PhaseEvo: Towards Unified In-Context Prompt Optimization for Large Language Models

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Abstract

Crafting an ideal prompt for Large Language Models (LLMs) is a challenging task that demands significant resources and expert human input. Existing work treats the optimization of prompt instruction and in-context learning examples as distinct problems, leading to sub-optimal prompt performance. This research addresses this limitation by establishing a unified in-context prompt optimization framework, which aims to achieve joint optimization of the prompt instruction and examples. However, formulating such optimization in the discrete and high-dimensional natural language space introduces challenges in terms of convergence and computational efficiency. To overcome these issues, we present PHASEEVO, an efficient automatic prompt optimization framework that combines the generative capability of LLMs with the global search proficiency of evolution algorithms. Our framework features a multi-phase design incorporating innovative LLM-based mutation operators to enhance search efficiency and accelerate convergence. We conduct an extensive evaluation of our approach across 35 benchmark tasks. The results demonstrate that PHASEEVO significantly outperforms the state-of-the-art baseline methods by a large margin whilst maintaining good efficiency.

1. Introduction

Large Language Models (LLMs) have exhibited extraordinary performance across various domains and tasks [\(Bubeck](#page-8-0) [et al.,](#page-8-0) [2023;](#page-8-0) [Yang et al.,](#page-9-0) [2023b\)](#page-9-0), largely owing to their remarkable ability of in-context learning (ICL). Prompt engineering seeks to craft effective prompts that unleash the complete capabilities of LLMs. It is becoming an increasingly popular option for quickly adapting LLMs for downstream tasks due to its compatibility with black-box APIs (e.g., GPT-4 [\(OpenAI,](#page-9-1) [2023\)](#page-9-1) and PaLM [\(Chowdhery](#page-8-1)

Figure 1: An illustrative example of the unified in-context prompt optimization problem.

[et al.,](#page-8-1) [2022\)](#page-8-1)), and its cost-effectiveness compared to the conventional fine-tuning paradigm. The two most typical prompting strategies are *zero-shot prompting* which contains a task instruction and a query question, and *few-shot prompting* which includes additional illustrative examples. A good prompt design can substantially improve LLM's performance [\(Zhu et al.,](#page-9-2) [2023\)](#page-9-2); however, manually tuning a prompt is a long process that often requires significant human effort and expert knowledge.

Automating prompt optimization is a non-trivial task that involves discrete variables and complex high-dimensional spaces [\(Zhou et al.,](#page-9-3) [2023\)](#page-9-3). To avoid optimizing discrete long prompts, existing research treats the optimization of instruction and examples as separate tasks: one line of research [\(Pryzant et al.,](#page-9-4) [2023;](#page-9-4) [Chen et al.,](#page-8-2) [2023;](#page-8-2) [Yang et al.,](#page-9-5) [2023a;](#page-9-5) [Guo et al.,](#page-8-3) [2023\)](#page-8-3) takes the zero-shot prompting approach [\(Kojima et al.,](#page-8-4) [2022\)](#page-8-4) to focus on *optimizing a short instruction* that comprises one or few sentences; while the other line of work [\(Liu et al.,](#page-8-5) [2021;](#page-8-5) [Lu et al.,](#page-8-6) [2021;](#page-8-6) [2022;](#page-8-7) [Zhang et al.,](#page-9-6) [2022b;](#page-9-6) [An et al.,](#page-8-8) [2023\)](#page-8-8) emphasizes more the importance of few-shot examples [\(Brown et al.,](#page-8-9) [2020\)](#page-8-9) and seeks to *selecting the best set of examples* from a pre-defined dataset given a *fixed* instruction. Although such treatment effectively reduces the optimization complexity, it overlooks the significance of the interplay between instruction and ex-

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emplification, resulting in *sub-optimal* performance [\(Hsieh](#page-8-10) [et al.,](#page-8-10) [2023\)](#page-8-10).

In this work, we explore the joint optimization of instruction and examples. However, such formulation results in a complex combinatorial optimization problem that naturally brings two *challenges*: (1) how to design an optimization framework that efficiently navigates the high-dimensional joint space of instructions and examples, steering clear of local minima to ensure continuous performance enhancement? (2) what strategies can be employed to improve the efficiency of the algorithm, enabling fast convergence with a reasonable level of computational complexity?

To address these challenges, we propose PHASEEVO, a unified in-context prompt optimization framework that simultaneously optimizes the prompt instruction and examples. As illustrated in Figure [1,](#page-0-0) in contrast to most previous instruction optimization strategies [\(Zhou et al.,](#page-9-3) [2023;](#page-9-3) [Pryzant](#page-9-4) [et al.,](#page-9-4) [2023;](#page-9-4) [Chen et al.,](#page-8-2) [2023;](#page-8-2) [Guo et al.,](#page-8-3) [2023;](#page-8-3) [Fernando](#page-8-11) [et al.,](#page-8-11) [2023\)](#page-8-11), our formulation does not impose any restrictions or assumptions on the format of the optimized prompt, thereby unlocking the full potential of prompt optimization. Notably, our approach not only explores innovative instructions but is also capable of producing novel examples to further improve the generalizability of LLMs. Consequently, the generated prompt from PHASEEVO is highly adaptive and can take any form from a simple zero-shot instruction-only prompt to an elaborative few-shot prompt with detailed examples, depending on the specific task at hand. Our experiments additionally highlight cases where PHASEEVO actively diminishes the length of the prompt (Fig. [5\)](#page-6-0) during optimization, resulting in shorter yet more effective prompts. This challenges the prevailing notion that prompt engineering typically yields longer prompts that compromise efficiency for performance.

To improve search efficiency in high-dimensional spaces and minimize LLM inference costs, PHASEEVO strategically deviates from the random operation selection seen in traditional evolutionary approaches. Instead, it adopts a quad-phased design, alternating between global search and local optimization. This design aims to strike a balance between exploration and exploitation within the expansive high-dimensional search space. To further improve convergence speed, we conduct an extensive analysis of a suite of LLM-based evolutionary operators to identify their unique strengths and features. Based on our findings, we incorporate two innovative designs to enhance the efficiency and efficacy of the optimization algorithm. First, instead of relying on lexical similarity, we introduce a task-aware similarity metric based on performance-based vectors and hamming distance that achieves better performance. Second, instead of employing a preset step limit for each phase, we design an adaptive termination strategy to ensure the

attainment of maximum performance improvement in the current phase before transitioning to the next one.

We conduct an extensive evaluation on a total number of 35 benchmark tasks to compare our method with six latest LLM-based prompt optimization approaches including *APE* [\(Zhou et al.,](#page-9-3) [2023\)](#page-9-3), *APO* [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4), *OPRO* [\(Yang et al.,](#page-9-5) [2023a\)](#page-9-5), *PromptBreeder* [\(Fernando et al.,](#page-8-11) [2023\)](#page-8-11), *EvoPrompt* [\(Guo et al.,](#page-8-3) [2023\)](#page-8-3), and *AELP* [\(Hsieh](#page-8-10) [et al.,](#page-8-10) [2023\)](#page-8-10). Our findings indicate that PHASEEVO demonstrates substantial improvements compared to state-of-theart methods, achieving an average improvement of 46% over *AELP* [\(Hsieh et al.,](#page-8-10) [2023\)](#page-8-10) on the 8 Big Bench Hard benchmark [\(Suzgun et al.,](#page-9-7) [2022a\)](#page-9-7). Notably, these advancements are achieved with the lowest computational cost among all methods.

2. Preliminaries

Problem Formulation. Considering the task $\mathcal T$ specified by a dataset $\mathcal{D} = (\mathcal{Q}, \mathcal{A})$ of input/output pairs, the LLM \mathcal{L} produces the corresponding output A via prompting with the concatenation of prompt P and a given input Q , i.e., $[\mathcal{P}; \mathcal{Q}]$. The objective of prompt optimization is to design the best natural language prompt $\overline{P^*}$ that maximizes the performance of $\mathcal L$ on $\mathcal T$.

Typically, an ideal prompt P consists of *instruction*, denoted by I and *examples* denoted by E as in-context learning (ICL) demonstrations. Our goal of joint prompt optimization is to search for the optimal prompt $\mathcal{P}^*_{(\mathcal{I},\mathcal{E})}$ given $\mathcal L$ that maximizes the performance towards a performance metric function F (e.g., accuracy). This can be formally defined as the following optimization problem:

$$
\mathcal{P}_{(\mathcal{I},\mathcal{E})}^* = \underset{\mathcal{P}_{(\mathcal{I},\mathcal{E})} \in \mathcal{X}}{\arg \max} \mathbb{E}_{(\mathcal{Q},\mathcal{A})} \left[\mathcal{F}(\mathcal{P}_{(\mathcal{I},\mathcal{E})}; \mathcal{Q}, \mathcal{A}) \mid \mathcal{L} \right], \quad (1)
$$

where X denotes the sample space for a natural language prompt, a discrete and intractable space of arbitrarily large dimension, which makes the optimization problem in Eq. [\(1\)](#page-1-0) extremely difficult.

Evolutionary Algorithms. Current evolutionary algorithms utilize a random selection process of evolutionary operators at each phase to create new generations [\(Fernando](#page-8-11) [et al.,](#page-8-11) [2023;](#page-8-11) [Guo et al.,](#page-8-3) [2023\)](#page-8-3). This type of global optimization approach facilitates exploration of the entire problem space but suffers from extremely high computational cost and slow convergence speed, due to the complexity of navigating the high-dimensional instruction-example joint space. On the other hand, methods such as Feedback [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4) and self-refinement [\(Madaan et al.,](#page-8-12) [2023\)](#page-8-12) which are inspired by the idea of gradient descent offer better computational efficiency. However, these methods offer very limited improvement in the prompting performance due to their tendency to steer towards local minima, resulting in sub-

Figure 2: Illustration of PHASEEVO framework.

optimal solutions. These challenges motivate us to design an exploration-exploitation strategy that strikes a balance between computational efficiency and prompt performance.

3. Methodology

We propose to design a unified in-context prompt optimization framework that subsumes both zero-shot and few-shot prompting strategies by jointly optimizing the instruction and examples. To achieve optimal performance while maintaining good efficiency, PHASEEVO employs and alternates between two distinct optimization strategies: (1) *Exploration*, where evolution operators are leveraged for a *global* search to broadly explore the entire solution space and prevent entrapment in locally optimal solutions; (2) *Exploitation*, involving the use of feedback gradient mutation for local search to expedite convergence and improve efficiency. Instead of depending on specific strategies, PHASEEVO aims to organize multiple mutation operators in a unified and organic manner. The selection of the optimal mutation operator at each phase of the optimization process ultimately leads to the maximum performance of the resulting prompt.

3.1. Mutation Operator

Following the insight of leveraging global search and local search, we introduce five mutation operators that can be categorized as global operators and local operators. The three *global* operators are:

• Lamarckian Mutation is a reverse-engineering operator \mathcal{O}_L that provides instructional prompt by learning from illustrative question-answer pairs (Q, A) = $[(Q_1, A_1), ..., (Q_m, A_m)]$ so that $\mathcal{O}_L(Q_i, \mathcal{L}) = A_i, i =$ 1, ..., m given the base LLM \mathcal{L} .

Table 1: Qualitative analysis of mutation operators

Operator	Add Remove Parents Prob Speed Cost		
Lamarckian			
Feedback			$\bullet\bullet$
EDA		$\bullet\bullet\bullet\bullet$	
Crossover		.	
Semantic		. . \bullet	

- Estimation of Distribution Mutation (EDA) is a function operator \mathcal{O}_E that generate a new prompt $\mathcal{O}_E(\mathcal{P}, \mathcal{L}) = p'$ based on a list of parents $\mathcal{P} = [p_1, ..., p_k].$ Items in P satisfy $d(p_i, p_j) < t$, where d is a distance metric and t is a threshold. If the items in P are ordered based on certain criteria, we refer to it as EDA + Index $(EDA+I).$
- **Crossover Operator(CR)** is a function operator \mathcal{O}_C that performs $\mathcal{O}_C(p_1, p_2, \mathcal{L}) = p'$ where p_1, p_2 are two parents selected from a population set P where $\mathcal{P} = [p_1..., p_m]$. If $p_2 = \arg \min_{p \in \mathcal{P}} d(p_1, p_i)$ is used to select p_2 , we refer to it as Crossover + Distinct (CR + D).

The two *local* operators are:

- Feedback Mutation is a function operator \mathcal{O}_F utilizes a batch of data to create "gradients" δ that provide feedback of the current prompt p . A new prompt p' is generated by editing the current prompt p in the opposite semantic direction of the gradient, e.g., $p' = \mathcal{O}_F(p, -\delta, \mathcal{L})$.
- **Semantic Mutation** is a function operator \mathcal{O}_S that performs paraphrasing $\mathcal{O}_S(p, \mathcal{L}) = p'$ where p' is the new prompt that shares the same semantic meaning as p.

To better harness these mutation operators, we compare them along the following five dimensions that are critical to our exploration-exploitation strategy in terms of performance and efficiency:

- Add or remove examples. This examines whether an operator can add or remove few-shot examples, to traverse the entire space of a joint prompt optimization problem.
- Probability of improvement. This evaluates the probability (successful rate) of an operator that brings performance (score) improvement after iterations.
- Convergence speed. This metric aims to evaluate how fast (in terms of iterations) an operator needs to optimize the current candidate to its local minimum solution.
- Two or more parents? This indicates whether an operator needs two or more parents, which has the potential to combine genetic information from diverse branches, enhancing global exploration capability.
- **API cost per operation.** It is the number of API calls needed to perform a specific operator via LLM agents.

We conducted a series of experiments where we ran each operator 100 times based on 4 different initialization settings to assess the performance of each operator regarding the five aspects. The goal is to obtain a comprehensive

understanding of the inherent strengths and weaknesses of each operator. This allows us to select effective operators to efficiently find optimal solutions.

The evaluation results are presented in Table [1.](#page-2-0) Lamarckian mutation is a crucial operator that introduces diverse samples, enabling the addition of examples for global initialization. Feedback mutation leads to faster convergence for exploitation and facilitates the addition or removal of examples. EDA and Crossover mutation are evolution operators that share similar characteristics in exploring the global space. Semantic mutation is better at locally exploiting the cost-effectiveness of operations than feedback mutation. For a more in-depth discussion on operators, please refer to Appendix [B.1](#page-12-0) and [B.2.](#page-16-0)

3.2. PHASEEVO Framework

Our PHASEEVO framework introduces a dual explorationexploitation strategy, i.e., "global exploration" → "local exploitation" \rightarrow "global exploration" \rightarrow "local exploitation" to approach global optima efficiently. Specifically, we initially utilize a diverse sampling to facilitate global exploration of the entire search space, incorporating instructions and examples to optimize prompts jointly. Rather than solely relying on global search methods, such as evolution mutation, we also employ feedback mutation for fast, localized exploitation via gradient descent. This leads to superior initialization after the initial stage of exploration and exploitation. However, some candidates can be trapped in local optima after the initial two phases. To resolve this, we leverage evolution operators in the third phase to escape local optimum by exploring solutions at a global scale. Considering the low efficiency of global operators, we utilize semantic mutations at the final phase to accelerate the convergence to the global optimal solution. Figure [2](#page-2-1) is an illustration of the optimization process.

3.2.1. PHASE 0: GLOBAL INITIALIZATION

Our objective is to create diverse candidates as the initial population to explore the vast joint space of instruction and example. We provide two types of initialization based on the availability of data (*input output pair*) and human expert knowledge (*prompt examples*).

- Reverse Engineer from input/output pairs. Given a set of input/output pairs $S = \{(Q_1, A_1), ..., (Q_m, A_m)\}\$ from the training set $\mathcal{D}_{\text{train}}$ for the task \mathcal{T} , we define an LLM agent to apply Lamarckian Operator O_L to *reverse engineer* the prompt from provided demonstrating pairs.
- Human expert prompt example. This way allows humans to jump-start the evolution process by incorporating prior knowledge. We also perform the semantic operator \mathcal{O}_S to enhance the diversity of the initial population.

3.2.2. PHASE 1: LOCAL FEEDBACK MUTATION

While an initial phase (Phase 0) may result in a diverse population, each candidate could still be distant from its local optimal solution. To address this, we employ the Feedback Mutation Operator \mathcal{O}_F to expedite each candidate's convergence towards their local minimums, leveraging the "gradient" information. This involves the introduction of an LLM *Examiner*, which scrutinizes instances where the current candidate falls short, and subsequently offers improvement guidance. Such information is taken as the feedback gradient and is further utilized by an LLM *Improver*, to generate new candidates by local exploitation. These new candidates contain global information inherited from the previous phase and can thus be regarded as better initialization for the next optimization phase.

3.2.3. PHASE 2: GLOBAL EVOLUTION MUTATION

Phase 1 provides a more refined set of candidates, while some of them might be stuck in local optima. To address this issue, we prioritize exploration rather than exploitation in Phase 2, which helps to escape from these restricted localities by conducting a global search. We leverage LLM agents that employ EDA (EDA-I) operators \mathcal{O}_E and CR (CR-D) operators \mathcal{O}_C to facilitate the increased interaction of genetic information among candidates on a larger global scale. Rather than employing cosine similarity as distance metrics, we adopt the Hamming distance (see more discussions in Section [3.3\)](#page-3-0) for calculating similarity on performance-based vectors such that Phase 2 can promote greater diversity in the evolving generations.

3.2.4. PHASE 3: LOCAL SEMANTIC MUTATION

Upon completing Phase 2's exploration, Phase 3 employs local exploitation to hasten the "last mile" of convergence. As the concluding phase of PHASEEVO, the fitness score of the population is notably optimized at this stage relative to earlier phases. Consequently, the Semantic Mutation operator \mathcal{O}_S is selected to expedite a more cost-effective exploitation of the candidates. Finally, we identify the best candidate as our ultimate optimal prompt and assess its performance on the testing dataset $\mathcal{D}_{\text{test}}$. The workflow of PHASEEVO framework is shown in Algorithm [1.](#page-4-0)

3.3. PHASEEVO Design

Within our PHASEEVO framework, we propose two novel design schemes to improve performance and efficiency.

Design 1: Performance vector with Hamming distance.

Evolution operators like EDA and Crossover function optimally when parents exhibit distinct attributes. In terms of evaluating similarity scores, we adhere to the principle that similarity should be gauged based on the performance of the prompts rather than their linguistic or semantic similarities. Inspired by this intuition, we

Algorithm 1 Unified In-Context Prompt Optimization: PHASEEVO

- 1: requirements: size of population n, a dev set \mathcal{D}_{dev} , score function $\mathcal F$ on the base LLM $\mathcal L$, phase improvement t and threshold t^* and minimum run time for phases \mathcal{K}_i , designed evolution operators \mathcal{O}_L , \mathcal{O}_F , \mathcal{O}_E , \mathcal{O}_C and \mathcal{O}_S
- 2: **initialization**: generate diverse initial prompts $\mathcal{P}^0 = \{p_1^0, ..., p_n^0\}$ by \mathcal{O}_l with input/output pairs or \mathcal{O}_s with existing prompt, and evaluate initial scores $S^0 \leftarrow \{ s_i^0 = \mathcal{F}(\hat{p}_i^0) \}$ //Phase 0: Global Exploration //Phase 1: Local Exploitation
- 3: while $t < t^*$ or $k \leq \mathcal{K}_1$ do
- 4: Local Feedback Mutation: generate new prompts by feedback gradient descent, $P_t \leftarrow \mathcal{O}_f(\mathcal{P}^0)$, evaluate $S_t \leftarrow \mathcal{F}(\mathcal{P}^0, \mathcal{D}_{dev})$, and update the population set $\mathcal{P}^1 \leftarrow {\{\mathcal{P}_t, \mathcal{P}^0\}}$, and score set $\mathcal{S}^1 \leftarrow {\{\mathcal{S}_t, \mathcal{S}^0\}}$ //Phase 2: Global Exploration
- 5: while $t < t^*$ or $k < \mathcal{K}_2$ do

6: *Global Evolution Mutation:* select parent prompts from current population, $\{p_{r_1},...,p_{r_k}\}\in \mathcal{P}^1$, generate a new prompt by performing EDA operators $p_t \leftarrow \mathcal{O}_e(p_{r_1},...,p_{r_k})$ or crossover operators $p_t \leftarrow \mathcal{O}_c(p_{r_1},...,p_{r_k})$, evaluate on \mathcal{D}_{dev} , $s_t \leftarrow \mathcal{F}(p_t, \mathcal{D}_{dev})$, and update $\mathcal{P}^2 \leftarrow {\{\mathcal{P}^1, p_t\}}$ and $\mathcal{S}^2 \leftarrow {\{\mathcal{S}^1, s_t\}}$ //Phase 3: Local Exploitation

- 7: while $t < t^*$ or $k < \mathcal{K}_3$ do
- 8: Local Semantic Mutation: generate new prompts by the semantic operator $\mathcal{P}_t^* \leftarrow \mathcal{O}_s(\mathcal{P}^2)$, evaluate $\mathcal{S}_t^* \leftarrow \mathcal{F}(\mathcal{P}^2, \mathcal{D}_{\text{dev}})$, and update $\mathcal{P}^3 \leftarrow {\{\mathcal{P}_t^*, \mathcal{P}^2\}}$, and $\mathcal{S}_s^3 \leftarrow {\{\mathcal{S}_t^*, \mathcal{S}^2\}}$
- 9: **return** the optimal in-context prompt p^* , from the final population \mathcal{P}^3 : $p^* \leftarrow \arg \max_{p \in \mathcal{P}^3} \mathcal{F}(p, \mathcal{D}_{dev})$

propose to construct candidate vectors based on individual performance on the evaluation dataset, named "performance vectors". To exemplify, in an evaluation dataset comprising five elements, a candidate answering the first three queries correctly and the final two incorrectly would feature a vector representation of $[1, 1, 1, 0, 0]$.

Rather than calculating the cosine similarity of embedding space, we propose to compute candidate similarity scores by *Hamming distance*, which calculates the distance between two vectors of equal length by examining the number of positions at which the corresponding symbols are different. This way ensures that one candidate is more likely to be paired with a candidate that does not contain the same mistakes, and thereby generates a diverse population with a more diverse set of genetic information.

Design 2: Adaptive Phase Stop Criteria. Each evolution phase is fully conducted before we transition to the next. The decision to proceed to the following phase is influenced by two primary criteria.

- *Performance Gain.* If no performance gain manifests after implementing the operators in a particular phase, it's indicative that the candidate has been thoroughly optimized by the operator. Consequently, we transition to the next phase.
- *Operator-specific Tolerance.* As operators inherently vary, more localized operators, such as Feedback Mutation, which have high improvement probabilities, could imply readiness for progress when no performance gain is perceived. However, global operators, e.g., evolution operators, might have low initial improvement probabilities but are capable of accessing broader branches worth exploration. Therefore, we assign greater *tolerance* and run them for a pre-defined time when a global operator does not introduce improvement. More details about the stop criteria can be found in Appendix [B.2.](#page-16-0)

4. Experiments

4.1. Experimental Setup

Tasks and Datasets. We curate 35 benchmark tasks from three domains for thorough experiments: 8 Big Bench Hard (BBH) [\(Suzgun et al.,](#page-9-7) [2022a\)](#page-9-7); 3 NLP detection tasks, including Ethos [\(Mollas et al.,](#page-9-8) [2021\)](#page-9-8), Liar [\(Wang,](#page-9-9) [2017\)](#page-9-9), and Sarcasm [\(Farha & Magdy,](#page-8-13) [2020\)](#page-8-13); 24 instruction induction tasks [\(Honovich et al.,](#page-8-14) [2022\)](#page-8-14). The task and dataset details are in Appendix [D.](#page-21-0)

Baselines. We evaluate PHASEEVO against a variety of LLM-based approaches that have achieved state-of-the-art performance in prompt optimization:

- APE [\(Zhou et al.,](#page-9-3) [2023\)](#page-9-4) and APO [\(Pryzant et al.,](#page-9-4) 2023): APE utilizes an iterative Monte Carlo Search strategy that emphasizes *exploration*, while APO emphasizes *exploitation*, which harnesses incorrect instances as feedback gradient to refine the original prompt.
- OPRO [\(Yang et al.,](#page-9-5) [2023a\)](#page-9-5): OPRO leverages LLM as optimizers to generate better instruction via meta-prompt, solution-score pairs, and task descriptions.
- PromptBreeder [\(Fernando et al.,](#page-8-11) [2023\)](#page-8-11), EvoPrompt [\(Guo et al.,](#page-8-3) [2023\)](#page-8-10) and $AELP$ [\(Hsieh et al.,](#page-8-10) 2023): these methods connect LLMs with evolution algorithms (EAs) to tackle prompt optimization tasks. Specifically, Evo-Prompt implements EAs using genetic algorithm [\(Hol](#page-8-15)[land,](#page-8-15) [1992\)](#page-8-15) and differential evolution [\(Storn & Price,](#page-9-10) [1997\)](#page-9-10), while PromptBreeder introduces multiple mutation operators inspired by thinking styles. AELP focuses on long prompt optimization by mutating on a sentence level with a history-guided search.

Implementation Details. We utilized GPT-3.5 to develop LLM agents capable of performing various mutation operators. We set up training, development, and testing datasets, select the prompt with the highest score on the dev set, and report its score on the testing set. We run all the experi-

Submission and Formatting Instructions for ICML 2024

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Method	Causal Judgement	Dis -ambiguation	Dvck Languages	Formal Fallacies	Hyperbaton	Logical Five	Color Reasoning	Salient Translation
OPRO (Yang et al., 2023a)	71.94	71.53	36.73	49.51	75.92	50.00	65.55	43.88
EvoPrompt (Guo et al., 2023)	67.24	53.70	47.96	50.81	74.79	61.40	60.90	47.58
AELP (Hsieh et al., 2023)	76.47	62.69	10.27	57.95	52.64	72.59	67.74	38.93
PHASEEVO-pair	$69.97_{(2.45)}$	$69.90_{(3.53)}$	$7.06_{(1,23)}$	$58.49_{(0.41)}$	$84.36_{(2.24)}$	$45.49_{(2.73)}$	$58.13_{(2,36)}$	$48.38_{(0.81)}$
PHASEEVO-example	$\bf{84.85}_{(5.45)}$	$68.01_{(0.4)}$	$35.48_{(12.18)}$	$53.06_{(4.95)}$	$81.58_{(9.89)}$	$\textbf{73.56}_{(8.99)}$	$77.15_{(4.13)}$	$47.01_{(0.88)}$
Over AELP	10.95% \uparrow	11.50% \uparrow	245.18% ↑	$0.93\% \uparrow$	60.24% \uparrow	1.34% ^{\dagger}	13.89% ↑	24.27% \uparrow
Over EvoPrompt	32.36% \uparrow	30.17% \uparrow	-2.48% ^{$+$}	15.73% ↑	16.99% ↑	34.36% \uparrow	32.35% \uparrow	3.19% \uparrow
Over OPRO	23.84% ↑	0.84% ^{\dagger}	27.33% ↑	18.91% \uparrow	16.79% ↑	65.04% \uparrow	23.02% \dagger	12.31\% \uparrow

Figure 3: Iteration history of score values with different mutation operators during optimization.

ments by setting 3 random seeds and the standard deviation is provided. More details are provided in Appendix [D.](#page-21-0)

4.2. Main Results

BBH Tasks. Following the practice of AELP [\(Hsieh et al.,](#page-8-10) [2023\)](#page-8-10), we conduct 8 BBH tasks to evaluate the performance of PHASEEVO holistically. We consider two initialization schemes PHASEEVO-pair and PHASEEVO-example and report the final results in Table [2.](#page-5-0) PHASEEVO demonstrates substantial improvements compared to state-of-the-art methods, achieving an average improvement of over AELP (46.0%) ; EvoPromopt (20.3%) ; and OPRO (23.5%) .

Fig. [3](#page-5-1) depicts the iterative history of prompt evolution, emphasizing the score variations for the best candidate, worst candidate, and the population's average across iterations. It has been observed that Feedback Mutation yields a performance boost within a single iteration and rarely introduces continual improvements. Global operators such as EDA and Crossover aid in escaping local minima and offering additional performance leaps (refer to Hyperbaton). This observation aligns with our initial operator analysis. The success of PHASEEVO lies in the organic organization of these mutation operators, effectively harnessing their advantages to maximum performance.

Detection Tasks. To present a more expansive comparison, we adopted the configuration outlined in APO [\(Pryzant](#page-9-4) [et al.,](#page-9-4) [2023\)](#page-9-4) and conducted a comparative analysis against it across three tasks. It should be noted that data for the fourth task mentioned in the original paper is unavailable. According to Table [3,](#page-5-2) PHASEEVO exhibits marginally superior performance to APO in relatively simple tasks such as Ethos (by 1%) and Sarcasm (by 4.7%). However, for more complex tasks such as Liar, PHASEEVOdemonstrates a significant improvement of 19.6% compared to APO. Moreover, we have also provided results for PHASEEVO using GPT-4, which demonstrated performance comparable to those of PHASEEVO employing GPT-3.5.

Table 3: Testing performance on 3 detect tasks from APO.

Method	Ethos	Liar	Sarcasm
APO (Pryzant et al., 2023)	10.95	0.51	0.85
PHASEEVO (GPT-3.5)	$0.96_{(0.96)}$	$0.61_{(3.85)}$	$0.87_{(1.25)}$
PHASEEVO (GPT-4)	0.96	0.69	0.89

Instruction Induction Tasks. To compare PHASEEVOgenerated prompts with manually added few-shot examples, we evaluated the optimized prompt from PHASEEVO against the best prompts from APE-fewshot [\(Zhou et al.,](#page-9-3) [2023\)](#page-9-3) and PromptBreeder-fewshot [\(Fernando et al.,](#page-8-11) [2023\)](#page-8-11) on APE's 24 instruction induction tasks. The results show that PHASEEVO outperforms APE in 17 out of 24 tasks and PromptBreeder in 18 out of 24 tasks. The Appendix [E.1](#page-22-0) provides complete experimental results. Fig. [4](#page-6-1) shows that few-shot methods do not always outperform zero-shot methods, highlighting the need for a joint in-context prompt search. Moreover, we observed that the prompts generated by PHASEEVO are easier to interpret and align better with the task description. Appendix [E.3](#page-23-0) provides more detail on prompt quality.

Submission and Formatting Instructions for ICML 2024

Figure 4: Test accuracy of PHASEEVO on the instruction induction tasks.

4.3. Analysis

Phase Evolution vs Random Evolution. To compare our PHASEEVO method with the random evolution strategy, we conducted additional experiments on four tasks from BBH. Using the same initial population and six iterations, we presented the average score and highest score of the population in Table [4.](#page-6-2) Significantly, PHASEEVO outperformed random evolution in both average and highest scores for all tasks. Such effectiveness is attributed to the advantages of our well-organized operators through the employment of the dual exploration-exploitation strategy.

Effect of Hamming Distance. An ablation study has been conducted to examine the impact of hamming distance on the performance-based vectors in comparison to the traditional cosine distance for similarity calculation. The study encompasses both distance calculations carried out in 4 iterations using the same initial population. Table [5](#page-7-0) displays the outcomes of the hamming distance evaluation on four BBH tasks. The results indicate that the hamming distance outperforms the cosine distance, demonstrating higher average and maximum scores, particularly for Disambiguation $(+5.2)$ and Hyperbaton $(+4.6)$ tasks.

Effect of Initialization Strategy. The PHASEEVO can accommodate two types of inputs: *input output pair* and *prompt examples*, each bringing its own benefits. When using the *input output pair* approach, the initialization occurs solely based on LLM's proposal, resulting in greater diversity in the initial population. On the other hand, initialization in *prompt examples* draws upon provided example prompts, consequently lacking the diversity that *input output pair* offers. Even so, *prompt examples* empowers users to introduce prior knowledge without leaning on LLM interpretation, and consequently, it performs better in more

complex tasks such as Dyck Languages, Logical Five, and Color Reasoning, as illustrated in Table [2.](#page-5-0)

Effect of Operators on Prompt Length. Our method aims to explore the entirety of the prompt space, spanning both zero-shot and few-shot scenarios. Understanding the variation in prompt length and the impact of the operator on this fluctuation is crucial. Fig. [5](#page-6-0) provides a visual representation of the average prompt token length throughout the iterations. Interestingly, the length can either increase, decrease, or oscillate, which aligns with the "unfettered" expectations of global search. Specifically, we observed the initialization phase had a significant impact on prompt length. This observation is in agreement with our analysis of the Lamarckian and Feedback operators, which hold the power to both add and remove examples.

Figure 5: Variation of prompt length during optimization.

Synthetic Few-shot Examples. We observe that in certain cases PHASEEVO would generate novel synthetic few-shot examples instead of selecting from existing ones. To verify their veracity, we conduct a manual evaluation of the accu-

Submission and Formatting Instructions for ICML 2024

Method	Causal Judgement		Disambiguation		Hyperbaton		Salient Translation	
	Average score	High score	Average score	High score	Average score	High score	Average score	High score
Cosine distance	$64.70_{(2.31)}$	$67.86_{(2.47)}$	$ 58.96_{(1.47)} $	$63.30_{(0.00)}$	$74.70_{(1.60)}$	$85.7_{(0.00)}$	$49.56_{(1.07)}$	$58.80_{(0.00)}$
Hamming distance	$65.74_{(2.87)}$	69.60 _(2.97)	64.11 (1.28)	66.94 _(2.88)	$79.30_{(4.48)}$	$86.78_{(2.15)}$	$50.33_{(2.32)}$	58.80 $_{(0.00)}$

Table 5: Performance comparison of hamming distance and cosine similarity.

racy of the few-shot examples generated by PHASEEVO on a total of 24 instruction deduction tasks. We find that 90 out of the 92 examples evaluated (97.8%) are accurate. Among them, 24 out of the 92 (24.09%) are aligned with samples present in the training set. There are two cases where the synthetic example is inaccurate: the sentiment of *"A nonmystery mystery"* is identified as *"neutral"* where the ground truth is *"negative"*, and *"Little more than a well-mounted history lesson"* is identified as *"neutral"* where the ground truth is *"negative"*. In both cases, we empirically validate that such a level of inaccuracy does not influence prompt performance (score remained 94% regardless of the labels).

Computational Cost. We monitor the computational cost of PHASEEVO based on the number of model API calls consumed by evaluation and operator application, and the number of iterations. As shown in Fig. [6,](#page-7-1) PHASEEVO is the most cost-effective method that significantly reduces multiple orders of magnitude compared to evolution strategies, such as PromptBreeder. PHASEEVO also performs competitively in terms of iterations compared to the gradient descent approach, e.g., APO.

Figure 6: Comparison of computational cost.

5. Related Work

In-context prompting is an efficient approach for communicating LLMs but the performance is strongly affected by the design of the prompt in specifized tasks. Prompt optimization has thus obtained broader attention. One research direction is the continuous prompt approaches that tune embeddings of input tokens to generate better prompts [\(Li &](#page-8-16) [Liang,](#page-8-16) [2021;](#page-8-16) [Zhang et al.,](#page-9-11) [2021;](#page-9-11) [Sun et al.,](#page-9-12) [2022b;](#page-9-12)[a;](#page-9-13) [Chen](#page-8-2) [et al.,](#page-8-2) [2023\)](#page-8-2). However, the optimized "soft" prompts from this paradigm often fall short of interpretability and are inaccessible for blackbox APIs. Discrete prompt approaches [\(Diao et al.,](#page-8-17) [2022;](#page-8-17) [Prasad et al.,](#page-9-14) [2022\)](#page-9-14), operating discrete tokens directly, offer an interactive interface to humans with

better interpretability and show promising performance in various NLP tasks. Various methods have been proposed via gradient-based search [\(Shin et al.,](#page-9-15) [2020\)](#page-9-15), reinforcement learning [\(Zhang et al.,](#page-9-16) [2022a;](#page-9-16) [Deng et al.,](#page-8-18) [2022;](#page-8-18) [Sun et al.,](#page-9-17) [2023\)](#page-9-17) and ensemble methods [\(Hou et al.,](#page-8-19) [2023;](#page-8-19) [Pitis et al.,](#page-9-18) [2023\)](#page-9-18) while these methods encounter concerns in terms of scalability, reliability and efficiency [\(Wang et al.,](#page-9-19) [2023\)](#page-9-19).

More recent advancements rely on iterative sampling, scoring, and selection of exceptionally promising prompts, generating diverse possibilities for prompt optimization. [Fer](#page-8-11)[nando et al.](#page-8-11) [\(2023\)](#page-8-11); [Guo et al.](#page-8-3) [\(2023\)](#page-8-3); [Hsieh et al.](#page-8-10) [\(2023\)](#page-8-10) proposed leveraging LLMs to implement evolution strategies in prompt searches. [Yang et al.](#page-9-5) [\(2023a\)](#page-9-5) demonstrates the capability of LLM as optimizers in prompt design. [Pryzant et al.](#page-9-4) [\(2023\)](#page-9-4); [Zhou et al.](#page-9-3) [\(2023\)](#page-9-3) utilizes natural language feedback to refine prompt instructions. However, these prompt evolution/refinement strategies largely focus on prompt instructions, typically short sentences or paragraphs. Our research reformulates the problem by permitting unrestrained evolution of a unified in-context prompt, incorporating both instructions and examples, offering more avenues for improvement, yet it also poses new challenges with regard to navigating the high-dimensional joint space, while retaining high efficiency. While previous search and sampling algorithms have been investigated, such as Monte Carlo search [\(Zhou et al.,](#page-9-3) [2023\)](#page-9-3), Gibbs sampling [\(Xu et al.,](#page-9-20) [2023\)](#page-9-20), or Beam search [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4), we introduce a novel dual exploration-exploitation strategy that leverages the indepth traits of each operator, utilizing an intuitive blend of global-local search, conducive to enhancing interactive dynamics during optimization.

6. Conclusion and Discussion

In this work, we propose a unified in-context prompt optimization framework that enables the joint optimization of prompt instruction and few-shot examples. Benefiting from the global-local phased optimization schedule and the design of novel LLM-based mutation operations, PHASEEVO achieves state-of-the-art performance over a wide range of benchmark tasks. Despite having achieved the lowest computational requirements among all baselines, PHASEEVO still needs around 12 iterations and 4, 000 API calls, which might be insufficient for supporting large-scale online applications. Future work could explore better initialization strategies or data compression techniques to further improve efficiency and reduce latency.

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A. Operator Definition

Operators are used to generate new candidates. Seven types of operators, broadly categorized into five classes are used by PHASEEVO. The idea is to provide a diverse set of operators so that a broad cognitive space of linguistics is covered.

A.1. Lamarckian Mutation

Lamarckian Mutation follows the principles proposed in APE and Prompt Breeder [\(Zhou et al.,](#page-9-3) [2023;](#page-9-3) [Fernando et al.,](#page-8-11) [2023\)](#page-8-11). Given a set of input-output pairs for the task, an LLM agent is used to reverse-engineer the prompt from the provided demonstrating pairs. This type of mutation allows a diverse set of prompt candidates to be generated with no prior knowledge of the task. Any prompt candidate will have to be induced from the demonstrating pairs. The prompt used by the LLM agent is in Table [10.](#page-18-0)

Definition A.1. (Lamarckian Mutation) Given a set of input/output pairs $(Q, \mathcal{A}) = [(Q_1, A_1), ..., (Q_m, A_m)]$ and a base LLM \mathcal{L} , Lamarckian Mutation is to reverse engineer the instruction \mathcal{O}_L so that $\mathcal{O}_L(Q_i) = A_i, i = 1, ..., m$.

A.2. Feedback Mutation

As evolution algorithms can take a while to converge, inspired by the concept of *Gradient Descent* in machine learning model training, we introduce an LLM agent that works as an examiner which examines the cases where the current task prompt fails and provides improvement guidance. Such guidance will be treated as *gradient* and be used by another LLM Agent as an improver to generate a new candidate. Though similar to what is proposed in APO [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4), instead of only using gradient descent repeatedly, which has a higher probability of arriving at a local minimum, we take advantage of its fast converge rate to local minimum and combine it with an evolutionary algorithm to target global minimum. When applying Feedback Mutation, it will be applied to every candidate in the current generation. The prompt can be found in Table [11](#page-18-1) - [12.](#page-19-0)

Definition A.2. (Feedback Mutation) Feedback Mutation generates a new prompt p' based on the existing prompt $p \in \mathcal{P}$, and where p made mistakes for a task. The feedback operator \mathcal{O}_F first looks at the cases where the current p failed to generate a list of advice G, and then asks LLM $\mathcal L$ to apply such advice G to existing prompt p for generating the new prompt p^{\prime} .

A.3. ESTIMATION OF DISTRIBUTION MUTATION

The next class of operators takes a set of parents as input to generate a mutated candidate for the next generation.

Estimation of Distribution Mutation (EDA): Following the principles proposed by [\(Hauschild & Pelikan,](#page-8-20) [2011\)](#page-8-20) and work in [\(Fernando et al.,](#page-8-11) [2023\)](#page-8-11), we use a LLM agent that is fed with a subset of the current population to generate new candidate. To ensure the diversity and quality of the subset, we first rank the candidates in the current population by their fitness score in descending order. Then starting from the first item in the ordered candidates, we only add the candidate to the subset if it does not have a similarity score over a threshold with any other candidate that is already in the subset. This way candidates with higher fitness scores are more prone to be added to the subset and the diversity of the subset is achieved. More details on how similarity is calculated can be found in section [3.3.](#page-3-0) The subset will be randomized before feeding into the LLM agent so the candidate's fitness score does not dictate its order. The prompt can be found in Table [13.](#page-19-1)

EDA and Index Mutation: This is a variant of the EDA mutation above. Based on the observations that LLM is more prone to use examples that appear late in the in-context learning [\(Liu et al.,](#page-8-21) [2023;](#page-8-21) [Fernando et al.,](#page-8-11) [2023\)](#page-8-11), after generating the subset following procedures of EDA, the subset is ordered by their fitness score in *ascending order*. To further balance exploitation and exploration and avoid being too biased over the candidate with the highest fitness score [\(Fernando et al.,](#page-8-11) [2023\)](#page-8-11), we instructed LLM that the candidates are ranked by their fitness score in *descending order* so that the low health score candidates are taken into consideration during mutation. The prompt can be found in Table [14.](#page-19-2)

Definition A.3. (Estimation of Distribution Mutation - EDA) EDA generates a new candidate based on a list of parents. It is a function operator \mathcal{O}_E that performs $\mathcal{O}_E(\mathcal{P}, \mathcal{L}) = p'$. Given a list of prompts $\mathcal{P} = [p_1, ..., p_m]$ and an LLM \mathcal{L} , EDA provides a new prompt p'. Items in P satisfy the restriction that $d(p_i, p_j) < t$, where d is a function that calculates similarity, and t is a predefined threshold. If the items in P are ordered based on certain criteria, we call it EDA + Index (EDA+I).

A.4. Crossover Operator

This class of operators takes two parents as input to generate a crossover candidate for the next generation. The prompt can be found in Table [15.](#page-20-0)

Crossover Operator(CR): Following the concept of crossover in the evolution algorithm, we introduce an LLM agent to function as a crossover operator that takes two parents and generates a crossover candidate. It takes the best two candidates in the current population, namely the top two candidates with the highest fitness scores, and performs linguistic crossover.

Crossover with Diversity Operator(CR+D): This is a variance of the Crossover Operator. To provoke exploration, we follow a similar process in EDA where diversity in parents is considered. Thus it takes the best candidate and the most distinct individual to it as two parents for crossover operation. The distinctness between two candidates is measured by a similarity score. More details on how the similarity score is calculated can be found in section [3.3.](#page-3-0)

Definition A.4. (Crossover Mutation - CR) Crossover generates a new candidate based on two parents. It is a function operator \mathcal{O}_C that performs $\mathcal{O}_C(p_1, p_2, \mathcal{L}) = p'$ where p_1, p_2 are two prompts selected from a prompt population set $\mathcal P$ where $P = [p_1..., p_m]$, p' is the generated prompt that hold features from both p_1 and p_2 . If $p_2 = \arg\min_{p \in \mathcal{P}} d(p_1, p_i)$ is applied for choosing p_2 , we call it Crossover + Distinct (CR + D).

A.5. Semantic Mutation

This class of operators takes a candidate and uses an LLM agent to compose a new candidate that shares its semantic meaning. When applying Semantic Mutation, it will be applied to every candidate in the current generation. The prompt can be found in Table [16.](#page-20-1)

Definition A.5. (Semantic Mutation) Semantic Mutation is a function operator \mathcal{O}_S that performs $\mathcal{O}_S(p,\mathcal{L}) = p'$ where pl is the generated prompt that shares the same semantic meaning as p .

B. Operator Analysis

B.1. Few-Shot Additional / Removal Analysis

The ability to add and remove few-shot examples is crucial in dictating whether it is possible to traverse the full in-context prompt space. Thus we conduct the few-shot addition/ removal analysis to gauge each operator's capabilities. Below are examples of how operators add or remove few-shot examples.

Table 6: Lamarckian Operator Add Few-shot Example

Table 7: Feedback Operator Add Few-shot Example: In this operation, few-shot examples are added based on the feedback. Individual feedback and their corresponding changes are colorcoded.

Table 8: Feedback Operator Remove Few-shot Example: In this operation, few-shot examples are removed based on the feedback. Individual feedback and their corresponding changes are colorcoded.

Operator Input Order adjectives correctly in English sentences. Q: Which sentence has the correct adjective order: Options: (A) rubber terrible ship (B) terrible rubber ship A: Let's think step by step. When there is more than one adjective before a noun, the adjectives need to respect the following order before a noun: "[1. opinion] [2. size] [3. age] [4. shape] [5. color] [6. origin] [7. material] [8. purpose] noun". Option (A): "rubber terrible ship". (1) rubber" falls into the material category. (2) "terrible" falls into the opinion category. Option (A) has the following adjective order: [7. material] [1. opinion] (or, in numeric terms, 7 1). Because $7 < 1$ is not correct, (A) does not have the correct ordering. Option (B): "terrible rubber ship". Option (B) has the following adjective order: [1. opinion] [7. material] (or, in numeric terms, 1 7). Because $1 < 7$ is correct, (B) has the correct ordering. So the answer is (B). Q: Which sentence has the correct adjective order: Options: (A) repulsive small Brazilian exercise ship (B) Brazilian repulsive exercise small ship A: Let's think step by step. When there is more than one adjective before a noun, the adjectives need to respect the following order before a noun: "[1. opinion] [2. size] [3. age] [4. shape] [5. color] [6. origin] [7. material] [8. purpose] noun". Option (A): "repulsive small Brazilian exercise ship". (1) "repulsive" falls into the opinion category. (2) "small" falls into the size category. (3) "Brazilian" falls into the origin category. (4) "exercise" falls into the purpose category. Option (A) has the following adjective order: [1. opinion] [2. size] [6. origin] [8. purpose] (or, in numeric terms, $1 \ 2 \ 6 \ 8$). Because $1 < 2 < 6 < 8$ is correct, (A) has the correct ordering. Option (B): "Brazilian repulsive exercise small ship". Option (B) has the following adjective order: [6. origin] [1. opinion] [8. purpose] [2. size] (or, in numeric terms, 6 1 8 2). Because $6 < 1 < 8 <$ 2 is not correct, (B) does not have the correct ordering. So the answer is (A). Q: Which sentence has the correct adjective order: Options: (A) blue gold wonderful square shoe (B) wonderful square blue gold shoe A: Let's think step by step. When there is more than one adjective before a noun, the adjectives need to respect the following order before a noun: "[1. opinion] [2. size] [3. age] [4. shape] [5. color] [6. origin] [7. material] [8. purpose] noun". Option (A): "blue gold wonderful square shoe". (1) "blue" falls into the color category. (2) "gold" falls into the material category. (3) "wonderful" falls into the opinion category. (4) "square" falls into the shape category. The adjective order that Option (A) has is [5. color] [7. material] [1. opinion] [4. shape] (or, in numeric terms, 5 7 1 4). Because $5 < 7 < 1 < 4$ is not correct, (A) does not have the correct ordering. Option (B): "wonderful square blue gold shoe". Option (B) has the following adjective order: [1. opinion] [4. shape] [5. color] [7. material] (or, in numeric terms, $1\ 4\ 5\ 7$). Because $1 < 4 < 5 < 7$ is correct, (B) has the correct ordering. So the answer is (B). **Operator Output** Rearrange the adjectives in the given sentence in the correct order.

Table 9: Semantic Operator Remove Few-shot Example

B.2. Operator Feature Analysis

To study the features of each operator we conduct a preliminary experiment where we study four operators: EDA Mutation, Crossover, Feedback Mutation, and Semantic Mutation.

Initialization: As the initialized points have a tremendous impact on optimization problems. We randomly use four different seeds to create four initial populations for four different tasks: Causal Judgement, Salient Translation Error Detection, Disambiguation QA, and Hyperbaton. The idea is to provide various initialization points so that the performance of operators can be averaged to rule out the influence of initialization.

Operator Applications: For each initialization, we apply the following procedure for all four operators.

- For one round, starting with the initial population, we consecutively apply the operator 5 times. This is to study the value of applying the operator consecutively.
	- For EDA and CrossOver, as they require multiple parents, we keep a population size of 5 for each generation after applying the operator. Performance gain is defined as whether the average health of the population is improved.
	- For Feedback Mutation and Semantic Mutation, as they only need one parent, we apply them to a random candidate from the initial population and use the new candidate as the base for the next mutation. Performance gain is defined as whether the new candidate has a higher fitness score than its parent.
- To reduce the impact of randomness during mutation, we run this process 5 rounds for each operator.

Thus for each operator, it will be run a total of 4 tasks $*$ 5 rounds $*$ 5 application = 100 times.

Figure 7: Operator Improvement Count

Analysis: There are two aspects we are particularly interested in. The first is what the likelihood of performance gain when applying an operator is (Probability of Improvement), and the second is how fast each operator can continously bring improvement (Convergence Speed).

- Probability Of Improvement: Figure [7](#page-16-1) shows the number of times performance is improved by each operator. Crossover and EDA Mutation introduces improvements in more steps with Semantic Mutation ranking third. Feedback Mutation introduces the least number of improvements. This result helps populate the *Prob* column in table [1.](#page-2-0)
- Convergence Speed: Figure [8](#page-17-0) shows that for each operator, as they are applied in 5 consecutive steps, the number of times improvement is introduced for each step. Figure [9](#page-17-1) shows the average percentage of performance gain operators brought in each step.
	- For EDA Mutation and Crossover, each 5 step has a similar number of contributions for performance gains as shown in figure [8.](#page-17-0) From figure [9](#page-17-1) we can also observe the first step brings the most improvement and the first 4 steps bring a similar improvement ratio.

– For Feedback Mutation and Semantic Mutation, the first step has a significantly higher chance of introducing improvement as shown in figure [8.](#page-17-0) This is especially true for Feedback Mutation where step 1 accounts for over 34% of the total improvement counts. As for the improvement ratio, the first step for both Feedback Mutation and Semantic Mutation introduces significantly more improvements than the rest of the steps shown in figure [9.](#page-17-1)

Based on the tests, we learned that the value gained for applying Feedback Mutation and Semantic Mutation is significantly reduced after the 1st application. We interpret it as Feedback Mutation and Semantic Mutation can **jump to the local minimum pretty fast**, namely in 1 step, thus leading to less possibility of improvement for steps 2 - 5. Whereas for EDA Mutation and Crossover, as they are merging genetic information between candidates, the likelihood of improvement is relatively randomized. So even if the first round of applying them renders no improvement, there is still a chance of performance gain in the following run. In other words, we should be more patient with EDA Mutation and Crossover. Thus the operator tolerance (described in section [3.3-](#page-3-0)design 2) for EDA and Crossover is set to 4 and for Feedback Mutation and Semantic Mutation is 1. These learnings help populate the *Speed* column in table [1.](#page-2-0)

Figure 8: Operator Improvement Pattern: EDA Mutation and Crossover have similar improvement counts for each step whereas for Feedback Mutation and Semantic Mutation, the first step introduced significantly more times of improvement compared to the others.

Figure 9: Improvement Ratio: On the left, for EDA and Crossover, we observe an almost equal improvement ratio for the first four steps. Improvement Ratio is defined as the relative percentage of improvement in the average fitness score for the entire population. On the right, for Feedback and Semantic Mutation, we observe the first round contributes significantly more improvement compared to the others. As Feedback and Semantic Mutation take one input candidate, Improvement Ratio is defined as the relative performance improvement percentage for the candidate after mutation.

C. Operator Prompts

Operator Implementation: The state-of-art frameworks such as APO, EVOPROMPT, and AELP have already implemented operators such as feedback operator, crossover operator, and semantic operator with LLM. However, these implementations inflict restrictions on LLM with prompts. For example, in APO when implementing the feedback operator, the prompt specifically identified the use case to be zero-shot. [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4) In EVOPROMPT-DE, when applying crossover operators, the focus is to only mutate the parts that two parents differentiate from each other. [\(Guo et al.,](#page-8-3) [2023\)](#page-8-3) In AELP, when applying semantic operators, it is restricted to a sentence level, not the whole prompt. [\(Hsieh et al.,](#page-8-10) [2023\)](#page-8-10). In PHASEEVO, we pay special attention not to apply any restrictions in our mutation prompt, realizing the full potential of LLMs.

Table 10: Lamarckian Mutation Prompt

I gave a friend an instruction and some inputs. The friend read the instruction and wrote an output for every one of the inputs. Here are the input-output pairs:

Example ## {*input output pairs*}

The instruction was:

Table 11: Gradient Descent Generation Prompt: Unlike APO which is also using gradient descent, we are **NOT adding restrictions** such as *"zero-shot classifier prompt."*, nor providing any differentiation between *instructions* and *examples*. Instead, we specifically ask LLM to output multiple feedback in one go. Also as are passing in the existing prompt as a whole, thus feedback should be on the paragraph/prompt level instead of the sentence/instruction level. We highlight the design that helps us achieve this below.

You are a quick improver. Given an existing prompt and a series of cases where it made mistakes. Look through each case carefully and identify what is causing the mistakes. Based on these observations, output ways to improve the prompts based on the mistakes.

Existing Prompt ## {*existing prompt*}

Cases where it gets wrong:## {*wrong cases*}

ways to improve the existing prompt based on observations of the mistakes in the cases above are:

Table 12: Gradient Descent Application Prompt: Following the principle of optimizing prompt as a whole, our operator prompts take input and output on the entire prompt level

You are a quick improver. Given an existing prompt and feedback on how it should improve. Create an improved version based on the feedback.

Existing Prompt ## {*existing prompt*}

Feedback## {*feedback*}

Improved Prompt##

Table 13: EDA Prompt

You are a mutator. Given a series of prompts, your task is to generate another prompt with the same semantic meaning and intentions.

Existing Prompts ## {*existing prompt*}

The newly mutated prompt is:

Table 14: EDA+Index Prompt: The difference between EDA + Index and EDA is that EDA + Index takes advantage of the in-context learning technique and informs the order of the passed-in prompts

You are a mutator. Given a series of prompts, your task is to generate another prompt with the same semantic meaning and intentions. The series of prompts are ranked by their quality from best to worst.

Existing Prompts ## {*existing prompt*}

The newly mutated prompt is:

Table 15: Cross Over Prompt

You are a mutator who is familiar with the concept of cross-over in genetic algorithm, namely combining the genetic information of two parents to generate new offspring. Given two parent prompts, you will perform a cross-over to generate an offspring prompt that covers the same semantic meaning as both parents.

Example

Parent prompt 1: Now you are a categorizer, your mission is to ascertain the sentiment of the provided text, either favorable or unfavorable

Parent prompt 2: Assign a sentiment label to the given sentence from ['negative', 'positive'] and return only the label without any other text.

Offspring prompt: Your mission is to ascertain the sentiment of the provided text and assign a sentiment label from ['negative', 'positive'].

Given ## Parent prompt 1: {*prompt 1*} Parent prompt 2: {*prompt 2*} Offspring prompt:

Table 16: Semantic Mutation Prompt: To provoke LLM's creativity, we do not restrict to the semantic level but expand that to intentions, allowing LLM to not stick to a sentence-by-sentence mutation.

You are a mutator. Given a prompt, your task is to generate another prompt with the same semantic meaning and intentions.

Example:

current prompt: Your mission is to ascertain the sentiment of the provided text and assign a sentiment label from ['negative', 'positive'].

mutated prompt: Determine the sentiment of the given sentence and assign a label from ['negative', 'positive'].

Given: current prompt: {*existing prompt*} mutated prompt::

D. Details of Experiments

D.1. Baselines

- APE [\(Zhou et al.,](#page-9-3) [2023\)](#page-9-3) uses LLM agent for instruction induction tasks. It proposes forward mode generation and reverse mode generation and uses log probability to generate and evaluate candidates. As it reports the best candidate, we are using the best candidate to compare.
- APO [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4) uses feedback provided by LLM as gradients to approach prompt optimization. It uses beam search to find the best candidate. As it reports averaged performance, we are using the averaged performance to compare.
- PromptBreeder [\(Fernando et al.,](#page-8-11) [2023\)](#page-8-11) uses the evolution algorithm to tackle prompt optimization tasks and utilizes thinking styles, and mutation prompts to surface the best task prompt. As it reports the best candidate, we are using the best candidate to compare.
- AELP [\(Hsieh et al.,](#page-8-10) [2023\)](#page-8-10) uses existing prompts [\(Suzgun et al.,](#page-9-21) [2022b\)](#page-9-21) to target long prompt optimization and improves them by mutating on a sentence level with history-guided search. As it reports averaged performance, we are using the averaged performance to compare.
- EVOPROMPT [\(Guo et al.,](#page-8-3) [2023\)](#page-8-3) uses crossover mutation and semantic mutation with an evolution algorithm to find the best prompt. As it reports the best candidate, we are using the best candidate to compare.
- OPRO [\(Yang et al.,](#page-9-5) [2023a\)](#page-9-5) uses meta prompt, solution-score pairs, and task descriptions to generate candidates. As it reports the best candidate, we are using the best candidate to compare.

D.2. Benchmark tasks

- 24 Instruction Induction Tasks: These 24 instruction tasks [\(Honovich et al.,](#page-8-14) [2022\)](#page-8-14) span many facets of language understanding, from simple phrase structure to similarity and causality identification. Both training and testing data are provided for these tasks and we create our training and evaluation data set from the available training data and use the provided testing data set as is. Depending on the task, we use up to 50 training data and up to 50 evaluation data. We use *input output pair* format for these tasks.
- Ethos: Ethos [\(Mollas et al.,](#page-9-8) [2021\)](#page-9-8) is an online English hate speech detection data set with 997 online comments and hate speech labels. We select 50 for training, 50 for evaluation, and 150 for testing. We use *prompt examples* format for this data set following the practice of APO [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4).
- Liar: Liar [\(Wang,](#page-9-9) [2017\)](#page-9-9) is an English fake news detection data set with 4000 statements, context, and lie labels. We select 50 for training, 50 for evaluation, and 150 for testing. We use *prompt examples* format for this data set following the practice of APO [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4).
- Sarcasm: Sarcasm [\(Farha & Magdy,](#page-8-13) [2020\)](#page-8-13) is an Arabic sarcasm detection data set with 10,000 online comments and sarcasm labels. We select 50 for training, 50 for evaluation, and 150 for testing. We use *prompt examples* format for this data set following the practice of APO [\(Pryzant et al.,](#page-9-4) [2023\)](#page-9-4).
- BBH: BBH [\(Aarohi & bench authors,](#page-8-22) [2023\)](#page-8-22) is a collaborative benchmark that aims to quantitatively measure the capabilities and limitations of language models. We followed the same practice in the AELP paper with the same tasks and randomly selected 50 for training, 50 for evaluation, and 125 for test. [\(Hsieh et al.,](#page-8-10) [2023\)](#page-8-10)

D.3. PHASEEVO Setting

- Population Size: In the experiments, for *phase 0: Global initialization* we set the population size to be 15. For the rest phases, we set the population to be 5.
- Operator Tolerance: Based on operator analysis in section [B.2,](#page-16-0) the tolerance for Feedback Mutation and Semantic Mutation is set to 1. The tolerance for EDA Mutation and Crossover is set to 4. Thus the minimum number of times mutation will be applied in *phase 2: global evolution mutation* is 8.
- Model Configuration: For operators, we set the temperature to 0.5 to tap into LLM's creativity. For evaluations, we set the temperature to 0.
- Performance Gain in Stop Criteria: To improve efficiency, when evaluating performance gain to decide whether we should move to the next phase, we are only looking at the best candidate in the current population.
- New Generation Selection: To improve efficiency, after getting new candidates, we combine them with the current generation and use a greedy algorithm to select the top performer to be the new generation.

E. Additional Experiment Results

E.1. 24 Instruction Induction Tasks

Table [17](#page-22-1) shows the comparison between APE, PromptBreeder, and PHASEEVO evaluated by the best prompt on 24 instruction induction tasks. PHASEEVO outperforms 21/24 tasks over APE zero shot, 17 / 24 tasks over APE few shot and 18 / 24 tasks on Prompt Breeder. PHASEEVO generated few-shot prompts for 20 / 24 tasks and zero-shot examples for 4 / 24 tasks. For the full set of generated prompts please refer to table [26.](#page-39-0)

Task	APE (zero- shot)	APE (few- shot)	PromptBreeder (few-shot)	PHASEEVO- 3.5	PHASEEVO- $\overline{4}$
Antonyms	0.83	0.86	0.87	0.89	0.91
Cause Effect	0.84	$\mathbf{1}$	1	0.96	$\mathbf{1}$
Common Concept	0.27	0.32	Ω	0.23	0.28
Diff	$\mathbf{1}$	$\mathbf{1}$	$\mathbf{1}$	$\mathbf{1}$	$\mathbf{1}$
Word First Letter	$\mathbf{1}$	$\mathbf{1}$	1	$\mathbf{1}$	$\mathbf{1}$
Informal For- mal	0.65	0.70	0.07	0.6	0.67
Large Ani- mal	0.97	0.97	0.97	0.96	0.94
Letters List	0.99	$\mathbf{1}$	0.99	$\mathbf{1}$	$\mathbf{1}$
Taxonomy Animal	0.66	0.79	1	0.96	$\mathbf{1}$
Negation	0.83	0.9	0.9	0.94	0.88
Num Verb	$\mathbf{1}$	$\mathbf{1}$	$\mathbf{1}$	$\mathbf{1}$	$\mathbf{1}$
Active Pas- sive	$\mathbf{1}$	$\mathbf{1}$	1	$\mathbf{1}$	$\mathbf{1}$
Singular Plu- ral	$\mathbf{1}$	1	1	$\mathbf{1}$	$\mathbf{1}$
Rhymes	$\mathbf{1}$	0.61	$\mathbf{1}$	$\mathbf{1}$	$\mathbf{1}$
Second Word Letter	0.87	0.69	0.95	1	1
Sentence Sim- ilarity	0.36	0.43	0.56	0.38	0.55
Sentiment	0.94	0.93	0.93	0.94	0.94
Continuation of Table 17					

Table 17: 24 Instruction Induction Task in APE

Submission and Formatting Instructions for ICML 2024

E.2. BBH Model Comparison

We compare the best prompt obtained from PHASEEVO with gpt-3.5 and gpt-4. For gpt-3.5 we run 3 times and for gpt-4 we run once. PHASEEVO-4 outperforms PHASEEVO-3.5 in all tasks when the inputs are in the same format. However for more difficult tasks, because of the possibility of human-introduced prior knowledge, PHASEEVO-3.5-example outperforms PHASEEVO-4-pair.

Task	PHASEEVO-3.5-pair	PHASEEVO-3.5- example	PHASEEVO-4-pair
Casual Judgement	72.13	89.09	75.4
Disambiguation QA	72.13	68,47	84
Dyck Language	8.05	46.77	36.29
Formal Fallacies	58.87	58.65	75.31
Hyperbaton	86.02	87.5	88.67
Logical Five	48.19	82.62	67.22
Color Reasoning	60.5	80.64	90.32
Salient Translation	49.19	47.59	70.24

Table 18: BBH Model Comparison

E.3. Generated Prompt Comparison

Continuation of Table [19](#page-23-1)

We notice that the prompts generated by PHASEEVO are easier to understand by humans. Below is a comparison between prompts generated for task Rhymes. The task description is: *"Write a word that rhymes with the input word."*

The prompt generated by APE and Instruct Zero does not fit the task. The prompt generated by Prompt Breeder is not easy to understand how it relates to rhyme. The prompt generated by PHASEEVO is easy to understand with few shot examples added.

Submission and Formatting Instructions for ICML 2024

Continuation of Table 19	
Instruct Zero	Write a function that takes a word as input and returns the output word.
Prompt Breeder Continuation of Table 10	Prompt 0: If the last letter of the input is 'e', remove it. Prompt 1: remove the last two letters of the input and add the letters \xc2 \x93mote \xc2 \x94. Contexts Context 0: Q. pea A. If the last letter of the input is 'e', remove it. A. If the last letter of the input is 's', remove it. A. If the last letter of the input is 'y', remove it. A. If the last letter of the input is remove the last two letters of the input and add the letters \xc2 \x93mote \xc2 \x94. Therefore, the correct answer is (a) pea. Context 1: Q. night A. If the last letter of the input is 'e', remove it. A. If the last letter of the input is 't', remove it. A. If the last letter of the input is 'h', remove it. A. If the last letter of the input is remove the last two letters of the input and add the letters \xc2 \x93mote \xc2 \x94. Therefore, the correct answer is (The answer is night. Context 2: Q. add A. If the last letter of the input is 'e', remove it. A. If the last letter of the input is 'd', remove it. A. If the last letter of the input is 'a', remove it. A. If the last letter of the input is remove the last two letters of the input and add the letters \xc2 \x93mote \xc2 \x94. Therefore, the correct answer is (The answer is added.

Continuation of Table [19](#page-23-1)

F. Few-shot Add/ Removal Examples

Below are cases listing examples where few-shot examples are added or removed with PHASEEVO.

F.1. Zero-shot to Few-shot

Table 20: Add Few-shot Example: added examples are highlighted.

F.2. Zero-shot to Zero-shot

Table 21: Zero-shot to Zero-shot

F.3. Few-shot to Zero-shot

Table 22: Few-shot to Zero-shot

Table 23: Few-shot to Few-shot

G. Generated Prompts

In this section, we list the prompts generated by PHASEEVO with the best performance for each task. All prompts are generated by gpt-3.5. We observe a mix of few-shot prompts and zero-shot prompts for different tasks. This indicates both LLM's ability to perform in-context prompt optimization and PHASEEVO's ability to traverse the whole problem space to find optimal solutions.

We also notice that the few-shot examples in the final prompts are largely generated by LLM instead of copied from example instruction or training sets. Thus it serves as further proof of LLM's capability of in-context prompt optimization and PHASEEVO's credibility in this problem space.

Table 24: BBH Prompts

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Continuation of Table 24	
Hyperbaton	Test your knowledge of adjective order in English sentences with interactive exercises and quizzes. Learn the rule of opinion-size-age-shape-color-origin-material-purpose noun and apply it to different types of nouns such as animals, objects, and people. Practice constructing your own sentences and receive feedback on incorrect answers to improve your skills. By the end of this exercise, you'll be able to confidently order adjectives and communicate accurately in English.
Continuation of Table 24	

Submission and Formatting Instructions for ICML 2024

Continuation of Table 24	
Reasoning Colored Objects	Identify the color of objects arranged in a row on a surface. Q: On the desk, there is a black stapler, a green highlighter, a yellow ruler, a blue pen, and a purple marker. What color is the pen? Options: (A) red (B) orange (C) yellow (D) green (E) blue (F) brown (G) magenta (H) fuchsia (I) mauve (J) teal (K) turquoise (L) burgundy (M) silver (N) gold (O) black (P) grey (Q) purple (R) pink A: Let's think step by step. According to this question, the objects are arranged in a row, from left to right, as follows: (1) a black stapler, (2) a green highlighter, (3) a yellow ruler, (4) a blue pen, and (5) a purple marker. The pen is the fourth item on the list, namely (4). The color of the pen is blue. So the answer is (E) .
Salient Trans- lation Error Detection	Read the following translations from German to English and identify the type of error present in each one. The error can be one of the following types: Named Entities, Numerical Values, Modifiers or Adjectives, Negation or Antonyms, Facts, or Dropped Content. Write the corresponding letter for each error type in the options provided. For example: Source: Der Hund ist braun. Translation: The cat is brown. The translation contains an error pertaining to: Options: (A) Modifiers or Adjectives (B) Numerical Values (C) Negation or Antonyms (D) Named Entities (E) Dropped Content (F) Facts Output: (D)
Continuation of Table 24	

Submission and Formatting Instructions for ICML 2024

Continuation of Table 24	
Causal Judg- ment	Provide reactions to intentional actions in diverse scenarios, while also considering causation and its complexities. To assist with determining causation, provide specific guidelines and examples for each scenario. To avoid any confusion or misinterpretation, precise language and definitions will be used throughout the prompt. Additionally, feedback from experts and individuals with relevant experience in the field of causation will be incorporated to ensure accuracy and relevance. To challenge users' critical thinking skills, include diverse and complex scenarios that require creative problem- solving and a deeper understanding of causation in various areas of life.
Dyke Lan- guages	Correctly close all brackets, including nested brackets, in the provided sequence in the proper order from innermost to outermost. Mistakes such as forgetting to close a bracket or closing brackets in the wrong order can result in an error. If an error is made, a clear and concise message will indicate which bracket is not properly closed and suggest how to correct it. A visual representation of the correct sequence of closed brackets is provided below: [([()])] Examples of valid and invalid inputs: Valid input: $[()]$ Valid input: $[(])]$ Invalid input: $[(])]$ Warning message: The bracket at position 8 is not properly closed. Please close the bracket to ensure proper syntax. Suggested correction: [([])] Invalid input: $[([])]$ Warning message: The bracket at position 8 is not properly closed. Please close the bracket to ensure proper syntax. Suggested correction: [([])]
Formal Falla- cies	Read the given argument carefully and determine whether it is deductively valid or invalid b5rased on the explicitly stated premises. Provide a justification for your answer.
Dis- ambiguation QA	For each sentence with a gender-neutral pronoun, determine the antecedent or state if it is ambiguous. Use (A) for the first option, (B) for the second option, or (C) for ambiguous. Additionally, provide an explanation of the antecedent (the person or thing the pronoun refers to) for each sentence.
Hyperbaton Continuation of Table 24	Test your knowledge of adjective order in English sentences with interactive exercises and quizzes. Learn the rule of opinion-size-age-shape-color-origin-material-purpose noun and apply it to different types of nouns such as animals, objects, and people. Practice constructing your own sentences and receive feedback on incorrect answers to improve your skills. By the end of this exercise, you'll be able to confidently order adjectives and communicate accurately in English.

Submission and Formatting Instructions for ICML 2024

	Continuation of Table 24
	Identify the color of objects arranged in a row on a surface.
	Q: On the desk, there is a black stapler, a green highlighter, a yellow ruler, a blue pen, and a purple marker. What color is the pen?
Reasoning Colored Objects	Options: (A) red (B) orange (C) yellow (D) green (E) blue (F) brown (G) magenta (H) fuchsia (I) mauve (J) teal (K) turquoise (L) burgundy (M) silver (N) gold (O) black (P) grey (Q) purple (R) pink A: Let's think step by step. According to this question, the objects are arranged in a row, from left to right, as follows: (1) a black stapler, (2) a green highlighter, (3) a yellow ruler, (4) a blue pen, and (5) a purple marker. The pen is the fourth item on the list, namely (4). The color of the pen is blue. So the answer is (E).

Table 26: APE Prompts

Submission and Formatting Instructions for ICML 2024

Continued next page for Table [26](#page-39-0)

Continued next page for Table [26](#page-39-0)

Continued next page for Table [26](#page-39-0)

49

