.24 | 0.21 |

*all-trial mean: 0.486

probabilities $P(y_t = R|x_t, x_{t-1}, y_{t-1})$ obtained from all $\sim 10^4$ trials of one rat. Note the difference between the actual response $y$, and the correct response $\bar{y}(\mathbf{x})$ for a given stimulus $\mathbf{x}$: for example, the second row is when the correct answer for the previous trial was to go to the right ($\bar{y}(\mathbf{x}_{t-1}) = R$), but the rat actually went to the left ($y_{t-1} = L$).

**Modeling the history dependence:**   In general, there are two different types of trial history the animal might remember: the reward history (whether it was rewarded or not in the previous trials) and the choice history (whether it chose a particular response). The reward-history dependence is usually manifest in the form of win-stay and lose-switch, or in the tendency to stick to the choice that was previously associated to a reward. The choice-history dependence is sometimes called the *perseverance* in the animal behavior literature, which is to be distinguished from the *bias*. While the bias describes an overall preference to a certain choice, the perseverance is the tendency to make the same choice as in the previous trial.

In this work we only model the reward-history dependence of the animal, because the rat in our dataset seems to have a strong reward-history dependence but almost no choice-history dependence (Table 1). We note that in fact, win-stay is stronger than lose-switch in the rat behavior, suggesting some skewness in the learning model. Also, win-stay is more symmetric compared to lose-switch, which seems to work on some internal bias: for example, the switch rate was higher when the rat lost by choosing $R$ instead of the correct $L$ (third row in Table 1) than when it lost by choosing $L$ instead of correct $R$ (second row in Table 1). Nevertheless, we will assume for simplicity that win-stay and lose-switch tendencies are equally strong, such that the two are completely equivalent within the binary response space, and therefore can be modeled using a single *reward-history dependence* parameter as defined below.

The reward-history dependence can be incorporated to the model explicitly, by taking the compressed stimulus history as additional dimensions of the stimulus. Based on our preliminary observations from rat behavior (win-stay, lose-switch), as also introduced in the main text, we encode the trial history as a compressed stimulus history, using a binary variable $\epsilon_{\bar{y}(\mathbf{x})}$ defined as $\epsilon_L = -1$ and $\epsilon_R = +1$. For example, to take into account the history up to $d$ trials back, we do

$$\mathbf{g}(\mathbf{x}_t) \rightarrow \mathbf{g}(\mathbf{x}_t, \mathbf{x}_{t-1}, \cdots, \mathbf{x}_{t-d}) = (1, \mathbf{x}_t^T, \epsilon_{\bar{y}(\mathbf{x}_{t-1})}, \cdots, \epsilon_{\bar{y}(\mathbf{x}_{t-d})})^T,$$
$$\mathbf{w}_t \rightarrow (b, \mathbf{a}^T, h_1, \cdots, h_d)$$

for $d = 0, 1, 2, \cdots$. The reward-history dependence $h_d$ describes the animal's tendency to stick to the correct answer from the corresponding previous trial ($d$ trials back).

## C   Extended learning hyperparameters

We can introduce a variety of extensions to the RewardMax learning model, in order to to make it more realistic.

- First, we could let $\alpha$ to be a tensor $A$ (written as a $K \times K$ matrix), to allow different learning rates for different parameters (non-isotropic learning). In practice we restrict $A$ to be a diagonal matrix.

- Second, in order to model gradual "forgetting", we may introduce a decay rate $\eta \leq 1$ and replace the difference operator as $\Delta \rightarrow \Delta_\eta$. The new difference operator $\Delta_\eta$ is defined such that $\Delta_\eta w_t = w_t - \eta w_{t-1}$. In the full vector notation, the change is in the difference matrix $D \rightarrow D_\eta$, modified with decay rates $D_\eta = \delta_{tt'} - \eta \delta_{t-1,t'}$ in the single-weight case (and concatenated appropriately for multiple weights).

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- Finally, in order to account for the fact that animals may remember chosen rewards ("I got rewarded here") most strongly than the unchosen/forgone rewards ("I would have been rewarded there"), we introduce a skewness parameter $\kappa \leq 1$. This modifies the effective reward function at each trial such that

$$f_t(\mathbf{x}) = \sum_{y \in Y} \kappa_y \epsilon_y r(\mathbf{x}, y); \qquad \kappa_y = \begin{cases} 1 & \text{if } y = y_t \text{ (chosen)} \\ \kappa & \text{if } y \neq y_t \text{ (unchosen)} \end{cases} \tag{S1}$$

  where $y_t$ is the actual response made by the animal in that trial.

The full set of learning hyperparameters would thus be $\phi = \{A, \eta, \kappa\}$. The simplest (most symmetric) model is achieved when $A = \alpha I$, $\eta = 1$, $\kappa = 1$. This simplest model is also the one we used in the main text.

## D Derivatives of the log posterior with drift prior

From our definitions of the expected reward $\rho(\mathbf{w})$ and logistic choice probabilities $p_y(\mathbf{x}, \mathbf{w})$, the first three gradients of the expected reward can be written as

$$\frac{\partial \rho}{\partial \mathbf{w}} = \sum_{\mathbf{x} \in X} P_X(\mathbf{x}) f(\mathbf{x}) c_1(\mathbf{x}, \mathbf{w}) \cdot \mathbf{g}(\mathbf{x}), \qquad c_1 = p_R p_L = p_R(1 - p_R) \tag{S2}$$

$$\frac{\partial^2 \rho}{\partial \mathbf{w}^2} = \sum_{\mathbf{x} \in X} P_X(\mathbf{x}) f(\mathbf{x}) c_2(\mathbf{x}, \mathbf{w}) \cdot \mathbf{g} \otimes \mathbf{g}, \qquad c_2 = p_R(1 - p_R)(1 - 2p_R); \tag{S3}$$

$$\frac{\partial^3 \rho}{\partial \mathbf{w}^3} = \sum_{\mathbf{x} \in X} P_X(\mathbf{x}) f(\mathbf{x}) c_3(\mathbf{x}, \mathbf{w}) \cdot \mathbf{g} \otimes \mathbf{g} \otimes \mathbf{g}, \qquad c_3 = p_R(1 - p_R)(1 - 6p_R + 6p_R^2), \tag{S4}$$

where the coefficients are $c_k(\mathbf{x}, \mathbf{w}) = (\partial/\partial \mathbf{w})^k p_R(\mathbf{x}, \mathbf{w})$, the $k$-th partial derivative of $p_R$ with respect to the weight vector. The direct sum operator $\otimes$ gives tensor products, in this case $(\mathbf{g} \otimes \mathbf{g})_{jk} = g_j g_k$ and $(\mathbf{g} \otimes \mathbf{g} \otimes \mathbf{g})_{jkl} = g_j g_k g_l$. Putting back the trial index $t$, the first and second derivatives of the drift velocity $\mathbf{v}_{t*} = \alpha \partial \rho_t / \partial \mathbf{w}_{t*}$ are

$$\frac{\partial \mathbf{v}_{t*}}{\partial \mathbf{w}_{t'*}} = \alpha \delta_{tt'} \frac{\partial^2 \rho_t}{\partial \mathbf{w}_{t*}^2}, \qquad \frac{\partial^2 \mathbf{v}_{t*}}{\partial \mathbf{w}_{t'*} \partial \mathbf{w}_{t''*}} = \alpha \delta_{tt'} \delta_{tt''} \frac{\partial^3 \rho_t}{\partial \mathbf{w}_{t*}^3}. \tag{S5}$$

Similarly as before, we can concatenate over trials to work in terms of the full vectors $\mathbf{v} = \text{vec}((\mathbf{v}_{1*}, \cdots, \mathbf{v}_{N*})^T)$ and $\mathbf{w} = \text{vec}((\mathbf{w}_{1*}, \cdots, \mathbf{w}_{N*})^T)$. Using the fact that distinct trials do not interact, at least when $\tau = 0$, the concatenation is analogous to what we did to obtain the derivatives of the log-likelihood in the main text. The first derivative is constructed as a block matrix

$$\frac{\partial \mathbf{v}}{\partial \mathbf{w}} = \begin{bmatrix} S_{11} & S_{12} & \cdots & S_{1K} \\ S_{21} & S_{22} & & S_{2K} \\ \vdots & & \ddots & \vdots \\ S_{K1} & S_{K2} & \cdots & S_{KK} \end{bmatrix} \tag{S6}$$

where

$$S_{ij} = \text{diag}\left( \left( \frac{\partial \mathbf{v}_{1*}}{\partial \mathbf{w}_{1*}} \right)_{ij}, \cdots, \left( \frac{\partial \mathbf{v}_{t*}}{\partial \mathbf{w}_{t*}} \right)_{ij}, \cdots, \left( \frac{\partial \mathbf{v}_{N*}}{\partial \mathbf{w}_{N*}} \right)_{ij} \right). \tag{S7}$$

Similarly, the second derivative is constructed as a 3D block tensor

$$\frac{\partial^2 \mathbf{v}}{\partial \mathbf{w}^2} = [T_{ijk}], \qquad T_{ijk} = \text{diag}_3\left( \cdots, \left( \frac{\partial^2 \mathbf{v}_{t*}}{\partial \mathbf{w}_{t*}^2} \right)_{ijk}, \cdots \right) \tag{S8}$$

where $\text{diag}_3$ is a notation for a "volume" diagonal tensor, with nonzero value only when all three indices are equal to one another.

Finally, we are ready to write down the derivatives of the modified log posterior,

$$\log p(\mathbf{w}|\mathcal{D}) \sim \left( \frac{1}{2} \log |C^{-1}| - \frac{1}{2} (\mathbf{w} - D^{-1}\mathbf{v} - \mathbf{w}_0)^T C^{-1} (\mathbf{w} - D^{-1}\mathbf{v} - \mathbf{w}_0) \right) + L. \tag{S9}$$

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The first derivative (gradient):

$$\mathbf{j} = -(\mathbf{w} - D^{-1}\mathbf{v} - \mathbf{w}_0)^T C^{-1} \left( I - D^{-1}\frac{\partial \mathbf{v}}{\partial \mathbf{w}} \right) + \frac{\partial L}{\partial \mathbf{w}}, \tag{S10}$$

the second derivative (Hessian):

$$H = - \left( I - D^{-1}\frac{\partial \mathbf{v}}{\partial \mathbf{w}} \right)^T C^{-1} \left( I - D^{-1}\frac{\partial \mathbf{v}}{\partial \mathbf{w}} \right)$$

$$+ (\mathbf{w} - D^{-1}\mathbf{v} - \mathbf{w}_0)^T C^{-1} \left( D^{-1}\frac{\partial^2 \mathbf{v}}{\partial \mathbf{w}^2} \right) + \frac{\partial^2 L}{\partial \mathbf{w}^2}, \tag{S11}$$

where $\partial \mathbf{v}/\partial \mathbf{w}$ is a matrix defined by $(\partial \mathbf{v}/\partial \mathbf{w})_{jk} = \partial v_j/\partial w_k$, and similarly $\partial^2 \mathbf{v}/\partial \mathbf{w}^2$ is a tensor $(\partial^2 \mathbf{v}/\partial \mathbf{w}^2)_{jkl} = \partial v_j/\partial w_k \partial w_l$.

## E   The inner working of AlignMax optimal trainer

Here we provide a more detailed picture of how the AlignMax optimal trainer works, which demonstrates how a principled pattern in the input statistics can drive decreases in the bias and the history dependence parameters, both of which are targeted at zero for ideal performance. Figure S2 shows the sequence of simulated learning for a noiseless learner (as in Figure 4 in the main text), as well as for a noisy learner. Importantly, on average, a noisy leaner can be trained as efficiently as a noiseless learner.

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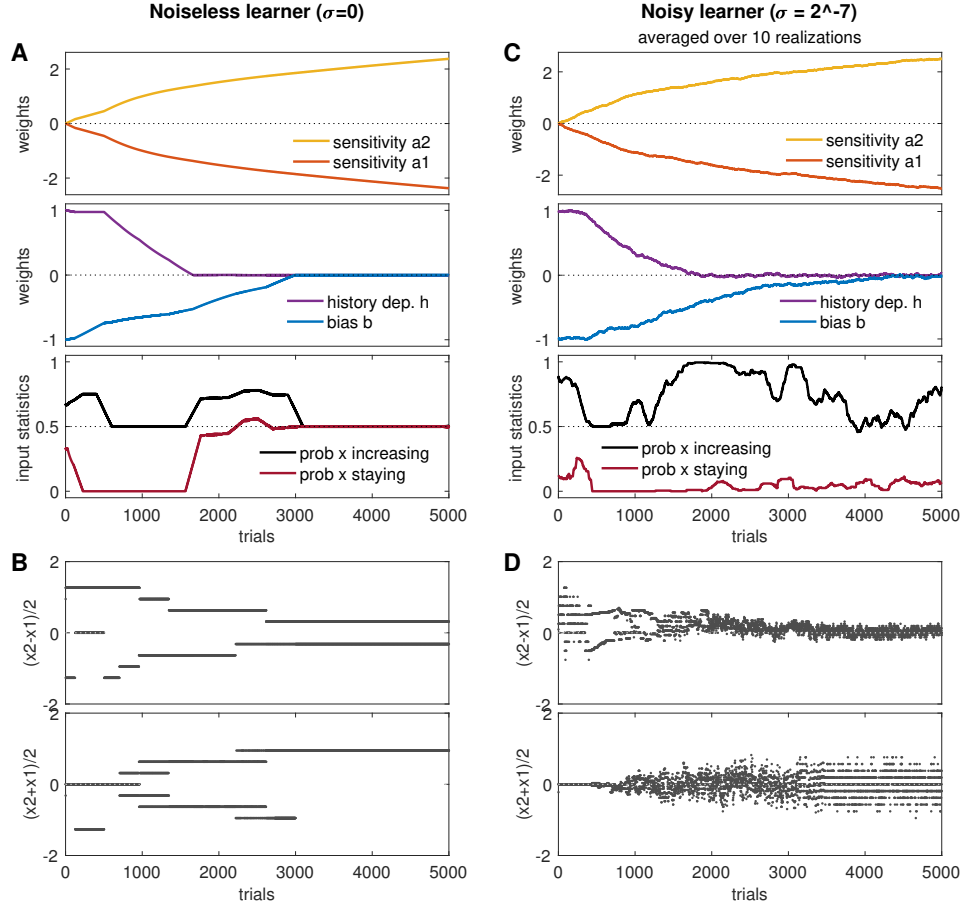
Figure S2: A closer look at the stimulus sequences chosen by the AlignMax optimal training protocol. (A-B) shows the result from the simulation on a noiseless learner, $\sigma = 0$ and $\alpha = 0.005$, same as the one shown in Figure 4 in the main text. (A) While the history dependence $h$ is non-zero, AlignMax alternates between different stimulus groups in order to suppress the win-stay behavior; once $h$ vanishes, AlignMax tries to neutralize the bias $b$ by presenting more stimuli from the "non-preferred" stimulus group yet being careful not to re-introduce the history dependence. (B) AlignMax exploits the full stimulus space by starting from some "easier" stimuli in the early stage of training (farther away from the true separatrix $x_1 = x_2$), and presenting progressively more difficult stimuli (closer to the separatrix) as the trainee performance improves. (C-D) shows an analogous set of results for a noisy learner, with $\sigma = 2^{-7}$, averaged over 10 independent realizations with the same hyperparameter values and the same initialization. It shows that *on average*, a noisy learner can be trained as well as a noiseless learner using the same optimal training protocol, although the weight evolution in individual runs may fluctuate (single-run data not shown).

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