

# Advanced RAG Systems

Week 7: Self-RAG, CRAG, and Agentic Retrieval

PhD Course in Agentic Artificial Intelligence

12-Week Research-Level Course

## Bloom's Taxonomy Levels Covered

- **Remember:** Define Self-RAG, CRAG, critique tokens, relevance scoring
- **Understand:** Explain how self-reflection improves retrieval quality
- **Apply:** Implement a Self-RAG system with critique generation
- **Analyze:** Compare retrieval strategies across different domains
- **Evaluate:** Assess when to use adaptive vs. fixed retrieval
- **Create:** Design a custom agentic RAG pipeline

---

By end of lecture, you will understand how agents make retrieval decisions.

## Fixed Retrieval Problems

- Always retrieves, even when not needed
- No quality check on retrieved documents
- Cannot correct retrieval errors

## Common Failure Modes

- **Over-retrieval:** Adds noise for simple queries
- **Under-retrieval:** Misses relevant documents
- **Irrelevant context:** Retrieved docs don't match query intent
- **Conflicting sources:** No resolution strategy

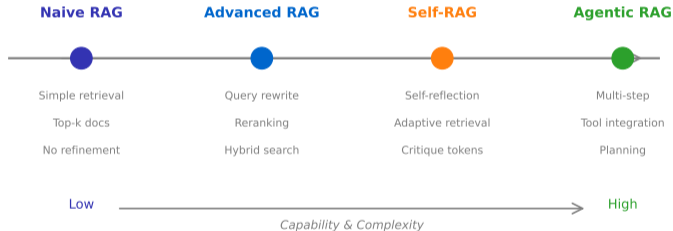
## The Solution

- Make retrieval adaptive and self-correcting

---

Advanced RAG adds decision-making to the retrieval process.

## Evolution of RAG Systems



Each generation adds more intelligence to the retrieval process.

## Core Innovation (Asai et al., 2023)

- LLM learns when and what to retrieve through special tokens
- Generates critique tokens to evaluate retrieval quality
- Adaptive: retrieves only when beneficial

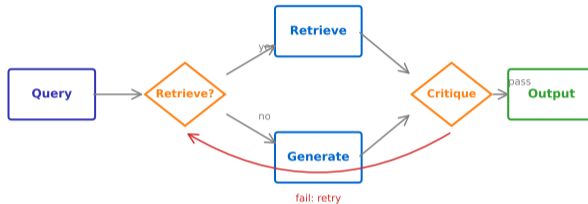
## Critique Tokens

- [Retrieve]: yes/no – should we retrieve?
- [IsRel]: relevant/irrelevant – is document relevant?
- [IsSup]: supported/contradicted – does doc support answer?
- [IsUse]: useful/not useful – is final output useful?

---

Self-RAG is trained to generate these tokens alongside normal output.

## Self-RAG: Adaptive Retrieval



Critique Tokens:

[Retrieve], [IsRel], [IsSup], [IsUse]

The model decides at each step whether to retrieve, generate, or retry.

## Core Innovation (Yan et al., 2024)

- Evaluate retrieval quality with confidence scores
- Take corrective actions based on evaluation
- Use web search as fallback for low-confidence retrieval

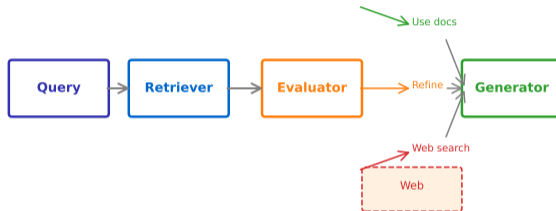
## Three-Way Decision

- **Correct** ( $> 0.7$ ): Use retrieved documents directly
- **Ambiguous** ( $0.3-0.7$ ): Refine query and re-retrieve
- **Incorrect** ( $< 0.3$ ): Fall back to web search

---

CRAG adds a lightweight evaluator to trigger corrective actions.

## CRAG: Corrective RAG Architecture



### Confidence Scores:

Correct > 0.7 | Ambiguous 0.3-0.7 | Incorrect < 0.3

The evaluator routes to different actions based on confidence.

## Beyond Single-Step Retrieval

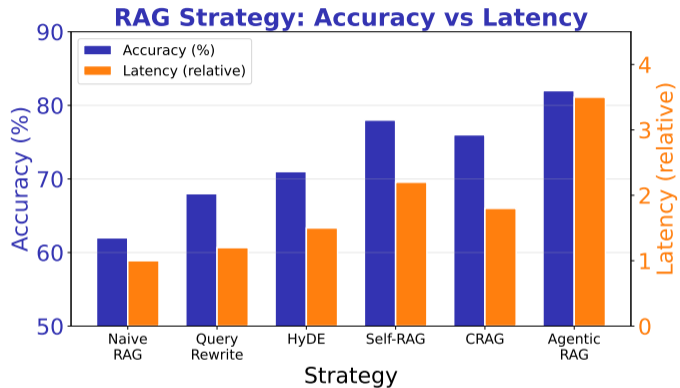
- Agent decides retrieval strategy dynamically
- Multi-step: search, summarize, verify, refine
- Tool integration: calculators, APIs, databases

## Key Capabilities

- **Query decomposition:** Break complex queries into sub-queries
- **Source triangulation:** Cross-reference multiple sources
- **Iterative refinement:** Multiple retrieval rounds
- **Citation generation:** Track provenance

---

Agentic RAG = RAG + Planning + Tool Use



Higher accuracy comes with increased latency – choose based on use case.

## Query Enhancement

- Query rewriting with LLM
- HyDE: Hypothetical Document Embeddings
- Multi-query: Generate query variations

## Retrieval Enhancement

- Hybrid search: Dense + sparse retrieval
- Reranking: Cross-encoder scoring
- Maximal Marginal Relevance (MMR)

## Generation Enhancement

- Citation injection
- Answer verification
- Confidence calibration

---

Combine patterns based on accuracy/latency requirements.

## **Recursive Abstractive Processing (Sarathi et al., 2024)**

- Build hierarchical document tree through summarization
- Cluster documents, summarize clusters, repeat
- Retrieve from multiple abstraction levels

## **Key Benefits**

- Captures both detail and high-level themes
- Handles long documents naturally
- Provides multi-granularity context

## **Use Cases**

- Long document QA
- Multi-document synthesis
- Thematic analysis

---

**RAPTOR trades indexing cost for better retrieval on complex queries.**

## This Week

- Asai et al. (2023). “Self-RAG: Learning to Retrieve, Generate, and Critique.” arXiv:2310.11511
- Yan et al. (2024). “Corrective Retrieval Augmented Generation.” arXiv:2401.15884

## Supplementary

- Gao et al. (2024). “Retrieval-Augmented Generation for Large Language Models: A Survey.” arXiv:2312.10997
- Sarthi et al. (2024). “RAPTOR: Recursive Abstractive Processing for Tree-Organized Retrieval.” arXiv:2401.18059

---

Start with Self-RAG – it introduces the core concepts of adaptive retrieval.

# Summary and Key Takeaways

## Key Concepts

- **Self-RAG**: LLM decides when to retrieve with critique tokens
- **CRAG**: Corrective actions based on confidence scores
- **Agentic RAG**: Full agent loop for complex retrieval

## Design Principles

- Make retrieval adaptive, not fixed
- Add evaluation/critique steps
- Enable corrective actions

## Next Week

- GraphRAG and Knowledge Integration

---

Advanced RAG = Adaptive Retrieval + Self-Correction + Quality Critique