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Dedicated to those who gave us the prior experience and the inspiring ideas to develop the view offered in this book.
Preface

An AAI Course Program: Within a larger book project about the AAI paradigm represents this text a short, condensed version of the AAI analysis which can be handled within the summer term of a master program. While the larger book project tries to bring together such diverse topics as Human-Machine Interaction (HMI), Systems Engineering (SE), Artificial Intelligence (AI), Cognitive Science (CogS) and Philosophy of Science (PhS) in one coherent framework called Actor-Actor Interaction (AAI), this shorter text is intended to introduce to a minimal program starting with a problem, analyze the problem in an AAI manner, test the result and stop.

Overview The course follows two main topics: (i) providing the necessary theory (ii) to enable a real analysis process.

Web Site This small text is located as one sub-topic at the main website https://www.uffmm.org/.

Terminology: HMI - AAI - ACI/ACI In the above mentioned online book the history of the terminology like HCI, HMI, AAI etc. is discussed. In this text – a one-semester course program – the perspective of Actor-Actor Interaction (AAI) will be the dominant perspective. But the reader should know that the labeling of Actor-Cognition Interaction (ACI) is also valid by pointing to cognition as the main factor within the interaction paradigm of actors. One can even go further by emphasizing the dimension of the distributedness of knowledge in the different brains of the individual members of a population which can only be shared and synchronized by a sufficient communication. While the usual communication is the basis for all sharing, new methods of shared symbolic modeling, interactive simulations or even common gaming can improve this sharing remarkably. These new methods can be understood as an augmentation of the classical methods of communication. Thus the acronym ACI can have another, more specific meaning.
Part I

Theory
1

Introduction

The term 'Actor-Actor Interaction (AAI)' as used in the title of the book is not yet very common. Better known is the term 'HMI' (Human-Machine Interaction) which again points back to the term 'HCI' (Human-Computer Interaction). Looking to the course of events between 1945 and about 2000 one can observe a steady development of the hardware and the software in many directions.\(^1\)

One can observe an explosion of new applications and usages of computer. This caused a continuous challenge of how human persons can interact with this new technology which has been called in the beginning 'Human Computer Interaction (HCI)'. But with the extension of the applications in nearly all areas of daily life from workplace, factory, to education, health, arts and much more the interaction was no longer restricted to the 'traditional' computer but interaction happened with all kinds of devices which internally or in the background used computer hardware and software. Thus a 'normal' room, a 'normal' street, a 'normal' building, a toy, some furniture, cars, and much more turned into a computerized device with sensors and actuators. At the same time the collaborators of human persons altered to 'intelligent' machines, robots, and smart interfaces. Thus to speak of a 'human user' interacting with a 'technical interface' seems no longer to be appropriate. A more appropriate language game is the new talk of 'interacting actors', which can be sets of different groups of actors interacting in an environment to fulfill a task. Actors are then today biological systems (man as well as animals) and non-biological systems. Therefor we decided to talk instead of Human-Machine Interaction (HMI) now of 'Actor-Actor Interaction (AAI)'.

The basic idea of the AAI paradigm in this book is still centered around a 'concrete interface (\(A_{Intf,Real}\))' which allows 'real interaction' with 'real actors (\(A_{Real}\))', and these real interfaces have been 'tested' before their usage 'sufficiently well'. Thus the final real interface in real usage has been 'selected' from a finite set of 'real candidates' according to some 'predefined criteria' of 'good usage'.

The context of AAI is not 'hard-wired' but can be chosen freely. Experience shows us that it is always helpful to fix the conditions under which we want to do our work. What do we presuppose if we start our work? What are

\(^1\) For a first introduction see the two human-computer interaction handbooks from 2003 and 2008, and here especially the first chapters dealing explicitly with the history of HCI (cf. Richard W.Pew (2003)) , which is citing several papers and books with additional historical investigations (cf. p.2), and Jonathan Grudin (2008) . Another source is the ‘HCI Bibliography: Human-Computer Interaction Resources’ (see: http://www.hcibib.org/), which has a rich historical section too (see: http://www.hcibib.org/hci-sites/history).

our assumptions? What are possible ‘frameworks’ we are using?

The approach in this book is highly influenced by the paradigm of ‘Systems Engineering (SE)’ as it is very common in the engineering world. System Engineering can be understood as a bet on the future: given a problem, follow some procedures, and there is some chance, that you will find a solution which can be implemented successfully. The main standards are texts representing the experience of thousands of experts of many thousands of realized projects. What the standards describe is the idealized format of a ‘process’ with a ‘start’ and an ‘end’. The process is realized by some finite set of ‘actors’ which coordinate their ‘actions’ by ‘communication’, including different kinds of ‘artifacts’. We will not speak about systems engineering too much here, but at least let us give a basic idea what it is and how it is related to the main topic ‘Actor-Actor Interaction (AAI)’ (cf. figure 1.1).2

2 For a first introduction cf. INCOSE (2015)
INCOSE:2015

Figure 1.1: A simplified picture of the different contexts for a systems engineering process

‘Inside’ of a systems engineering process you find different actors called ‘experts’ which with their experience will drive the process. Outside of the process you have those actors which have to ‘manage’ the process called ‘managers’.

A systems engineering process is always part of some ‘economical system’ which in turn is part of a ‘societal system’. The ‘economical system’ is the source of many rules for ‘how to play the game’: available resources, conditions of exchange, gains and losses. Making a systems engineering process an ‘economic success’ you have to comply with the economic rules. But the economic system is also always interacting with a ‘societal system’ too: value systems imply preferences and rules to be followed in a variety of different ways, and cultural and human centered patterns will induce additional constraints, which can conflict each other.3

Across society and economy we have the realm of ‘science’ and of ‘engineering & technology’. The domain of ‘science’ manifests themselves as a multitude of distinguished single disciplines whose coherence and unity is only partially in existence. But if you want to know how ‘nature’ behaves then you have to consult these disciplines. Based on science and as well on collected ‘experiences’ from many fields and situations we have ‘engineering’ as a unification of science, craftsmanship, and art, which transforms ideas in working artifacts, which often are machines and whole cities. ‘Technology’ is one possible outcome of engineering; technology

supports the daily life in more and more areas.

Finally, all these mentioned systems are embedded in an overall ‘natural system’, the earth as part of the universe, inducing many very strong constraints, which to follow is strongly recommended.

To describe this complex matter in detail would burst all boundaries. Therefore we will focus only on that part of the systems engineering process, where AAI comes in and we will thematise the different contexts of a systems engineering process from within the AAI sub-process where it is needed.

The structure of a systems engineering process has been described in a formal way by Louwrence Erasmus and Gerd Doeben-Henisch during 2011, when they did some ‘conceptual experiments’ looking how to formalise a systems engineering process (cf. Erasmus & Doeben-Henisch (2011a/b) 4)

Inspired by modern mathematics (cf. Bourbaki 5) and the structural approach within philosophy of science (cf. Sneed 6, Balzer et.al. 7) they pointed out an algebraic structure which can help to describe the elements as well the dynamics of the process. In the following we give a basic description of the main idea restricted to the AAI-analysis phase.

The AAI-analysis part of a systems engineering process (SEP) is depicted in the figure 1.2.

The AAI-analysis phase is assumed to be ‘framed’ by a clear beginning and a clear end. The ‘beginning’ is located in the existence of a ‘problem document’ $D_P$, which has been produced by some ‘real stakeholder’ $A_{SH.Real}$ together with some real AAI-experts $A_{AAI.Real}$. These AAI-experts can be extended by some other real experts $A_{X.Real}$. The problem document $D_P$ describes, what kind of a ‘problem’ the stakeholder sees and what kind of an ‘improvement’ he wants. Mostly the ‘wishes’ of the stakeholder are ‘framed’ by a set of ‘constraints’ which have to be matched within the envisaged ‘improvements’. 8

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8 We know that the assumption of a ready made problem document $D_P$ is very strong, because the elaboration of such a document is a real challenge and worth a book on its own.
THE AAI-ANALYSIS IN A BACKWARD VIEW: Having a 'beginning' of the AAI-analysis and an 'end' one can ask, which steps are necessary to reach the end from the defined beginning? For to do this one can start with the end and asking back: what are the pre-conditions to get the real interface candidates $A_{Inf, Real}$ for the final tests?

Here it is assumed that the 'real interfaces' are 'derived' from symbolically described abstract models of 'assisting actors' ($A_{ass}$) which are 'used' by some symbolically described abstract 'executing actors' ($A_{exec}$) to fulfill some 'task' ($T$) within a symbolically describable 'finite sequence of actions' constituting an 'abstract process'; the symbolic description of such an abstract process is called an 'actor story' (AS).

Thus, whether the proposed real interfaces are in some sense 'sound' is depending from such an actor story, which describes the intended format of the proposed 'improvements' by taking into account the different constraints mentioned by the stakeholder.

From this follows a very strong assumption implicitly given with this kind of an AAI-approach: the 'problem' ($P$) described in the problem document $D_P$ can be translated into a sequence of states with at least one start state and at least one goal state, and these states contain intended executive actors $A_{exec}$, needed assistive actors $A_{ass}$, a certain 'environment' (ENV) where these processes are assumed to happen, additionally needed 'artifacts' (OBJ), and at least one 'task' ($T$) which has to be 'fulfilled' by such a process. Possible 'constraints' (C) given as 'non-functional requirements' (NFRs) have to be defined as sets of decidable properties distributed across the different states of the whole process.

That this strong assumption is a 'sound' assumption will be demonstrated in this book. During the course of the arguments you will encounter within the overall AAI-Analysis further special topics like 'Modeling behavior and actors', 'Integrating learning intelligent actors', 'Simulation of actor stories and actor models', 'Automatic verification of non-functional requirements', 'Design of real interfaces', and 'Testing of usability with learning actors and embedded simulations'. Finally you will find several paragraphs pointing put 'philosophical aspects' of this approach which allow a new kind of integration of all these different views.
2

Outline

2.1 Symbolic Space and the Real World

Figure 2.1: The symbolic space of the Actor Story (AS), which then has to become instantiated by real actors with the aid of a real system

Figure 2.1 shows the symbolic space of an actor story (AS) which has been constructed according to some stated problem (P) and an envisioned solution idea (S+). This symbolic space communicates ideas about intended executing and assisting actors (eA, aA) which are first located in a start state (S*) and which can change the actual state by doing some actions which cause some change in an actual state generating thereby a follow-up state (S'). If one wants to describe the behavior of an actor with more details about the inner structure of an actor then one has to construct additionally an explicit actor model (AM) of this actor describing all the known behavior by explaining the internal dynamics.

To check whether these symbolically described possible states of the actor story are working in the real world (RW) one has to instantiate the intended actors and organize some test. This can be done in various simulations (including gaming), but the most advanced test will be a usability test. In a usability test real actors – as close as possible to the finally intended actors – will try to realize the states of an actor story with the aid of a mock-up. A mock-up is a physical device which represents all the
important properties of the finally intended assistant actor. The outcome of this usability is either that the symbolic description is fully working in the real world or not. If the test shows deficiencies between the symbolic actor story and the real test then this can reveal some important properties which could be enable a better follow-up test.

### 2.2 The AS Construction Process

![Figure 2.2: Outline of all main elements used in this version of the AAI paradigm](image)

The following text provides an outline of all main elements used in an AAI paradigm.

All these elements following mainly a sequential procedure. But because this procedure is to a wide extent also an exploratory process it is important to repeat individual steps or even the whole process if at the end the simulations and/or tests provide insights in deficiencies. Therefore one has to see this whole sequential process as a repetitive process. This recommends to start with as simple as possible assumptions, construct with these assumptions step wise the whole process and get some experience of the effect of all parts working together.

**PROBLEM-SOLUTION:** Every AAI analysis process presupposes a defined problem statement $D_p$ combined with a first idea about a wanted solution $D_s$.

**AAI-CHECK:** To accept the given problem with the wanted solution one has to check, whether the following minimal conditions are fulfilled:

1. The context (ENV) of the wanted solution is characterized.
2. There is at least one task (T) given which has to be realized within the solution to do the job.
3. There is at least one executive actor \((eA)\) which has to fulfill the task as well as at least one assistive actor \((aA)\) who will support the executive actor in doing his job.

**NFRs:** If the AAI check is positive then one has to give some additional *non-functional requirements (NFRs)* if necessary.

**DOMAIN KNOWLEDGE:** While the AAI framework as such is a *general framework* intended for all kinds of problems you will need a *special domain knowledge* – often located in so-called *experts* – which allows the inference of the needed facts for the states and the change rules.

**ACTOR STORY:** To analyze the details of the wanted solution within the intended environment with the implicit tasks and participating actors one has to develop a so-called *actor story (AS)*.

The AS consists of a series of *states* \((S)\) with at least one *start state* \((S^*)\) and at least one *goal state* \((S^+)\). A state is a collection of *facts* \((F)\) which can be decided as *true* or not in the assumed environment. Some of the facts describe different actors \((A)\) with the executive and the assistive actors as subsets \((eA \cup aA \subseteq A)\).

If something is *changing* then a state \(s\) is changing to a *successor state* \(s^*\). Changes are described by *change rules* \((X)\). If there are more than one option to change a state alternatively then the actor story splits up into different lines of state sequences. Possibly these different lines of states can *unify* again at some point later. There can also be a change which effects in some *loop back* if a state has to be repeated again.

**CONSTRUCTING SUCCESSOR STATES:** In a *first construction phase* the AAI experts have to clarify which are the most important states which have to be assumed to enable an actor story which leads from a start state \(S^*\) to a goal state \(S^+\). And for this they have to identify those *change-rules* \(X\) which connect the different identified states. This first construction phase leads to a structure which can *mathematically* be represented as a *graph* \((G)\). A graph can be turned into an *automaton* which is able to *simulate* this graph \(G\). This gives the foundation for a possible *simulator* \(\sigma\). And as will be shown later this simulator \(\sigma\) can be built in a general way such that one can implement an appropriate algorithm (software) in a real computer to be able to be used by the AAI experts to simulate any kind of an actor story description.

**ACTOR AS A LEARNING SYSTEM:** In the context of an actor story it is assumed that every actor is principally a *learning system (LS)* with inputs, outputs, internal states as well as a learning function one gets the following basic structure of an actor:
\[ A(x) \quad \text{iff} \quad x = \langle I, O, IS, \phi \rangle \quad (2.1) \]

\[ I \ := \ \text{Set of inputs} \quad (2.2) \]

\[ O \ := \ \text{Set of outputs} \quad (2.3) \]

\[ IS \ := \ \text{Set of internal states} \quad (2.4) \]

\[ \phi : I \times IS \rightarrow IS \times O \quad (2.5) \]

**ACTOR AS ACTOR MODEL:** If one wants to describe the details of the learning function of an actor including the details of the main sets \( \{ I, O, IS \} \) one has to construct an actor model (AM) outside the main actor story. While the actor story is looking to the actors from the outside describing how they behave, how they act in a situation\(^1\), an actor model (AM) is looking to an actor from inside, from the internal states and processes\(^2\).

**INTERFACING AS AND AMs:** The interface between an actor story (AS) and some actor models (AMs) is given by the inputs and outputs of an actor. If the actor story describes a certain action of an actor, its output, then the actor model must explain how this output has been generated inside the actor. In the same manner if the actor story describes some input to an actor then the actor model must explain what happens in the actor on account of such an input. How can an input to an actor influence his output.

### 2.3 Testing An Actor Story

If an actor story AS has been constructed one has to check the cognitive plausibility of the actor story as well as the usability of the intended assistive actors (aAs) by the intended users.

The cognitive plausibility is located in the relationship between the knowledge of the stakeholder and the possible experience when testing the actor story in a simulation. If the real experience within a simulation differs from the given experience in the brains of the stakeholders than the cognitive plausibility of the actor story is low, eventually too low.

The usability of the intended assistive actors (aAs) is located in the relationship between the intended executive actors (eA) and a preliminary mock-up of the intended assistive actors (aA). While the intended executive actor tries to realize a process which is in agreement with the actor story it has to be empirically measured (i) to which degree the intended executive actors are able to realize the actor story with this mock-up and (ii) it should be subjectively measured to which degree the intended executive actor is satisfied with this process in an emotional dimension.

**SIMULATION:** Having an actor story AS and an assisting simulator software \( \sigma \) one can realize a simulation, either (i) purely passive without interactions or (ii) with interactions. In the case of an interactive simulation real actors can interact with the simulation and thereby influence the course of the simulation. A simulation enables a shared experience with a

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\(^1\) This is called the 3rd person view by philosophers

\(^2\) This is called 1st person view from philosophers
common understanding in all participants of the simulation. The simulation experience can be compared with the available real-world experience of the participants and this allows a special kind of a cognitive test revealing those aspects of the simulation which differ from the known reality. These experienced differences can shed some light on either deficiencies of the simulation or deficiencies of the real world situation.

The introduction of actor models (AMs) simultaneously to an actor story (AS) does not change the concept of a simulation. Actor models occur in the format of a change-rule which in turn is connected to an algorithm which defines its computations.

**GAMING:** If one extends an interactive simulation with the definition of explicit win-lose states then one can turn a simulation into a game with real actors which can compete and where some of the participant can become winners. Compared to simulations with their somehow infinite possibilities identifies a game in advance some special states of interest which narrows the scope of the analysis. This helps to focus the test of the process to these special states of interest and enables a much faster clarification of research questions. In this sense is gaming the more efficient way of learning by simulation.

**VERIFICATION OF NFRs; ORACLE:** If one has defined some NFRs (non-functional requirements) for the actor story then one can after the completion of an actor story including simulation verify whether the NFRs are true in the actor story with regard to the assumed environment or not. A special case of the verification of NFRs is the oracle function. Because the verification of NFRs is done in the manner of an automated prove with regard to the existence or non-existence of some defined property (associated with a NFR), one can use this mechanism also for to check whether a special state of interest will occur or not occur within a defined time window of all possible simulations. Such a mechanism can be of great help for the analysis of the possible future of a process, especially without having the need to do all the possible (interactive) simulations which is practically impossible on account of the needed time. But because such an oracle-process can only work with the given change-rules as if these will not change and without the non-deterministic behavior of real executive actors the oracle-results have to be used with caution.

**NEED FOR MOCK-UPS:** Until that point there exist only symbolic descriptions about possible real states. To turn the symbolic descriptions into a real working system one has to implement these descriptions into a real system. But such a full implementation is not the job of the AAI analysis. The AAI analysis only examines possible states and possible behavior profiles and checks with the aid of mock-ups whether these ideas will work sufficiently well. Mock-ups are physical systems which show all the main physical properties of the intended system without being a full implementation of this system.
USABILITY TESTING: Usability reveals something about the way how good the interaction of the intended executive actors with the intended assistive actor works within the whole actor story. Some of the questions which shall be answered by an usability test are: Is it too difficult for the executing actor to learn the needed behavior? Does the executing actor need too much time? Do continuously occur too many errors? To answer these and similar questions one has to prepare a test scenario which allows a real executing actor to behave according to the actor story by using the intended assistive actor realized as a mock-up. This test has to be managed by a test coordinator assisted by some observing persons or/and recording devices to produce a protocol of the events during the test. The protocols have then to be converted into test data which can be used for analytical purposes.

A special point in the AAI usability testing is that within the AAI framework it is generally assumed that the executive actors are by default learning systems (which holds for all biological systems). This means that the executive actors eA all have an individual behavior function $\phi$. This induces within a testing procedure the possible effects that the behavior of a executing actor can change from test to test.\(^3\) To restrict the usability test therefore to only one test run is highly dangerous. It is recommended to repeat an usability test at least three times. What number $n$ has to be assumed to be the optimal number is still an unanswered question.

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\(^3\) Which is indeed the normal case. Therefore you can find in all reports about learning experiments always so-called learning curves representing these changes along a time line.
3 Define a Problem

Define a Problem: Because the space of possible problems and visions is nearly infinite one has to define as a starting point for a certain process a problem together with a first vision of a ‘better state of the affairs’. This is realized by a description of the problem in a problem document \( D_p \) as well as in a vision statement \( D_v \). Because usually a vision is not without a given context one has to add such an assumed environment (ENV) with all the constraints (C) which have to be taken into account for the possible solution. Examples of constraints are non-functional requirements (NFRs) like ‘safety’ or ‘real time’ or ‘without barriers’ (for handicapped people).

A problem description as well as the first vision of a better state of affairs have to include furthermore at least one task (TA) to be fulfilled and some intended executive actors (eA) which are biological systems; without such biological system there is no need for an AAI analysis.

For an example of a problem description with some envisioned solution see chapter ?? of this text.
4 Actor Story

OBJECTIVE FOR AN ACTOR STORY: Given a problem document \( D_p \) and a first vision document \( D_v \), it is the task of an actor actor interaction (AAI) analysis to analyze the necessary process to begin with some start state \( S^* \) and to reach at least one goal state \( S^+ \). The participating executive actors \( eA \) can reach the goal state \( S^+ \) by doing some actions which induce changes into the given states. For the realization of the task the executive actor will be supported by an assistive Actor (aA) which can also respond to actions of the executive actor while having some perceptions of what the executive actor is doing.

4.1 BASIC ELEMENTS OF AN AS

CREATING A SYMBOLIC REPRESENTATION: This intended process \( p_i \) enabling a transformation of a start state into a goal state does not yet exist in the real world; it is first a purely cognitive model of such a possible process. On account of this cognitive character the intended virtual model \( p_i \) can only be communicated by a symbolic expression \( E \) from some language \( L \) embedded in a meaning relation. Thus the elaboration/ construction of the intended process by AAI experts will be realized by using appropriate expressions embedded in a meaning relation, known by the AAI experts. This allows a basic mapping of sensor based perceptions in the AAI experts into some abstract virtual (cognitive) structures which all are automatically (unconsciously) computed by the brain.

MODES OF SYMBOLIC EXPRESSIONS: In this text especially three types of symbolic expressions \( E \) will be used: (i) pictorial expressions \( E_{pict} \), (ii) textual expressions of a natural language \( E_{nat} \), and (iii) textual expressions of a mathematical language \( E_{math} \). The meaning part of these symbolic expressions as well as the expressions itself will be called here an actor story (AS) with the different modes pictorial AS (PAS), textual AS (TAS), as well as mathematical AS (MAS).

STATES AS BASIC ELEMENTS OF AN AS: The basic elements of an actor story (AS) are states \( S \) which represent sets of facts \( F \). A fact is an expression of some defined language \( L \) which can be decided as being true in a real situation or not (the past and the future are special cases for such truth clarifications). Some of the facts are describing objects which can
be identified as actors which can act by their own. The transformation from one state to a follow up state has to be described with sets of change-rules (X). The combination of states and change-rules defines mathematically a directed graph (G).

Applying a change-rule onto an actual state S* induces a change to a successor state S'. If there exists more than one option to change a state in an exclusive way then the actor story splits up into different lines of state sequences. Possibly these different lines of states can unify again at some point later. There can also be a change which effects in some loop back if a state has to be repeated again.

CONSTRUCTING SUCCESSOR STATES: In a first construction phase the AAI experts have to clarify which are the most important states which have to be assumed to enable an actor story which leads from a start state S* to a goal state S+. And for this they have to identify those change-rules X which connect the different identified states. This first construction phase leads to a structure which can mathematically be represented as a graph (G). A graph can be turned into an automaton which is able to simulate this graph G. This gives the foundation for a possible simulator σ. And as will be shown later this simulator σ can be built in a general way such that one can implement an appropriate algorithm (software) in a real computer to be able to be used by the AAI experts to simulate any kind of an actor story description.

CHANGE-RULES: The transformation of one actual state S* into a successor state S+ is the result of the application of a change-rule x ∈ X onto the actual state S* like change : S × X ⟷→ S, or change(S*, x) = S'.

UNIFYING STATES: If one defines different actor stories with different sets of states and edges then the question can arise how one can synchronize these different subsystems. There are some cases to distinguish:

1. If there are n-many different states to unify then one declares a new super-state where all the other states are sub-states.

2. If there are no relations between the sub-states then nothing else will happen. Every sub-state will be processed with its own change-rules as before.

3. If there shall exist a new relation R between two before different states, then there must in every participating state of the relation a variable be created which will be part of the relation. Change rules can then become influential to another state if the new relation R makes an influence explicit. Example: If one actor story AS1 deals with the population dynamics of a city with a population POP, the birth-rate BR and the death-rate DR, and another actor story AS2 deals with the water-supply for this city with the actual water reservoir WR, the possible input to this water reservoir from some spring SPR, and the water consumption of the city WCN. Unifying both systems would require to relate the population POP with the water consumption WCN by some new mapping like

---

1 For a more elaborated view on changes see the next chapter 5 about actor models.

2 Think about a city with different subsystems for demography, budget, water supply etc.
wcnpop(POP) = WCN. For to extend the two old actor stories AS1 and AS2 to a new unified story AS12 = AS1 \cup AS2 one has then only to add some new change-rule wcnpop() to the unified list of change rules X12 = X1 \cup X2 \cup \{wcnpop()\}.

From this follows that the unification of before separated actor stories AS1 and AS2 requires in the worst case the introduction of new change-rules associating two before unconnected variables with a new function. This induces a cognitive enrichment of both actor stories in the unified version.

4.2 EXAMPLE OF AN AS

Textual Actor Story (TAS): Here a simple text representing a textual version of this actor story:

1. START: There is an electronic door D with a keypad K. The door is closed. Before the door stands a person A, which is able to enter a code C into the keypad K.
2. ENTERING KEY: The person A enters a code C into the keypad K.
3. GOAL: The door is open.

Pictorial Actor Story (PAS): The following figure 4.1 shows a simple pictorial actor story:

![Pictorial Actor Story](image)

Mathematical Actor Story (MAS): In the following you see a graphical representation of an actor story with the formulas embedded in the graph.

The mathematical version of an actor story (MAS) (cf. figure ??) shows the actor story as graph with mathematical formulas and some additional meta-information.

An ordinary mathematical graph is defined as follows:

\[
\gamma(g) \iff g = \langle V, E \rangle \\
V : = \text{vertices} \\
E : = \text{edges} \\
E \subseteq V \times V
\] (4.1)

In case of a mathematical actor story (MAS) this basic graph is extended by some mappings. So called facts (F) are attached to vertices and so called change rules (X) are attached to the vertices:
Figure 4.2: A graphical version of a mathematical actor story (MAS) with the formal facts and the change rule as formulas attached to the graph.

\[
\gamma^+(g) \quad \text{iff} \quad g = \langle V, E, F, \Xi, \lambda, \epsilon \rangle \tag{4.2}
\]

\begin{align*}
V & := \text{vertices} \\
E & := \text{edges} \\
E & \subseteq V \times V \\
F & := \text{Fact expressions} \\
\Xi & := \text{Change expressions} \\
\lambda & : V \rightarrow 2^F \\
\epsilon & : E \rightarrow 2^\Xi
\end{align*}

In case of a mathematical actor story (MAS) it is further assumed that there exists a start state \(S_0\) and at least one goal state \(S^+\). Therefore we get the following definition:

\[
\text{MAS}(s) \quad \text{iff} \quad g = \langle V, E, S_0, S^+, F, \Xi, \lambda, \epsilon \rangle \tag{4.3}
\]

\begin{align*}
V & := \text{vertices} \\
E & := \text{edges} \\
E & \subseteq V \times V \\
F & := \text{Fact expressions} \\
\Xi & := \text{Change expressions} \\
\lambda & : V \rightarrow 2^F \\
\epsilon & : E \rightarrow 2^\Xi \\
S_0 & \in V; \text{Start state} \\
S^+ & \subseteq V; \text{Goal states}
\end{align*}

This is not yet a complete formal specification of the mathematical actor story but it gives you already some basic conventions how to construct a MAS. Using the before mentioned TAS we can identify a start state \(S_0\) and at least one goal state \(S^+\).
1. \( S_0 = \text{A person A stands before a closed electronic door D with a keypad K...} \)

2. \( S^+ = \text{The door is open...} \)

In the *start state* \( S_0 \) there are two actors: an *executing actor* as a person A and an *assisting actor* as an electronic door D with a keypad K. The electronic door has only two qualitative values: being *closed* or being *open*. The code C which can be entered into the keypad K by the person A can cause a CLOSED door to become OPEN.

In a more formal way one can then generate some expressions like these:

\[
S_0 = \{ \text{PERSON}(A), \text{EDOOR}(D), \text{CLOSED}(D), \text{KEYPAD}(K), \text{PARTOF}(K,D), \text{BEFORE}(A,D), \text{CODE}(C), \text{CANENTER}(A,C,K) \}
\]

The general format of a change rule for state \( S_0 \) has the following format:

- **From-to-Part:** The actual state with the possible follow-up states
- **Action-Declaration-Part:** Identify the acting actor and the other objects (actors), with which the acting actor is interacting, and label the name of the action with assumed input and output values.
- **Effect-Part:** Depending from the different output values of the action there can be different sets of effects; each set of effect defines a certain follow up state.

Applied to the above example we can define the following change rule:

- **From-to-Part:** \( S_0, \langle S_0, S_1 \rangle \)
- **Action-Declaration-Part:** \( A,K,\text{entercode}(C)[D] \)
- **Effect-Part:** IF \( D=\text{CLOSED} \) THEN \( S_0 \) ELSE \( S_1 = S_0 - \text{CLOSED}(D) \cup \text{OPEN}(D) \)

Thus the whole change rule would look like this:

\[
\Xi_1 = \langle S_0, \langle S_0, S_1 \rangle, A, K, entercode(C)[D], IF D = \text{CLOSED} THEN S_0 ELSE S_1 = S_0 - \text{CLOSED}(D) \cup \text{OPEN}(D) \rangle
\]

This reads as follows:

There is an actual state \( S_0 \) which can be changed by applying the change rule \( \Xi_1 \). This change rule can have two different outcomes depending from the output value of the change action \( \text{entercode()} \). The acting actor is the human person A which is interacting with the keypad K by doing the action \( \text{entercode()} \) with the input variable \( \{C\} \) and the output variable \( \{D\} \). If the *input variable* C matches some internal configuration of the electronic
door then the output variable D will have the value OPEN which will cause the new state $S_1$; otherwise D will have the value CLOSED and the state $S_0$ will not change.

What is important here is the fact that the computational part of the action `entercode()` will not be described in the actor story. The name `entercode()` of the action points to another location where this action is defined. This other location would be an actor model (AM), which keeps all necessary information. In this case it could be the actor model of the electronic keypad $K$ which receives as input some code $C$ of the person $A$ and reacts with opening the door.
5 Actor Model

5.1 Rewriting the Change as an Actor

LOCATION AN ACTOR WITHIN A CHANGE: To understand the handling of actors in connection with an actor story one must understand the structure of an observable change between two states.

CHANGE AS OBSERVABLE EFFECT: As described in the chapter 4 about the actor story (AS) an actor story can be understood as a directed graph whose nodes are states as sets of facts and the connecting directed edges are possible changes. A change \( X \) is described by the differences in the sets of facts between the before-state \( S.b \) and the follow-up state \( S.f \). With regard to change the following cases are possible: (i) a fact \( F \) from the before-state \( S.b \) will disappear in the follow-up state \( S.f \) represented as \( -F \) or (ii) a fact \( F \) in the follow-up state is new compared to the before-state represented as \( +F \). This set of deleted facts \( -F \) together with the newly created facts \( +F \) is called the effect of the change \( (N.e) \) with \( N.e = \{-F, +F\} \). As soon as one can identify some effect \( N.e \) one can look for a possible source \( (N.s) \) in the realm of the before-state. A source \( N.s \) is a subset of the facts of \( S.b \) which can be identified as preceding the observable effect. Having a possible source \( N.s \) then one can observe with some probability \( p.i \) that the observable fact will occur within a certain time-frame \( \Delta \) defined by two time points \( (t, t') \) (cf. figure 5.1).

Figure 5.1: The cognition of observable changes

THE COGNITION OF CHANGES: If one tries to analyze the language game associated with observable changes then one encounters some
difficulties. While an object o usually has some permanence one can talk about such an object o by pointing to this object and using names N.o. If a change happens, the previous state S.b which did change will disappear in its original format and will be replaced by a follow-up state S.f revealing something new. In everyday language we have no problem to talk about changes with appropriate names N.x similar to talking about objects, but looking closer one can detect a real difference: also we assume that the new follow-up state S.f can be recognized as new because he is different to the preceding state S.b, in the real world this difference is not present. If one assumes that every observer has inner states which enabling some memory with the additional capability to remember stored items and being able to compare remembered items with new, present items, then one can explain that we can talk about changes and being able to name the differences based on these cognitive representations and operations. This is depicted in the right half of the figure 5.1. The figure shows a simple model of a minimal cognitive structure with the elements (i) storing perceptions as re-callable items; (ii) being able to compare stored items with regard to possible differences; (iii) identifying possible sources for such effects together with probabilities as well as probable time frames for occurrence.

If one makes the assumption that the identified probability p is 'part of a probability space' with \( \sum(p_i) = 1 \) then one has to assume that a source N.s can be associated with different kinds of effects \( \{N.e_1, ..., N.x_k\} \) which are exclusive. This means that an actor story with an identified source N.x having different probabilities \( p_i \) can have different follow-up states \( \{S.f_1, ..., S.f_3\} \); thus the path containing the state S with the source N.s will be splitted up into different continuations.

The process of the identification of a possible source N.s for an observed effect N.x hides another cognitive property, that of pre-knowledge. To state that some facts are indeed an effect N.x and not only some kind of a difference presupposes that one is able to embed observed differences in some cognitive (=abstract) relation which relates the observed differences to some source N.x. Such a relation is a cognitive fact which belongs to what usually is called knowledge, which is assumed to be located in the inner states of an observer. Without such a knowledge there wouldn't exist relations and without relations there wouldn't it be possible to identify a source for some differences turning the differences into a possible effect. Thus the detection of something as being a possible source for an observed effect is completely depending from a presupposed knowledge. Science has many examples for detections of differences as effects of some presupposed sources.¹

**MULITPLE SOURCES:** If there exists only one source N.s then possible different effects N.x are exclusive; only one of the possible effects can happen at the same time. Nevertheless the whole actor story AS has to be splitted up from that state onward which shows these alternatives. But there can be more than one source in one state \( \{N.s_1, ..., N.s_l\} \) and every source N.s can have its own special effects N.e. While for each single source N.s there can only one of many effects happen at the same time but if for each source N.s one effect N.e happens then these different effects are simultaneous! And because a real situation does not split up into

¹ One of many examples in science: Only in 1964 it happened that two American radio astronomers detected signals in their data (= the differences, which can become effects) which they discussed with their colleagues and then came to the conclusion (= because of presupposed knowledge about possible relations) to interpret the signals as the cosmic microwave background (CMB, CMBR) (= the differences became effects within a relation), which could be a remnant from an early stage of the universe (= the possible source of the effect), also known as relic radiation. This interpretation presupposed as knowledge a complex physical theory about the development of the universe (cf. PenziasWilson:1965).
alternatives all these effects have to be unified in one follow-up state S.f.

This induces the question how one can unify more than one effect in one follow-up state S.f?

One possible direction for an answer is the meaning dimension of the used expressions. Every source N.s is an expression classified as a fact. In the standard situation the AAI expert has in his cognitive space an encoding schema translating a fact-expression F into some intended matter which realizes the possible meaning of the expression. But there is a difference: the intended meaning in the cognitive space M.cog(F) and the meaning in the real world M.real(F). There are three basic cases: (i) M.real(F) matches the intended meaning M.cog(F) (then the expression is called true, indicated often as ’1’); (ii) M.real(F) contradicts the intended meaning M.cog(F) directly (then the expression is called false, indicated often as ’0’); (iii) The relation between the intended meaning M.cog(F) to the real world is unclear, because there is no matter, which seems to correspond to M.real(F). Then the status of the expressions F in the real world is undefined.

Within these basic cases of being true, false or undefined there are some more detailed cases possible. In the real world one has identified some basic laws, which define some constraints for the matching of expressions to matter. Here some basic cases:

1. No two different objects can occupy the same space at the same time.
2. An object x can not have at the same time property F as well as F
3. An object x can not stay at the same time in a relation R to some other object y and not R
4. An object x can not have for a property F within a defined interval +/- ϵ the value v and not.

From this follows that the facts which are part of an effect N.e of some source N.s have to be clarified with regard to these truth conditions of
the presupposed real world. If one assumes that between effects \( N.e_i \) and \( N.e_j \) is always a minimal time delay such that the one effect is earlier then the other effect then the realization of the earlier effect comes first. Nevertheless it has to be defined what happens if one effect touches another effect some time later. In many real world situations the hitting of one object by another is not only possible but often intended (some kinds of sports, accidents, battle situations in war, etc.).

**VIRTUAL WORLDS:** In the preceding section only the case of a real world and of the cognitive space of an expert living in the real word is assumed. In science, education, engineering, and different kinds of training parts of the real world are substituted by a model world which mimics important aspects of the real world or plays with a fantasy world to explore new dimensions. In these cases the meaning of the real world \( M_{\text{real}} \) has to be substituted by a constructed artificial meaning relation \( M_{\text{virtual}} \).

**SOURCE AS AN ACTOR:** An important case of a special format of a source is a source structured as an input-output system representing an actor (A). An actor includes a behavior function \( \phi \) which defines the output \( (O) \) as response to the input \( (I) \) with some sensitivity for the internal states \( (IS) \), which can change, written as \( \phi : I \times IS \rightarrow IS \times O \). Depending from these basic assumptions about an actor one has to
require that a source \( N.s \) which shall be recognized as an actor must consist of a subset of the facts \( F_{S.b} \) of the state-before \( S.b \), which can be divided into three further subsets: (i) there is a subset representing an input-output system assumed to be the actor as an object; (ii) there is another subset of facts which are presupposed as an input to the actor; (iii) there is a further subset of facts related to those facts, which can become changed by the actor as the actors output. The actors output then will be assumed to trigger the observable effect.

As it is known from the real world with the biological systems the same part of the environment – a set of facts as possible input – can be perceived in a different way by different kinds of biological actors. The same holds for different kinds of robots. This repeats for the output of a system which can have different effects for the environment.

To take this individual conditions into account it will here be assumed that for every actor there exists an individual input sensor function \( \sigma \) mapping the subset of facts representing the possible input \( I_{RW} \) into the perceived input \( I_A \) of the perceiving actor, written as \( \sigma_A : I_{RW} \rightarrow I_A \). Similarly there exists a typical output function \( \rho \) which translates the individual output of an actor \( O_A \) into a corresponding set of output facts \( O_{RW} \), written as \( \rho_{RW} : O_A \rightarrow O_{RW} \). Examples from the real world are the way how the same movement of a body will cause completely different effects depending whether the movement has been done in the planetary space, in the air on the surface of the earth or under water.

**MULTIPLE ACTORS:** As in the case of a change with a general source it is possible that there occurs more than one actor in a state. Similarly to the source case do different actors as part of a source create different possibilities of effects which have to be handled simultaneously. And as in the general case of a source the different effects of the different actors have to become unified in one follow-up state \( S.f \).

### 5.2 How to Apply Changes?

After the introduction of the general concept of a source as part of a change and then of the special case of a source which has the format of an actor let us have a look how to apply these concepts.

1. To generate a follow-up state \( S.f \) for a before-state \( S.b \) we have to identify at least a source \( N.s \) and a possible effect \( N.e \) with probability \( p \) and an associated time-frame \( (t,t') \). For this we could write as a change-rule \( N.x \):
   \[
   \langle S.b, S.f, N.s, p, (t,t'), N.e \rangle
   \]

2. If there are multiple effects \( \{ N.e_1, ..., N.e_k \} \) associated with one source \( N.s \) (obeying the constraint \( \sum (p_i) = 1 \)) then the actor story has to be splitted after the before-state \( S.b \). Thus one has to write down multiple change-rules \( \{ N.x_1, ..., N.x_m \} \).

3. If there are multiple sources \( \{ N.s_1, ..., N.s_k \} \) in one before-state \( S.b \) then it can happen that each source triggers an effect \( \{ N.e_1, ..., N.e_k \} \) and then all these effects have to be unified in the one follow-up state.
S.f. In this case the change rule N.x constitutes a whole set of rules like 
\{(S.b, S.f, N.s_1, p, (t, t'), N.e), ..., (S.b, S.f, N.s_k, p, (t, t'), N.e)\} with 
different kinds of probabilities, time-frames, and effects for each source 
N.s_i. A shortened version would read as \(\langle S.b, S.f, \langle N.s_1, p, (t, t'), N.e \rangle, ..., \langle N.s_k, p, (t, t'), N.e \rangle \rangle\)

4. Using the special case of a source as an actor then one has to specify 
additional subsets in the following way: the before-state S.b, the follow-
op state S.f, the source as the input-set I, and the actor-object A, a 
probability p with a time-frame, a translator function \(\rho\) of the environment 
to translate the actor output O into the effect N.e, which can be written: 
\(\langle S.b, S.f, \langle I, A \rangle, p, (t, t'), \rho(O) = N.e \rangle\).

5. If an actor has more than one possible output it has to be handled as the 
case of a source with multiple different effects, i.e. the one before-state 
S.b has several follow-up states each with another change-rule N.x of the 
format \(\langle S.b, S.f, \langle I, A \rangle, p, (t, t'), \rho(O) = N.e \rangle\).

6. Finally, if there exists more than one actor then there exists only one 
follow-up state S.f – as in the case of multiple sources – but there is a 
whole set of change rules whose effects have to be unified.

5.3 Actor as a Learning System

**ACTOR AS A LEARNING SYSTEM:** In the context of an actor story it is 
assumed that every actor is principally a learning system (LS) with inputs, 
outputs, internal states as well as a learning function. This induces that 
an actor can be represented as a change-rule whose actions can cause a 
state-change depending from the input of the actor in an actual state.

**ACTOR AS ACTOR MODEL:** If one wants to describe the details of the 
learning function of an actor including the details of the main sets \{I, O, 
IS\} one has to construct an actor model (AM) outside the main actor story. 
While the actor story is looking to the actors from the outside describing how 
they behave, how they act in a situation\(^2\), an actor model (AM) is looking to 
an actor from inside, from the internal states and processes\(^3\)

\(^2\) This is called the 3rd person view by philosophers
\(^3\) This is called 1st person view from philosophers
6

Testing An AS

If an actor story AS has been constructed one has to check the cognitive plausibility of the actor story as well as the usability of the intended assistive actors (aAs) by the intended users.

The cognitive plausibility is located in the relationship between the knowledge of the stakeholder and the possible experience when testing the actor story in a simulation. If the real experience within a simulation differs from the given experience in the brains of the stakeholders than the cognitive plausibility of the actor story is low, eventually too low.

The usability of the intended assistive actors (aAs) is located in the relationship between the intended executive actors (eA) and a preliminary mock-up of the intended assistive actors (aA). While the intended executive actor tries to realize a process which is in agreement with the actor story it has to be empirically measured (i) to which degree the intended executive actors are able to realize the actor story with this mock-up and (ii) it should be subjectively measured to which degree the intended executive actor is satisfied with this process in an emotional dimension.

SIMULATION: Having an actor story AS and an assisting simulator software σ one can realize a simulation, either (i) purely passive without interactions or (ii) with interactions. In the case of an interactive simulation real actors can interact with the simulation and thereby influence the course of the simulation. A simulation enables a shared experience with a common understanding in all participants of the simulation. The simulation experience can be compared with the available real-world experience of the participants and this allows a special kind of a cognitive test revealing those aspects of the simulation which differ from the known reality. These experienced differences can shed some light on either deficiencies of the simulation or deficiencies of the real world situation.

The introduction of actor models (AMs) simultaneously to an actor story (AS) does not change the concept of a simulation. Actor models occur in the format of a change-rule which in turn is connected to an algorithm which defines its computations.

GAMING: If one extends an interactive simulation with the definition of explicit win-lose states then one can turn a simulation into a game with real actors which can compete and where some of the participant can become winners. Compared to simulations with their somehow infinite possibilities
identifies a game in advance some special states of interest which narrows the scope of the analysis. This helps to focus the test of the process to these special states of interest and enables a much faster clarification of research questions. In this sense is gaming the more efficient way of learning by simulation.

**VERIFICATION OF NFRs; ORACLE:** If one has defined some NFRs (non-functional requirements) for the actor story then one can after the completion of an actor story including simulation verify whether the NFRs are true in the actor story with regard to the assumed environment or not. A special case of the verification of NFRs is the oracle function. Because the verification of NFRs is done in the manner of an automated prove with regard to the existence or non-existence of some defined property (associated with a NFR), one can use this mechanism also for to check whether a special state of interest will occur or not occur within a defined time window of all possible simulations. Such a mechanism can be of great help for the analysis of the possible future of a process, especially without having the need to do all the possible (interactive) simulations which is practically impossible on account of the needed time. But because such an oracle-process can only work with the given change-rules as if these will not change and without the non-deterministic behavior of real executive actors the oracle-results have to be used with caution.

**NEED FOR MOCK-UPS:** Until that point there exist only symbolic descriptions about possible real states. To turn the symbolic descriptions into a real working system one has to implement these descriptions into a real system. But such a full implementation is not the job of the AAI analysis. The AAI analysis only examines possible states and possible behavior profiles and checks with the aid of mock-ups whether these ideas will work sufficiently well. Mock-ups are physical systems which show all the main physical properties of the intended system without being a full implementation of this system.

**USABILITY TESTING:** Usability reveals something about the way how good the interaction of the intended executive actors with the intended assistive actor works within the whole actor story. Some of the questions which shall be answered by an usability test are: Is it too difficult for the executing actor to learn the needed behavior? Does the executing actor need too much time? Do continuously occur too many errors? To answer these and similar questions one has to prepare a test scenario which allows a real executing actor to behave according to the actor story by using the intended assistive actor realized as a mock-up. This test has to be managed by a test coordinator assisted by some observing persons or/and recording devices to produce a protocol of the events during the test. The protocols have then to be converted into test data which can be used for analytical purposes.

A special point in the AAI usability testing is that within the AAI framework it is generally assumed that the executive actors are by default learning systems (which holds for all biological systems). This means that the executive
actors eA all have an individual behavior function \( \phi \). This induces within a testing procedure the possible effects that the behavior of a executing actor can change from test to test.\(^1\) To restrict the usability test therefore to only one test run is highly dangerous. It is recommended to repeat an usability test at least three times. What number \( n \) has to be assumed to be the optimal number is still an unanswered question.

\(^1\) Which is indeed the normal case. Therefore you can find in all reports about learning experiments always so-called learning curves representing these changes along a time line.
Part II

Application


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