ABSTRACT
We put forward a general theory of goal-oriented communication, where communication is not an end in itself, but rather a means to achieving some goals of the communicating parties. Focusing on goals provides a framework for addressing the problem of potential “misunderstanding” during communication, where the misunderstanding arises from lack of initial agreement on what protocol and/or language is being used in communication. Despite the enormous diversity among the goals of communication, we propose a simple model that captures all goals.

2. THE MODEL OF GOAL-ORIENTED COMMUNICATION
We focus primarily on the case of communication between a pair of entities, since this is sufficient to capture the essential issues of incompatibility that may arise. Moreover, we focus on an asymmetric setting of communication between parties that we refer to as a user— who represents “us” or “our point of view,” and in any case, operates on our behalf—and a server, whose assistance towards achieving a goal we seek via communication. In particular, we consider a synchronous model of communication in which the parties are described by strategies that take a internal state and an incoming message profile to a (distribution over) a new state and an outgoing message profile. Following the work of Juba and Sudan [3], the core of the problems of incompatibility that we consider are captured by considering, instead of a single server strategy, a class of possible server strategies: roughly, a user strategy is compatible with the entire class of servers if its goal of communication is achieved whenever the user is paired with any (adversarially selected) server in the class.

Note, however, that in our model as described thus far, neither the user strategy, nor the server strategy, and cer-
tainly not the contents of the communications channels they share should be specified (fixed) by the goal of communication. The goal is thus introduced by introducing a third entity to the model, capturing either a hypothetical “referee,” “the rest of the system,” or “the environment,” which monitors the communication between the user and the server by communicating with them, that we refer to as the world. We postulate that the (user’s) goal for the communication can be described in terms of the states of this third party’s strategy. That is, to fix a goal of communication, we take the world’s (non-deterministic\(^2\)) strategy as fixed, and fix a set of acceptable sequences of world states (or equivalently, define a referee predicate on the set of all possible histories of world states). We say that “the goal is achieved” if the system produces a sequence of world states that is acceptable.

At this level of generality, clearly not every goal can be achieved by some user-server pair, and our focus is naturally on cases in which the only issue is compatibility: that is, in which some reasonable (e.g., polynomial time) user strategy would achieve the goal with an adequate server. Actually, in order to simplify matters, we focus exclusively on forgiving goals in which every finite partial history can be extended to a successful history. Fixing such a forgiving goal, we say that a server strategy is helpful for the goal and a class of user strategies if there is some user strategy \( U \) such that when \( U \) is paired with the server, and the server and world are started from any initial state, the goal is achieved (i.e., the referee is satisfied). We then refer to a user strategy as universal for a goal (and a class of user strategies) if it achieves the goal with every server that is helpful for the goal (with respect to this class of user strategies).

3. NOTIONS AND RESULTS OF THE THEORY

As stated in the introduction, our second main contribution is that we are able to identify broad classes of goals of communication for which universal user strategies can be designed. These classes are described in terms of the feedback available to the user regarding its performance towards achieving the goal. Broadly speaking, we consider two families of goals, with different notions of feedback: one is finite goals, in which the user must halt at some point, and the referee is defined on these finite histories, and the other is compact goals in which the system runs for infinite time, and the referee’s decision is determined by whether the number of “unacceptable” prefixes of the history is finite or infinite. In each of these two cases, we introduce notions of feedback that we call sensing, which formally are predicates of the history of the portion of the system visible to the user. In each case, we specify two properties, called viability and safety, that the Boolean indications produced by sensing should satisfy, in order to be useful as a source of feedback. Loosely speaking, for compact goals, viability means that the user only obtains positive indications whenever it is coupled with a server that leads to achieving the goal (i.e., producing an acceptable execution), whereas safety means that negative indications are obtained when the user strategy is coupled with a server that does not lead to achieving the goal. For finite goals, safety roughly means that positive indications are only obtained on acceptable histories, and viability means that a positive indication would be obtained by some (unknown) user strategy with a given server strategy.

Our main result asserts that whenever feedback (captured by safe and viable sensing) is available for a goal and a class of servers, there exists a user strategy (i.e., a universal one) that achieves the goal whenever coupled with any server in the class.

**Theorem 1** (Main result, loosely stated). For any (compact or finite) goal and any class of server strategies for which there exists safe and viable sensing, there exists a universal user strategy.

In particular, if sensing is safe and viable with all helpful server strategies, then the theorem guarantees that we can design a user strategy that is universal with respect to any helpful server; that is, this universal strategy achieves the goal when coupled with a server \( S \) if and only if there is some user strategy that achieves the goal when coupled with \( S \).

Loosely speaking, in the compact case, Theorem 1 is proved by enumerating all relevant user strategies and switching from the current strategy to the next one when a negative indication is obtained from the sensing function; in the finite case, strategies are enumerated “in parallel” as in Levin’s approach in \([6]\), and sensing is used to decide when to stop. We mention that, in general, the overhead introduced by the enumeration is essentially necessary; that is, there exist natural cases in which any universal strategy must incur such an overhead. However, in special cases of interest, better performance may be possible. Indeed, we view our results as the first steps in a new direction, which motivate the search for algorithms that are compatible with broad classes (that may not include all helpful servers). We note that some examples of such algorithms have been subsequently identified by Juba and Sudan \([4]\) and Juba and Vempala \([5]\) (also described in \([2]\)).

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5. REFERENCES


