# <span id="page-0-0"></span>StraGo: Harnessing Strategic Guidance for Prompt Optimization

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#### Abstract

Prompt engineering is pivotal for harnessing the capabilities of large language models (LLMs) across diverse applications. While existing prompt optimization methods improve prompt effectiveness, they often lead to prompt drifting, wherein newly generated prompts can adversely impact previously successful cases while addressing failures. Furthermore, these methods tend to rely heavily on LLMs' intrinsic capabilities for prompt optimization tasks. In this paper, we introduce STRAGO (Strategic-Guided Optimization), a novel approach designed to mitigate prompt drifting by leveraging insights from both successful and failed cases to identify critical factors for achieving optimization objectives. STRAGO employs a how-to-do methodology, integrating in-context learning to formulate specific, actionable strategies that provide detailed, step-by-step guidance for prompt optimization. Extensive experiments conducted across a range of tasks, including reasoning, natural language understanding, domain-specific knowledge, and industrial applications, demonstrate STRAGO's superior performance. It establishes a new stateof-the-art in prompt optimization, showcasing its ability to deliver stable and effective prompt improvements.

#### 1 Introduction

Recent advancements in large language models (LLMs), such as ChatGPT and GPT-4, have significantly enhanced their analytical, reasoning, and contextual understanding capabilities [\(Yue et al.,](#page-10-0) [2024;](#page-10-0) [Chang et al.,](#page-9-0) [2023;](#page-9-0) [Xu et al.,](#page-10-1) [2024\)](#page-10-1). LLMs are employed in various applications, such as Microsoft Copilot and New Bing, where users interact with the models through prompts. These prompts play a crucial role in guiding the LLMs' responses, ensuring outputs are accurate, relevant, and useful. However, the performance of LLMs heavily that requires considerable expertise.

[2020\)](#page-9-2), though these techniques often require additional training or depend on the model's internal state, limiting their applicability for API-based LLMs like ChatGPT and GPT-4. Recent studies have leveraged LLMs themselves as prompt generators [\(Zhou et al.,](#page-10-2) [2022\)](#page-10-2) or optimizers [\(Yang et al.,](#page-10-3) [2023\)](#page-10-3). Advanced search algorithms, such as Monte Carlo Tree Search (MCTS) [\(Wang et al.,](#page-10-4) [2023\)](#page-10-4) and evolutionary algorithms [\(Guo et al.,](#page-9-3) [2023;](#page-9-3) [Fer](#page-9-4)[nando et al.,](#page-9-4) [2023\)](#page-9-4), have also been applied to discover effective prompts. Additionally, some research has exploited the reflective capabilities of LLMs [\(Shinn et al.,](#page-9-5) [2023;](#page-9-5) [Chen et al.,](#page-9-6) [2023\)](#page-9-6), optimizing prompts by using erroneous examples to guide refinement, either explicitly or implicitly [\(Pryzant et al.,](#page-9-7) [2023;](#page-9-7) [Yang et al.,](#page-10-3) [2023;](#page-10-3) [Hu](#page-9-8) [et al.,](#page-9-8) [2023;](#page-9-8) [Tang et al.,](#page-9-9) [2024\)](#page-9-9). These LLM-based optimization methods have demonstrated effectiveness across various tasks and hold promise for improving prompt quality.

depends on prompt quality, and crafting effective prompts remains a complex, labor-intensive task

To overcome the challenge of crafting effective prompts, recent research has focused on creating

However, search-based algorithms often suffer from inefficiency in prompt optimization due to the absence of a clear optimization direction at each step. Reflection-oriented methods aim to accelerate convergence by focusing on iteratively analyzing and correcting erroneous cases. However, concentrating on failure cases can sometimes negatively affect correct ones, especially when the errors exhibit outlier characteristics. Both search-based and reflection-oriented approaches can result in *prompt drift*, where a newly generated prompt resolves certain failures but inadvertently disrupts previously successful cases.

and optimizing prompts automatically. Early approaches utilized reinforcement learning [\(Deng](#page-9-1) [et al.,](#page-9-1) [2022\)](#page-9-1) or gradient-based methods [\(Shin et al.,](#page-9-2)

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Additionally, these methods typically provide the LLM with a task description and context without offering specific guidance on how to achieve the desired outcomes, relying solely on the LLM's inherent capabilities. For example, OPRO [\(Yang](#page-10-3) [et al.,](#page-10-3) [2023\)](#page-10-3) supplies historical prompts with corresponding scores and task-specific data, expecting the LLM to generate more effective prompts. EvoPrompt [\(Guo et al.,](#page-9-3) [2023\)](#page-9-3) asks the LLM to merge two prompts into a new one without any instructions or strategy for doing so. Similarly, APO [\(Pryzant et al.,](#page-9-7) [2023\)](#page-9-7) presents erroneous cases and asks the LLM to correct them with new prompts, but without providing actionable guidance. This heavy reliance on the LLM's intrinsic abilities can be problematic for complex tasks, as the model may lack the necessary skills, leading to suboptimal prompt generation.

In this paper, we introduce STRAGO (Strategic-Guided Optimization), a novel reflection-based prompt optimization method designed to overcome the limitations of existing approaches. Unlike prior methods, STRAGO avoids bias towards failure cases by analyzing both successful and failed outcomes in each iteration, identifying key factors necessary for task success and understanding the causes of failures. Using this analysis, STRAGO employs in-context learning to develop specific, actionable strategies that offer detailed, step-by-step guidance for prompt refinement. These strategies, combined with the analysis results, are used to optimize the prompt. Our extensive experiments across reasoning, natural language understanding, domain knowledge, and industrial applications demonstrate that this approach effectively corrects failures while minimizing adverse effects on successful cases. This unbiased iterative process, coupled with detailed guidance, achieves the best overall accuracy improvements post-optimization, setting a new state-of-the-art in prompt optimization.

Our major contributions are as follows:

- 1. Unbiased Reflective Optimization: STRAGO mitigates prompt drifting by incorporating both successful and failed cases in the optimization process, resulting in more stable and reliable prompt refinement.
- 2. Actionable Strategy Development: STRAGO leverages in-context learning to craft step-by-step, actionable strategies that guide prompt optimization, unlocking LLMs'

potential in tasks where they initially lack sufficient expertise.

3. Broad Validation Across Diverse Tasks: We extensively evaluate STRAGO across various tasks, including reasoning, language understanding, domain-specific knowledge, and industrial applications, demonstrating that STRAGO achieves state-of-the-art performance in prompt optimization.

#### 2 Methodology

#### 2.1 Preliminaries

#### 2.1.1 Task Formulation

Given a task dataset  $D$ , our objective is to find the optimal prompt  $p^*$  that enables an LLM to generate responses closely matching the desired outputs. This problem can be formalized as follows:

$$
\min_{p^*} \quad J(p^*) = \sum_{(x,y)\in D} \text{loss}(\text{LLM}(p^*, x), y), \ (1)
$$

where  $x$  and  $y$  represent the input and its corresponding desired output from the task dataset D, and  $p^*$  is the optimal prompt that minimizes the loss between the LLM's output and the desired output for all input-output pairs in D.

#### 2.1.2 Assessment Metrics

Accuracy is the primary metric for evaluating the effectiveness of a prompt in solving a task using an LLM. However, during iterative prompt optimization, it is equally important to assess how new prompts affect both previously successful and failed cases. To capture this, we introduce two additional metrics: *Adverse Correction Rate* (ACR) and *Beneficial Correction Rate* (BCR):

$$
ACR = \frac{\sum_{i=1}^{n} \mathbf{1}(p_{\text{pre}}(x_i) = y_i \land p_{\text{post}}(x_i) \neq y_i)}{\sum_{i=1}^{n} \mathbf{1}(p_{\text{pre}}(x_i) = y_i)}
$$
(2)

$$
BCR = \frac{\sum_{i=1}^{n} \mathbf{1}(p_{pre}(x_i) \neq y_i \land p_{post}(x_i) = y_i)}{\sum_{i=1}^{n} \mathbf{1}(p_{pre}(x_i) \neq y_i)}
$$
(3)

where  $p_{\text{pre}}(x_i)$  and  $p_{\text{post}}(x_i)$  represent the model's predictions before and after optimization, respectively, for each input  $x_i$  and its ground truth  $y_i$ .

ACR measures the negative impact of optimization by capturing the proportion of correct predictions that become incorrect after applying the new

prompt. In contrast, BCR quantifies the positive impact by measuring the proportion of previously incorrect predictions that are corrected. Together with accuracy, these metrics offer a comprehensive evaluation of the new prompt's overall effectiveness, highlighting both its potential drawbacks and improvements.

## 2.2 STRAGO

In each optimization iteration, STRAGO samples both successful and failed cases to identify key factors for achieving task objectives and to understand why the current prompt leads the LLM to succeed or fail (Analyzer). Based on this analysis, it generates executable strategies that offer detailed, stepby-step guidance for optimization (Refiner). These strategies are then combined with the analysis results to optimize the prompt (Optimizer). Figure [1](#page-3-0) illustrates the three main steps of STRAGO, using the TREC task [\(Voorhees and Tice,](#page-10-5) [2000\)](#page-10-5) as an example. Each module is discussed in detail in the following subsections. All meta prompts used in STRAGO are provided in Appendix [D.](#page-11-0)

## 2.2.1 Analyzer

STRAGO differs from previous reflection-based methods by equally prioritizing the analysis of both correct and incorrect examples. Given a dataset  $D = (x_1, y_1), (x_2, y_2), \ldots, (x_n, y_n)$ , the model partitions it into two subsets after evaluation:  $D_{correct}$  for correctly predicted samples and  $D_{incorrect}$  for incorrectly predicted samples. From each subset, K examples are selected for deep analysis. The Analyzer examines these selected examples to uncover the factors driving success in  $D_{correct}$  and the reasons for failures in  $D_{incorrect}$ . These insights, termed *positive experiences* and *negative experiences*, guide LLMs by highlighting key actions to take and common errors to avoid. In our implementation, each example generates M positive or negative experiences, depending on whether it belongs to  $D_{correct}$  or  $D_{incorrect}$ .

## 2.2.2 Refiner

According to cognitive science principles [\(Swan](#page-9-10)[born,](#page-9-10) [2010\)](#page-9-10), humans typically approach problemsolving through three dimensions: identification (What it is), causation (Why it is), and method (How to do it). In this context, experiences relate to the identification dimension. While LLMs are generally capable of handling straightforward tasks, they may struggle with more complex challenges

that require specific context or domain knowledge, as illustrated in Figure [1\(](#page-3-0)a), where the prompt lacks specific context or topic. To improve LLM performance in such cases, the Refiner adopts a two-step process: strategy formulation and strategy selection.

Strategy formulation: As noted by [Ma et al.](#page-9-11) [\(2024\)](#page-9-11), LLM-generated errors tend to follow specific patterns. For instance, miscalculations commonly occur in mathematical tasks, while misunderstandings or lack of contextual comprehension are frequent issues in language tasks. These patterns necessitate tailored strategies, making them ideal in-context learning demos. We focus on three prevalent error types: calculation errors in math tasks, misunderstandings in language tasks, and logical inference errors in reasoning tasks. We develop corresponding strategies for each error type and use them as in-context learning demos to help the LLM generate strategies that improve prompts based on both positive and negative experiences.

For each aforementioned error type, we select one or more representative examples. The LLM first generates an experience for each example and proposes a specific, actionable strategy to address it, which is then refined through manual revision. These examples, along with their associated experiences and strategies, serve as in-context learning demos, guiding the LLM in formulating detailed, step-by-step execution plans for both successful examples (positive experiences) and failed examples (negative experiences). In our implementation, we generate N strategies for each example based on its experience. Figure [1\(](#page-3-0)b) illustrates three distinct strategies generated by the Refiner for  $N = 3$  to address a negative experience from a failed example.

**Strategy selection:** For the  $N$  strategies generated by the Refiner for each example and its corresponding experience, we use an LLM to evaluate and score them based on criteria such as alignment, clarity, and feasibility. The strategy with the highest score is then selected to address the experience.

We assess the strategies across several dimensions: *Match with Experience*, which evaluates how well the strategy addresses the identified issues; *Clarity of Strategy*, which determines whether the strategy is clear and detailed; and *Effectiveness in Addressing the Issue*, which measures the likelihood that the strategy will efficiently resolve the problem. To mitigate potential self-enhancement bias during evaluation [\(Zheng et al.,](#page-10-6) [2024\)](#page-10-6), we use

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Figure 1: Flowchart of STRAGO

a different LLM (Claude) for scoring. Additionally, following the scoring method used in [Thomas et al.](#page-10-7) [\(2023\)](#page-10-7), we conduct five assessments with the LLM and average their scores for enhanced stability and reliability. Figure [1\(](#page-3-0)b) presents the averaged score for each of the three strategies addressing a negative experience from a failed example, with the highest-scoring strategy (shown in the middle) being selected.

## 2.3 Optimizer

Although LLMs can process long text inputs, they often struggle to thoroughly consider every detail when handling both positive and negative experiences, along with their associated strategies. To mitigate this issue, we implement an optimization method that processes these experiences separately and then combines them through a crossover procedure. The optimizer operates in three main steps: Optimize, Crossover, and Paraphrase.

Optimize: For each selected successful or failed example, the Analyzer generates M positive or negative experiences. The Refiner then generates a strategy for each experience, and the Optimizer creates a revised prompt based on the strategy. These revised prompts are divided into two sets: one for prompts derived from positive experiences and the

other for those based on negative experiences.

Crossover: Following the approach of [Guo](#page-9-3) [et al.](#page-9-3) [\(2023\)](#page-9-3), which shows that combining LLMs with evolutionary algorithms can improve prompt fusion (similar to genetic algorithms), we select two prompts, one from each set, and perform a crossover operation to produce a hybrid prompt.

Paraphrase: A cache is maintained to store the top *n* prompts and their corresponding scores from previous evaluations on a validation set. Each hybrid prompt is paraphrased using the prompts in the cache, and both the paraphrased and hybrid prompts are evaluated as candidate prompts. The best prompt is either selected for the next iteration of optimization if the stopping condition has not been met or output as the optimized prompt. The cache is then updated with the evaluation results.

## 3 Experiments

#### 3.1 Evaluation Tasks

We select five relatively challenging tasks from BBH [\(Suzgun et al.,](#page-9-12) [2022\)](#page-9-12), chosen for their historically low performance scores, though they are among the simpler tasks included in our evaluation.

In addition to these tasks, we incorporate two well-known natural language understanding (NLU)

tasks: SST-5 [\(Socher et al.,](#page-9-13) [2013\)](#page-9-13), a sentiment classification task based on movie reviews, and TREC [\(Voorhees and Tice,](#page-10-5) [2000\)](#page-10-5), which identifies types of responses. We also include MedQA [\(Jin](#page-9-14) [et al.,](#page-9-14) [2021\)](#page-9-14) and MedMCQA [\(Pal et al.,](#page-9-15) [2022\)](#page-9-15) to evaluate our method's effectiveness in tasks related to medical and pharmacological knowledge.

To evaluate the effectiveness of our method in industrial scenarios, we select an internal personalized search task named *Personalized Intent Query*. This task uses anonymized search data to determine whether non-personalized search results should be reordered based on user-specific information such as location, language, and search history. The task involves step-by-step initial prompts typical of complex industrial tasks and diverse, extensive data content that often includes redundant information. These characteristics represent common challenges in industrial-level prompt optimization. For detailed data specifications, please refer to Appendix [A.1.](#page-10-8)

## 3.2 Baselines

The following prompt optimization methods serve as baselines for comparison with our method:

- CoT: CoT [\(Wei et al.,](#page-10-9) [2022;](#page-10-9) [Kojima et al.,](#page-9-16) [2022\)](#page-9-16) is a popular baseline in many studied. In our setup, CoT is initiated by appending the phrase "Let's think step by step." after the question without utilizing any examples.
- APO: APO [\(Pryzant et al.,](#page-9-7) [2023\)](#page-9-7) generates natural language-level gradients from incorrect examples and uses these gradients to reverse-edit the prompt. APO represents explicit feedback methods.
- OPRO: OPRO [\(Yang et al.,](#page-10-3) [2023\)](#page-10-3) utilizes implicit feedback by tracking a historical trajectory of previous prompts and their associated scores. During prompt optimization, OPRO leverages these trajectories to guide the LLM in generating prompts aimed at achieving higher scores.
- EvoPrompt: EvoPrompt [\(Guo et al.,](#page-9-3) [2023\)](#page-9-3) applies evolutionary algorithms, such as genetic algorithms and differential evolution, to generate prompts that optimize performance on validation sets. It serves as a representative method for search-based optimization techniques.

#### 3.3 Experimental Details

We conduct extensive experiments using GPT-4 [\(Achiam et al.,](#page-9-17) [2023\)](#page-9-17) to evaluate the effectiveness of STRAGO and the baseline methods. APO, OPRO, and STRAGO all start with the same initial prompt, while EvoPrompt uses 14 additional variations.

A subset of the test set is selected as the validation set for prompt optimization. In each iteration, the validation set is used to assess prompt quality. During the final testing phase, the remaining test samples are used to evaluate the optimized prompts. For each method, we select the top 5 optimized prompts with the highest validation scores and evaluate them on the test samples, reporting the performance of the best-performing prompt. For STRAGO, we set  $K$ ,  $M$  and  $N$  to 3. To ensure consistent evaluation, the temperature is set to 0. As outlined by [Ma et al.](#page-9-11) [\(2024\)](#page-9-11), all methods perform approximately the same number of prompt searches. Detailed parameter settings are provided in Appendix [A.3.](#page-10-10)

#### 3.4 Main Results

The experimental results are reported in Table [1,](#page-5-0) where STRAGO consistently outperforms all baselines across the six tasks, showcasing the effectiveness of our approach.

Performance on BBH and NLU tasks. STRAGO achieves 79.77% accuracy on BBH, 56.34% on SST-5, and 87.21% on TREC, surpassing previous state-of-the-art (SOTA) methods by 2.37%, 0.82%, and 2.31%, respectively. These results demonstrate STRAGO's strong performance on relatively straightforward tasks. In contrast, EvoPrompt shows smaller improvements than APO and OPRO on BBH and TREC, suggesting that search-based methods like EvoPrompt may face challenges in rapid convergence. This highlights the importance of precise and targeted optimization strategies for rapid convergence in iterative prompt optimization.

Performance on Domain-specific Tasks. A notable trend is that on domain-specific tasks like MedQA and MedMCQA, all baselines show limited improvements, with none exceeding 1%. Some methods, particularly EvoPrompt, even exhibit performance declines, likely because they don't leverage feedback from the data. In domain-specific tasks, relying solely on LLMs' intrinsic capabili-

<span id="page-5-0"></span>

<b>Method</b>					BBH SST-5 TREC MedQA MedMCQA Per. Query	
MI (Manual Instructions)		54.48	71.10	77.83	65.87	67.97
$CoT$ (Wei et al., 2022)	69.43	53.86	64.40	49.10	59.07	-
APO (Pryzant et al., 2023)	76.50	55.52	84.90	77.41	65.93	67.10
OPRO (Yang et al., 2023)	77.40	55.31	83.10	76.56	66.00	
EvoPrompt (Guo et al., 2023)		75.48 55.15	81.65	77.15	65.47	-
STRAGO (Ours)	79.77	56.34	87.21	80.05	67.20	69.26

Table 1: Performance across six tasks using GPT-4 as the evaluator with Q\_END zero-shot evaluation results. The initial instruction is CoT for BBH and the manual instructions for the other tasks. Bold text indicates the best performance achieved.

ties often fails to yield prompts well-suited to the data's characteristics. In contrast, STRAGO demonstrates improvement, with a 1.22% gain on MedQA and a 1.33% gain on MedMCQA. This suggests that STRAGO's step-by-step prompt-revising strategy is more effective at inducing relevant domain knowledge and generating prompts tailored to the specific expertise required for these tasks.

Performance on Industrial Scenario Tasks. In the Personalized Intent Query task, we compare STRAGO only with APO due to the unique characteristics of its data. As shown in Table [1,](#page-5-0) APO experiences performance degradation when processing step-by-step instructions, likely because it struggles to accurately identify the specific steps that require editing in lengthy directives. In contrast, STRAGO achieves a 2.16% performance improvement, demonstrating that its approach of incrementally integrating experiences while formulating step-by-step strategies provides valuable contextual information for optimization.

In summary, STRAGO proves effective not only for simple prompts but also for addressing complex tasks, including those encountered in industrial scenarios.

## 4 Analysis

## 4.1 Data Analysis

To validate the importance of maintaining correctly predicted samples while correcting mispredicted ones during prompt optimization, we analyze the prompt drifting effect of each optimization method. Specifically, we compare the final prompts generated by various methods with the initial prompts, assessing how many new errors an optimized prompt introduces while correcting existing ones. The results are reported in Table  $2<sup>1</sup>$  $2<sup>1</sup>$  $2<sup>1</sup>$  $2<sup>1</sup>$ 

As shown in Table [2,](#page-6-0) STRAGO exhibits the lowest ACR and the highest BCR for four of the six tasks, indicating that its optimized prompts correct more erroneous samples while adversely affecting fewer correctly predicted samples than the baseline methods. This demonstrates STRAGO's superior performance compared to the baselines. The impact of maintaining correct samples is particularly significant in tasks with high-quality initial prompts. For instance, in MedQA, where the accuracy is 77.83%, although APO corrects more errors than STRAGO (34.62% or 90 erroneous samples compared to 26.92% or 70 erroneous samples), it also adversely affects more correct samples (10.41% or 95 correct samples compared to 4.49% or 41 correct samples). This results in a decline in performance for APO compared to STRAGO, as shown in Table [1.](#page-5-0) We attribute this to STRAGO's integration of correct examples and positive experiences during prompt optimization, which helps avoid significant deviations from overall task objectives, especially when the initial prompt is already effective.

## 4.2 Ablation Study

We conduct an in-depth analysis on two tasks: the readily optimized TREC task and the domain knowledge-intensive MedMCQA task. In this study, we systematically remove both positive and negative experiences from the Analyzer, as well as strategies from the Refiner. The experimental results are presented in Table [3.](#page-6-1)

The Impact of Experience. The results in Table [3](#page-6-1) indicate that removing positive experiences significantly increases ACR, leading to perfor-

<span id="page-5-1"></span><sup>&</sup>lt;sup>1</sup>Note that the denominators for calculating ACR and BCR differ.

<span id="page-6-0"></span>

	<b>BBH</b>		SST-5		TREC				MedQA MedMCQA Per. Query			
Method										ACR BCR ACR BCR ACR BCR ACR BCR ACR BCR ACR BCR		
APO 7.77 40.57 8.48 12.42 3.56 56.5 10.41 34.62 5.16 9.96 6.37 10.81												
OPRO										7.53 41.59 9.11 12.73 4.57 53.75 8.87 25.38 5.36 10.74 -		
EvoPrompt 8.72 37.29 8.10 11.21 5.08 50.00 9.30 24.61 4.66 7.81 - -												
STRAGO 4.59 49.98 7.47 13.03 3.86 65.25 4.49 26.92 4.35 12.3 3.82 12.12												

Table 2: ACR and BCR values for different optimization methods. The results for BBH represent the average across the five subtasks. Underlined values indicate the smallest (best) ACR, while bold values denote the largest (best) **BCR** 

mance declines for STRAGO across both tasks. This underscores the critical role of positive experiences in maintaining correctly predicted samples and enhancing overall task performance. Additionally, comparisons with Table [1](#page-5-0) reveal that STRAGO, when utilizing only positive experiences and strategies, can effectively optimize performance, consistently outperforming all baseline methods in the TREC task. Conversely, eliminating negative experiences results in a reduction in BCR, indicating that these experiences provide vital information for correcting erroneous samples and adapting to the subset of mispredicted data. Their absence impairs the Optimizer's ability to modify the prompt effectively, hindering the incorporation of pivotal text relevant to this data subset.

The Impact of Strategies. Analysis of Table [3](#page-6-1) reveals that STRAGO maintains robust performance in simpler tasks even without explicit strategies. However, the omission of strategies significantly diminishes STRAGO's effectiveness in tasks requiring domain knowledge. This disparity may arise from the fact that, in simpler tasks, LLMs can leverage their inherent capabilities to extract useful knowledge for prompt optimization. In contrast, these capabilities are often insufficient for knowledge-intensive tasks. By integrating explicit execution strategies, STRAGO enhances the LLMs' ability to engage in deeper analytical thinking, uncovering more domain-specific insights and providing valuable guidance for the Optimizer.

## 4.3 Convergence Analysis

We analyze the convergence of STRAGO in comparison to the three baseline methods on the TREC task, with results shown in Figure [2.](#page-7-0) Notably, STRAGO converges significantly faster than the baseline methods. For example, to achieve a test

<span id="page-6-1"></span>

<b>Task</b>	Method	ACR	<b>BCR</b>	ACC.	
<b>TREC</b>	Ours	3.86	65.25	87.21	
	$w/o.$ pos.	4.67	56.75	84.18	
	$w/o$ . neg.	4.17	61.5	85.62	
	$w/o$ . strat.	4.27	59.25	85.19	
MedMCQA	Ours	4.35	12.3	67.20	
	$w/o$ . pos.	8.10	16.02	66.00	
	$w/o$ . neg.	4.15	9.96	66.53	
	<i>w/o.</i> strat.	5.06	9.18	65.67	

Table 3: Results of the ablation study on TREC and MedMCQA tasks: Impact of omitting positive experiences (w/o pos.), negative experiences (w/o neg.), and all strategies (w/o strat.) on STRAGO.

set score above 80%, STRAGO requires the exploration of only 10 prompts, whereas methods like APO need over 90 prompts. This rapid convergence is likely due to STRAGO providing more valuable reference information than its counterparts. In a single optimization cycle, the Optimizer not only utilizes positive and negative experiences but also incorporates corresponding strategies. This approach allows the Optimizer to access more comprehensive information and generate prompts with enhanced generalization capabilities.

#### 4.4 Cost Analysis

We compare the resource consumption of STRAGO with that of baseline methods by estimating the number of API calls and total token usage (see Appendix [B](#page-11-1) for detailed estimation methods). The results for the TREC dataset are presented in Table [4.](#page-7-1) As shown, APO requires the fewest API calls, followed closely by STRAGO. Unlike OPRO and Evo-Prompt, both of these methods leverage the UCBandit algorithm to filter out many candidate prompts, thus reducing evaluation costs on the validation set.

<span id="page-7-0"></span>

Figure 2: Convergence curves for the TREC task: Comparison of test set scores for the optimal prompt across different search sizes and various prompt optimization methods.

In terms of token consumption, EvoPrompt and STRAGO exhibit the highest usage. EvoPrompt's elevated consumption arises from the need to evaluate numerous candidate prompts on the validation set, while STRAGO's higher usage is due to the longer length of its optimized prompts compared to other methods. However, given STRAGO's significant performance improvement (from 84.90% to 87.21%) over the other methods, this resource expenditure is considered justified.

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Table 4: Cost comparison on TREC Task.

#### 4.5 Performance Using Different Models

We evaluate STRAGO and baseline methods using GPT-3.5-turbo and GPT-4 as evaluators (the task models used to assess prompt performance), with GPT-4 also serving as the optimizer (the model used to enhance the prompt). The experimental results are reported in Table [6.](#page-8-0) STRAGO achieves a performance improvement of 5.45% on GPT-3.5-turbo and 10.34% on GPT-4. Additionally, STRAGO outperforms the best baseline by 1.86% on GPT-3.5-turbo and 2.37% on GPT-4. This suggests that STRAGO performs better with more advanced models. The superior performance observed with GPT-4 may be attributed to its improved adherence to instructions compared to GPT-3.5-turbo, which appears to struggle with capturing specific instructional nuances, even with

a finely tuned strategic prompt. This phenomenon has been noted in other studies [\(Zeng et al.,](#page-10-11) [2023;](#page-10-11) [Ma et al.,](#page-9-11) [2024\)](#page-9-11). Detailed results can be found in Appendix [C.](#page-11-2)

#### 5 Case Study

This section provides an in-depth examination of the strategies developed by the Refiner and the optimization processes undertaken by the Optimizer, as illustrated through tow cases detailed in Table [5.](#page-8-1)

The first case pertains to a movie recommendation task. In this scenario, the Analyzer identifies the prompt's failure, attributing it to the absence of a clear similarity criterion. To rectify this, the Refiner develops a strategy focusing on identifying such criteria, particularly by scrutinizing outlier data. Subsequently, the Optimizer refines the prompt by addressing this diagnosed error and integrating the strategic insights.

The second case involves the Snarks task, where the Analyzer underscores the importance of focusing on contextual clues, such as specific words or phrases. The Refiner then crafts a strategy that not only incorporates these basic experiential insights but also emphasizes the analysis of sentence tone, specifically to discern exaggeration or overstatement. These additional insights are pivotal in determining the ironic intent of a sentence.

#### 6 Related Work

## 6.1 Automatic Prompt Engineering

Prompt optimization aims to discover the most effective prompts for specific tasks [\(Sahoo et al.,](#page-9-18) [2024;](#page-9-18) [Liu et al.,](#page-9-19) [2023\)](#page-9-19). Initially, this optimization relied heavily on manually crafted templates designed by experts [\(White et al.,](#page-10-12) [2023\)](#page-10-12), which is labor-intensive, especially for complex tasks. To address this, researchers have developed various automated optimization techniques, broadly categorized into discrete and continuous methods [\(Li](#page-9-20) [and Liang,](#page-9-20) [2021;](#page-9-20) [Zhang et al.,](#page-10-13) [2021\)](#page-10-13). Discrete optimization modifies the prompt text by adjusting specific tokens. For instance, a prompt like "Let's think step by step" could be modified to "Take a deep breath and work on this problem step-bystep" [\(Yang et al.,](#page-10-3) [2023\)](#page-10-3). Continuous optimization, in contrast, manipulates prompt embeddings by appending a latent space vector to the start of the embedding [\(Lester et al.,](#page-9-21) [2021;](#page-9-21) [Wen et al.,](#page-10-14) [2023\)](#page-10-14). Our approach, STRAGO, focuses on editing discrete text without requiring additional training.

<span id="page-8-1"></span>

<b>Task</b>	<b>Experience and Corresponding Strategy</b>
	<b>Negative Experience:</b> Ambiguity in the similarity criterion: The prompt asks to find a movie similar to a given set of movies without specifying the basis of similarity
Movie	<b>Strategy:</b> 3. Recognize Outliers: Also pay attention to the odd ones out, or the movies that don't share the above listed common factors. This could potentially give hints on what the 'similarity' criterion could be
Recommendation	<b>Refined Prompt:</b> Let's carefully analyze each step. Given a set of movies, determine which option is most similar based on common factors such as genre, era, theme, actors, or director. Be aware of any outliers in the set, as this might give hints on what the 'similarity' criterion could be. Remember, in the absence of clear instructions or when there are multiple potential correct answers, it might be necessary to make an educated guess. Let's begin.
	<b>Positive Experience:</b> Contextual Clues: Notice words or phrases that may indicate sarcasm. This can be a circumstance or expectation that sounds out of ordinary, such as losing money for winning in example.
<b>S</b> narks	<b>Strategy:</b> 2. Look for any words or phrases that contradict usual or expected situations  3. Pay special attention to the tone of the statement  4. Locate any exaggeration or hyperbole in the statement
	<b>Refined Prompt:</b> Please identify the sarcastic statement from the given options. Remember, sarcasm often involves statements that contradict usual situations or expectations and has a mocking or scornful tone. Look for statements that are implausible or absurd under normal circumstances and note any exaggerations or hyperbole. The context of the statement can also help you understand its sarcastic nature.

Table 5: Two cases illustrating the strategy and optimization of STRAGO. Note that the refined prompts displayed do not represent the best optimization result.

<span id="page-8-0"></span>

	GPT-3.5-turbo GPT-4	
CoT	56.37	69.43
<b>APO</b>	59.96	76.50
<b>OPRO</b>	59.78	77.40
EvoPrompt	59.67	75.48
<b>STRAGO</b>	61.82	79.77

Table 6: Performance of GPT-3.5-turbo and GPT-4 on BBH Task.

#### 6.2 LLM-based Prompt Optimization

Recent studies increasingly utilize LLMs for prompt optimization [\(Zhou et al.,](#page-10-2) [2022\)](#page-10-2). Advanced search techniques, such as Monte Carlo Tree Search (MCTS) [\(Wang et al.,](#page-10-4) [2023\)](#page-10-4) and evolutionary algorithms [\(Guo et al.,](#page-9-3) [2023;](#page-9-3) [Fernando](#page-9-4) [et al.,](#page-9-4) [2023\)](#page-9-4), are employed to iteratively refine and integrate potential candidate prompts, enhancing their effectiveness. Additionally, some research leverages the self-reflective capabilities of LLMs, generating prompts that preemptively avoid errors by analyzing incorrect examples and their underlying causes [\(Pryzant et al.,](#page-9-7) [2023;](#page-9-7) [Yang et al.,](#page-10-3) [2023;](#page-10-3) [Ye et al.,](#page-10-15) [2023;](#page-10-15) [Tang et al.,](#page-9-9) [2024\)](#page-9-9). This reflective approach allows models to learn from past mistakes, improving both the accuracy and relevance of future prompts.

## 7 Conclusion

In this paper, we introduce STRAGO, a strategyguided, reflective-based optimization method that utilizes balanced iterations to analyze both successful and failed cases. This innovative approach identifies critical factors for achieving objectives while providing insights into the reasons for failures. By leveraging in-context learning, STRAGO delivers detailed, step-by-step guidance for prompt optimization. Experiments conducted across diverse tasks—ranging from simple scenarios to domain-specific and complex industrial contexts—demonstrate that STRAGO significantly outperforms existing prompt optimization methods, establishing a new state-of-the-art in the field.

## 8 Limitations

Our limitations are outlined as follows:

Fairness of Comparison: To ensure fair comparisons, we adjust certain parameters in the official code of baseline methods, aligning the number of searches across all methods to approximately 300-315. While slight variations in the number of searches may exist between methods, these differences are minimal and within an acceptable range to maintain the fairness of the comparison results. However, it is important to note that for specific tasks, we cannot guarantee that methods like OPRO will not exhibit significant performance improvements after exceeding 1600 searches. Given that the primary objective of prompt optimization is to efficiently identify the optimal prompt, we consider a search limit of 300-315 sufficient for evaluating the overall performance of each method.

Model Selection: In our experiments, we utilized GPT-3.5-turbo and GPT-4 as our task models. While proprietary models like these may undergo upgrades or discontinuation, potentially posing challenges for reproducibility, our results indicate that STRAGO performs more effectively with more advanced models. Therefore, we anticipate that STRAGO will remain competitive as newer and more sophisticated models become available.

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## A More Experiment Details

## <span id="page-10-8"></span>A.1 Data Details

For the BBH task, we roughly randomly select 50 pieces of data as training data and use the remaining data as the test set. During the experiment, the first 50 pieces of the test set are used as validation data. For natural language understanding tasks and Domain Knowledge tasks, the test set contains more than 1000 pieces of data. We sample 300 or 400 pieces as validation data using stratified sampling. The detailed data division is shown in Table [7.](#page-11-3) For the Industry application task, we choose internal search data. The data part includes: user's location, language, query keywords, some non-personalized query results (including URL, title, and rich text), search history (including query keywords, query time, whether clicked, URL, title, and rich text). The task goal is to measure the extent to which search history supports the reordering of non-personalized queries (1-5), with 1 representing "no help" and 5 representing "Extremely helpful". The detailed data distribution is shown in Figure [3](#page-12-0)

## A.2 Prompt Initialization

In this paper, all prompts are formulated in the Q\_END format, meaning instructions are added after the original question. For example, in the BBH tasks, we append "Let's think step by step" after the question. Table [8](#page-11-4) lists the initial prompts for all tasks (for EvoPrompt, we use LLMs to randomly generate several synonymous variants).

## <span id="page-10-10"></span>A.3 Experiment Settings

To fairly compare the performance of different methods, we make appropriate modifications to the official code to ensure that the number of prompt searches for each method is roughly the same. Specifically, for the APO method, we set the candidate set size to 5, with each prompt generating 5 improved versions and 10 synonymous variants per

<span id="page-11-3"></span>

Table 7: Data splits.

<span id="page-11-4"></span>

Table 8: Initial prompts.

iteration. For OPRO, we set the expansion size to 10. For EvoPrompt, the initial setting is 15 prompts, generating 30 prompts per iteration. To reduce API usage, we use the UCB Bandits algorithm for preliminary screening and retain the top 15 offspring with the highest evaluation scores. This part of the code references the official implementations of [Pryzant et al.](#page-9-7)  $(2023)^2$  $(2023)^2$  $(2023)^2$ , [Yang et al.](#page-10-3)  $(2023)^3$  $(2023)^3$  $(2023)^3$  and [Guo et al.](#page-9-3)  $(2023)^4$  $(2023)^4$  $(2023)^4$ . STRAGO generates 5 prompts per round and creates 1 synonymous variant for each memory-based prompt. Detailed parameter configurations are provided in Table [9.](#page-12-1)

## <span id="page-11-1"></span>B Cost Estimate

We refer to the method of [Guo et al.](#page-9-3) [\(2023\)](#page-9-3) for cost estimation. Overall, we divide the entire framework into three stages: generation, filtering, and evaluation. For the estimation of API calls, taking STRAGO as an example, the generation stage includes operations such as analyzing experiences, formulating strategies, strategy scoring, strategy op-

<span id="page-11-6"></span>3 <https://github.com/google-deepmind/opro>

<span id="page-11-7"></span>4 <https://github.com/beeevita/EvoPrompt>

timization, and cross-rewriting. In this stage, each prompt requires about 14 API calls. When using the UCB bandits algorithm for filtering, the number of API calls is  $P \times R \times |S|$ , where P is the number of prompts generated in each round,  $R$  is the number of evaluation rounds, and  $|S|$  is the number of samples. In the evaluation stage, each candidate prompt needs to be tested on the validation set, so the total number of calls is  $C \times |E|$ , where C is the number of candidate prompts retained in each round, and  $|E|$  is the size of the validation set.

For the estimation of token consumption, we calculate the average length of each meta prompt, optimized prompt, generated strategy, and task data, and use these values to estimate the total number of tokens L required to generate one prompt in the generation stage. Therefore, the token consumption in the generation stage is  $L \times N$ , where N is the total search size. In the filtering and evaluation stages, all operations are tested based on task data, so the token consumption of these steps is  $(P \times$  $R \times |S| \times (L_{\text{prompt}} + L_{\text{data}})$ . By determining the total number of steps, we can estimate the total token consumption in the filtering and evaluation stages.

## <span id="page-11-2"></span>C Detailed Results of BBH

Table [10](#page-12-2) presents the overall performance comparison of all methods on GPT-3.5-turbo and GPT-4. This table clearly demonstrates that STRAGO outperforms other methods across all tasks. Table [11](#page-13-0) details the modifications each method underwent in 5 BBH tasks, where both ACR and BCR are calculated based on CoT. The data reveal that in 4/5 tasks, STRAGO not only corrected the most errors but also made the fewest incorrect changes. Although STRAGO's performance slightly declines on GPT-3.5-turbo, its highest BCR or lowest ACR on this model still underscores STRAGO's superior performance.

## <span id="page-11-0"></span>D Meta Prompts

We present all meta prompts used in STRAGO in Tables [12](#page-13-1) to [18](#page-16-0)

### E Prompt Optimization Results

We present all prompt optimized by STRAGO on Table [19](#page-17-0) and [20.](#page-18-0)

<span id="page-11-5"></span><sup>2</sup> [https://github.com/microsoft/LMOps/tree/main/](https://github.com/microsoft/LMOps/tree/main/prompt_optimization) [prompt\\_optimization](https://github.com/microsoft/LMOps/tree/main/prompt_optimization)

<span id="page-12-1"></span>

<b>Methods</b>	<b>Official Search Strategy</b>			<b>Prompt Updating</b>	<b>Our Experiments Settings</b>					
	Initial size	Expansion size per step	Candidates size per step	Total <b>Steps</b>	Method Type	Initial size	Expansion size per step	Candidates size per step	Total <b>Steps</b>	Total Search
APO		$ P_{t-1}  \times 12$	$\overline{4}$	6	<b>Explicit Reflection</b>		$ P_{t-1}  \times 15$	5	5	315
<b>OPRO</b>		8		200	<b>Implicit Reflection</b>		10		31	310
<b>EvoPrompt</b>	10	10	10	10	Evolution Algorithm	15	30	15	10	300
<b>StraGo</b>	$\overline{\phantom{a}}$	$\overline{\phantom{a}}$	$\overline{\phantom{a}}$		<b>Explicit Reflection</b>		$ P_{t-1}  \times 10$	5	-	310

Table 9: Detailed parameter settings.

<span id="page-12-0"></span>

Figure 3: Left side: Distribution of data length in the training and test sets; Right side: Number of data entries in each length interval for the training and test sets.

<span id="page-12-2"></span>

Table 10: The results of GPT-3.5-turbo and GPT-4 on 5 tasks from BBH, with the highest accuracy results highlighted in bold.

<span id="page-13-0"></span>

Table 11: Comparative performance of different optimization methods on 5 BBH tasks, measured in terms of *ACR* and *BCR*. A *single underline* denotes the lowest *ACR*, while a *double underline* indicates the highest *BCR*.

<span id="page-13-1"></span>As a logician, you are good at breaking down the internal logic of the problem step by step.

<prompt>{{prompt}}</prompt> <examples>{{examples}}</examples>

I have provided you with a prompt and several examples that include triples of questions, actual answers, and reference answers. Your task is to summarize the {{num}} most valuable key points to improve your accuracy in solving this type of task.

Table 12: Collect positive experiences.

As a logician, you are good at breaking down the internal logic of the problem step by step.

<prompt>{{prompt}}</prompt> <examples>{{examples}}</examples>

I have provided you with a prompt and several examples that include triples of questions, wrong answers, and reference answers. Your task is to identify  $\{\{\text{num}\}\}\$  primary reasons why the prompt causes these wrong answers.

Table 13: Collect negative experiences.

As an experienced prompt engineering expert, your task is to evaluate a proposed strategy based on a specific experience. Rate the strategy for its appropriateness, clarity, and effectiveness in addressing the experience.

# Experience <experience>{{experience}}</experience>

# # Strategy

<strategy>{{strategy}}</strategy>

# Rating Criteria

1. Match with Experience(M): The strategy should be directly aimed at mitigating the issue described in the experience. A perfect alignment where the strategy completely addresses the experience issue scores 100 points, whereas a poor match scores lower, depending on how well it addresses the problem.

2. Clarity of Strategy(C): The strategy must be explained clearly and in detail. A strategy that is easy to understand and can be practically implemented by any teacher scores 100 points, while a strategy that is poorly described scores less or 0.

3. Effectiveness in Addressing the Issue(E): Consider how comprehensively the strategy deals with preventing errors and promoting understanding in steps. A strategy that effectively addresses both what should do and what should avoid to minimize errors scores 100 points. A strategy that partially addresses these aspects scores less.

We asked 5 experts to rate the strategy. Each expert evaluate the strategy independently.

# Output Format: [{'M': 78, 'C': 85, 'E': 90}, {'M':45,...]

# Output [{

Table 14: Score.

# Instruction-Score {{instruction score}}

Mutate the following instruction reference [# Instruction-Score] and generate a better instruction.

{{instruction}}

New instruction:

Table 15: Paraphrase.

As an expert in prompt engineer, your task is to create a step-by-step strategy guide on how to use specific experience based on provided prompt.

# Begin Demos <demo>  $\epsilon$  sprompt>read the given paragraph and identify the most logical answer among the options. $\epsilon$ /prompt>

## <example>

question: The following paragraphs each describe a set of five objects arranged in a fixed order. The statements are logically consistent within each paragraph. In a golf tournament, there were five golfers: Eve, Amy, Ada, Rob, and Joe. Amy finished second-to-last. Rob finished below Eve. Ada finished above Joe. Joe finished second.

Options:

(A) Eve finished last (B) Amy finished last (C) Ada finished last (D) Rob finished last (E) Joe finished last Answer: (B) Amy finished last Target: (D) Rob finished last </example>

<experience> One primary reason mistakes occur in this task is due to misunderstanding or misinterpretation of the logical order and relationships presented in the paragraphs </experience>

<strategy>

Here is a strategy guide how to achieve "understanding or interpretation of the logical order and relationships":

1. Carefully read the entire paragraph to understand the context and the objects or individuals involved.

2. Identify the logical relationships or orderings described in the paragraph.

3. Create a visual aid such as a list or a diagram. Place the objects or individuals from left to right based on the logical relationships. The leftmost object or individual would be the first in the order and the rightmost would be the last.

4. As you read each relationship, adjust the positions of the objects or individuals in your visual aid accordingly.

5. Once all relationships have been considered, your visual aid should represent the correct order of the objects or individuals.

</strategy> </demo>

{additional demos} # End Demos

My current prompt is: <prompt>{{prompt}}</prompt>

And here is the task data: <example>{{example}}</example>

Through comprehensive analysis of the data, I've gained an experience that can improve the prompt: <experience>{{experience}}</experience>

Based on my current prompt, please generate a strategy to address the above experience. The strategy is:

Table 16: Generate strategy.

My current instruction is: <prompt>{{prompt}}</prompt>

And Here are some task data: <example>{{example}}</example>

Through comprehensive analysis of the data, I get a experience and corresponding strategy:

# Experience <experience>experience</experience> # Strategy <strategy>{{strategy}}</strategy>

Based on my current prompt, refer to this experience and the strategy, write 1 different improved prompt. The improved prompt is:

Table 17: Optimize.

<span id="page-16-0"></span>As an experienced instruction writer, your task is to carefully analyze the provided task cases and instructions in order to generate an improved instruction that will guide an AI system to solve the task more effectively.

# Task Cases The task cases and instructions can be found below:

{{examples}} # Instruction 1  $\{\{prompt1\}\}\$ # Instruction 2  $\{ \{prompt2\} \}$ 

Please use the following step-by-step process:

- Step 1: Review the task cases to understand the key objectives and requirements that the instruction needs to address.

- Step 2: Analyze Instruction 1 and identify its strengths and weaknesses in terms of guiding the AI system to solve the task.

- Step 3: Perform the same analysis on Instruction 2.

- Step 4: Determine how to best combine the strengths of the two instructions while addressing their individual weaknesses.

- Step 5: Write an improved, combined instruction that incorporates the insights from the previous steps. The instruction should provide clear guidance for the AI system to solve the task based on the given task cases.

- Step 6: Output the improved instruction surrounded by XML tags as follows:

<instruction>

Your improved instruction goes here.

</instruction>

Table 18: Crossover.

# Table 19: Results on GPT-4.

<span id="page-17-0"></span>

# Table 20: Results on GPT-3.5-turbo.

<span id="page-18-0"></span>