

Technical Admission Report

PhD InfoSec Lab Admission Test

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Chapter 1

Task 1: Computer Vision (Image Task)

This chapter described about the Image Task from the Admission Test. The Image Task was divided into two sections, Object Detection and Image Classification. The object detection was used to detect the available vehicle in the image, while the image classification was used to classify the detected vehicle into different types of vehicle.

1.1 Object Detection

1.1.1 Dataset Creation

To accomplish the object detection task effectively given the time constraints, I employed a semi-automated data pipeline. This pipeline consisted of two main stages: automated video acquisition and zero-shot auto-labelling using a foundational model (Teacher-Student approach).

Video Acquisition

The initial dataset was sourced from public CCTV footage available on YouTube to simulate real-world surveillance scenarios. I developed a custom Python script, `download_youtube.py` ([task1_image_retrieval/scripts/download_youtube.py](#)), which utilizes the `yt-dlp` library. This script ensures high-quality data ingestion by prioritizing video streams with a resolution of 1080p or lower, encoded in H.264 (`avc1`) within an MP4 container. This specific format selection ensures maximum compatibility with subsequent processing tools (OpenCV) without distinct quality loss.

The extracted videos are stored in the `task1_image_retrieval/data/videos` directory. The acquisition process resulted in a collection of 71 video clips, sourced from various CCTV livestreams, serving as a diverse raw data foundation.

Automated Annotation (Teacher-Student Method)

Labeling object detection datasets manually is labor-intensive. To accelerate this, I implemented an auto-annotation pipeline, `video_to_yolo.py` ([task1_image_retrieval/scripts/video_to_yolo.py](#)), leveraging **GroundingDINO** (SwinT-OGC backbone) as a “Teacher” model. GroundingDINO is an open-set object detector capable of detecting arbitrary objects based on text prompts.

The pipeline processes the downloaded videos with the following logic:

- **Frame Sampling:** To minimize data redundancy, frames are extracted at a fixed frequency (defaulting to every 15 frames).
- **Zero-Shot Detection:** Each sampled frame is passed to GroundingDINO with the text prompt “vehicle”. The model predicts bounding boxes which are then filtered using a confidence threshold (0.35) and text threshold (0.25) to reduce false positives.
- **Standardization:** Valid detections are formatted as YOLO entries (`class_id`, x_c , y_c , w , h) with normalized coordinates. For this specific task, all detected vehicles were mapped to a single class ID (0).
- **Data Splitting:** The pipeline automatically segregates the data into training (80%) and validation (20%) sets randomly during generation to ensure a balanced distribution of scenes.

This approach allowed for the rapid creation of a dataset without manual human effort, enabling the “Student” models (YOLOv10 and RT-DETR) to learn from the high-quality pseudo-labels generated by the heavy Teacher model. The final dataset consists of 711 labeled images, saved in the `task1_image_retrieval/dataset/yolo_vehicles` directory. Figure 1.1 visualizes a batch of training images with their corresponding annotations, illustrating the variety of vehicle types and camera angles captured.

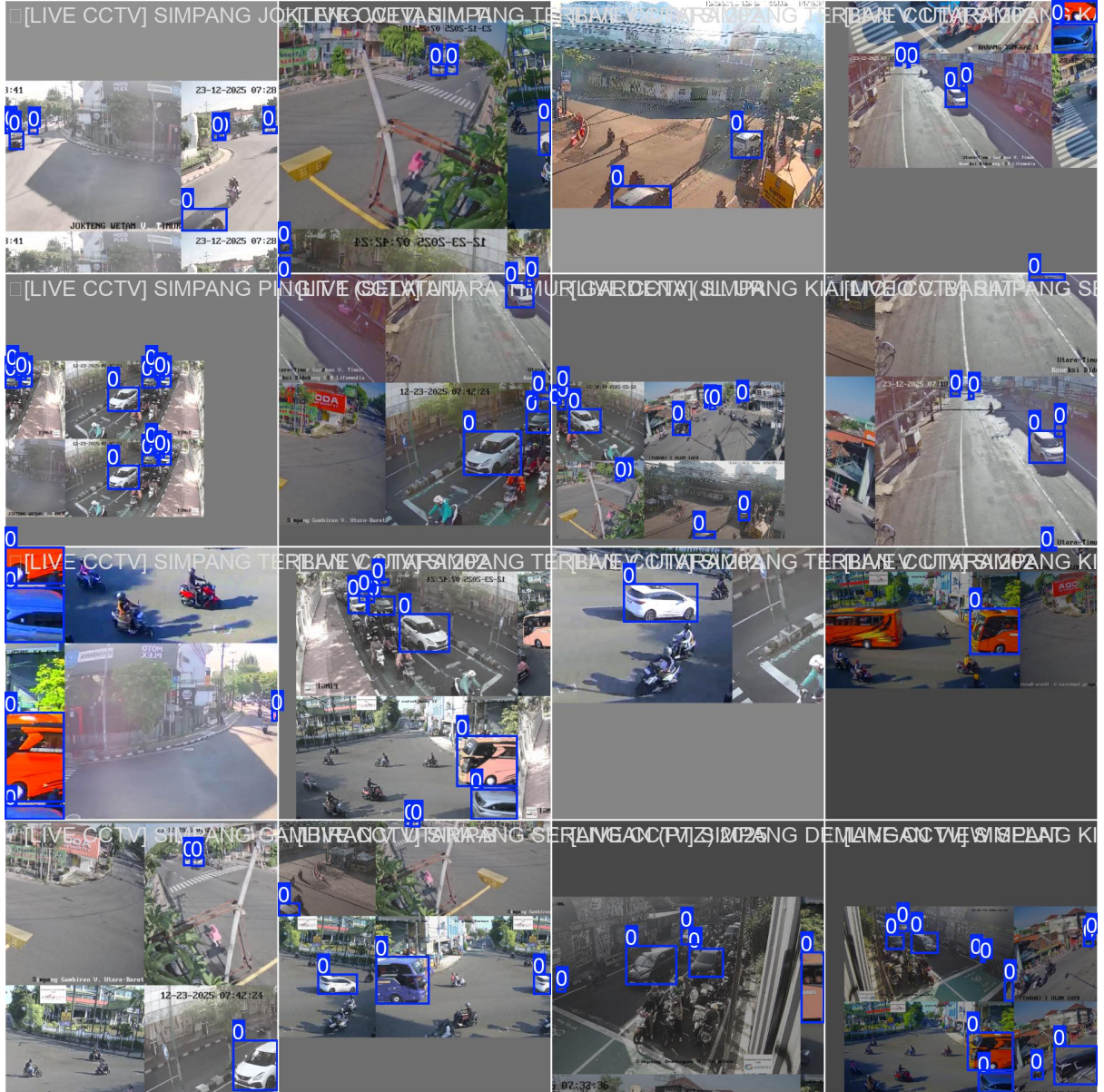


Figure 1.1: Samples of the Automatically Annotated Dataset (Mosaic View)

1.1.2 Model Selection

In this phase, experiments were conducted to select the most suitable object detection model for the vehicle detection task. I evaluated two state-of-the-art architectures: YOLOv10 from the YOLO series and RT-DETR, specifically focusing on their large (l) variants: YOLOv10-l and RT-DETR-l. The selection of these models was driven by the need to balance real-time inference speed with high detection accuracy, particularly for potential deployment in surveillance scenarios.

YOLOv10

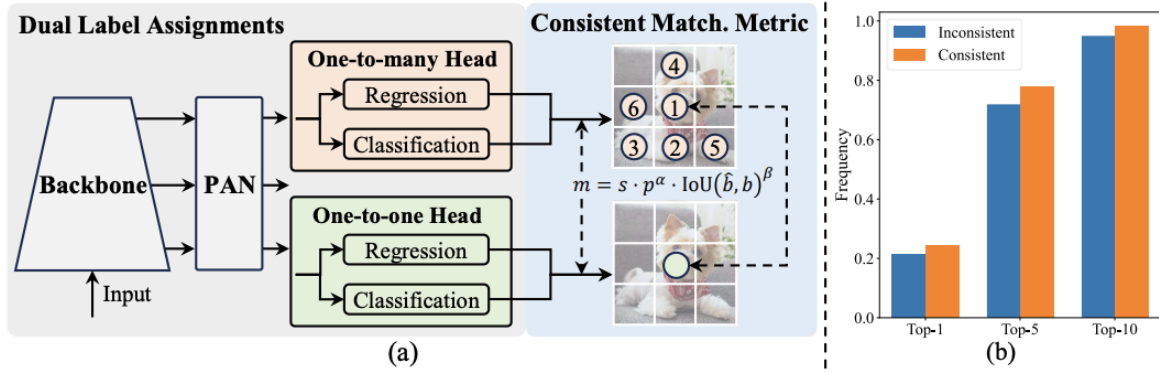


Figure 1.2: YOLOv10 Architecture

YOLOv10 represents one of the latest evolutions in the YOLO (You Only Look Once) series. As illustrated in Figure 1.2, the architecture is composed of a backbone for feature extraction, a neck for feature aggregation, and a head for making predictions. A key innovation in YOLOv10 is the introduction of NMS-free training, which uses a consistent dual assignment strategy (one-to-many for rich supervision and one-to-one for efficient inference). This design eliminates the need for Non-Maximum Suppression (NMS) during inference, significantly reducing latency and inference overhead. For this task, I specifically utilized the Large (l) variant (YOLOv10-l) to leverage its deeper network structure for capturing intricate vehicle features.

RT-DETR

Real-Time DETection TRansformer (RT-DETR) is designed to bridge the gap between the speed of CNN-based detectors and the superior accuracy of Transformer-based architectures.

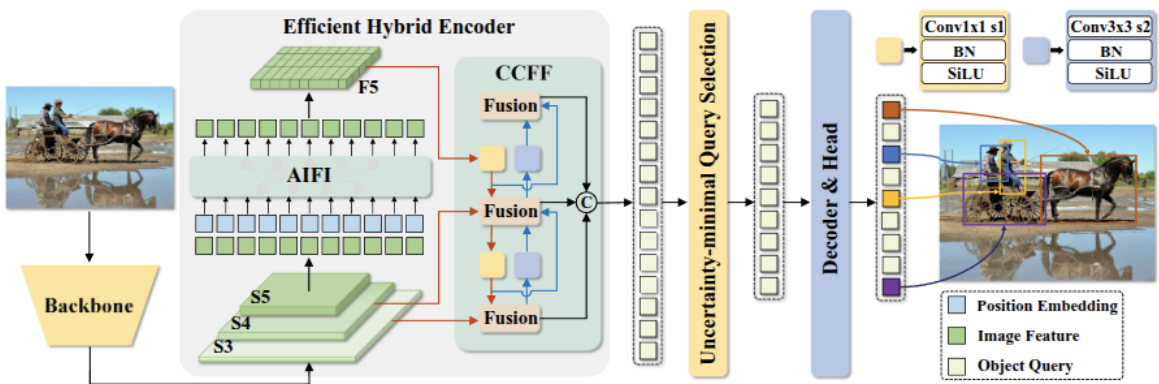


Figure 1.3: RT-DETR Architecture

Figure 1.3 depicts the RT-DETR architecture, which features an efficient hybrid encoder and a Transformer decoder. Unlike traditional DETR models that suffer from high computational costs, RT-DETR's hybrid encoder decouples multi-scale feature interaction, allowing for real-time processing speeds. The Transformer decoder utilizes object queries to attend to relevant features across the entire image, excelling in handling global context and complex occlusions common in traffic surveillance. I selected the RT-DETR-l model to ensure high precision in high-density scenes while maintaining acceptable inference speeds.

The performance comparison of these two large-scale models serves as the basis for the final deployment choice, prioritizing a trade-off that favors the highest possible accuracy within my system's latency requirements.

1.1.3 Training & Evaluation

The training and evaluation of the object detection models were conducted using the custom script `train_detection.py` ([task1_image_retrieval/scripts/train_detection.py](#)). To ensure reproducibility and consistent tracking of experiments, all metrics were logged and visualized using [Wanddb](#).

The training configuration was standardized across both YOLOv10-l and RT-DETR-l experiments to ensure a fair comparison:

- **Epochs:** 100
- **Image Size:** 640×640 pixels
- **Batch Size:** 16
- **Pretrained Weights:** Models were initialized with official pretrained weights to leverage transfer learning.

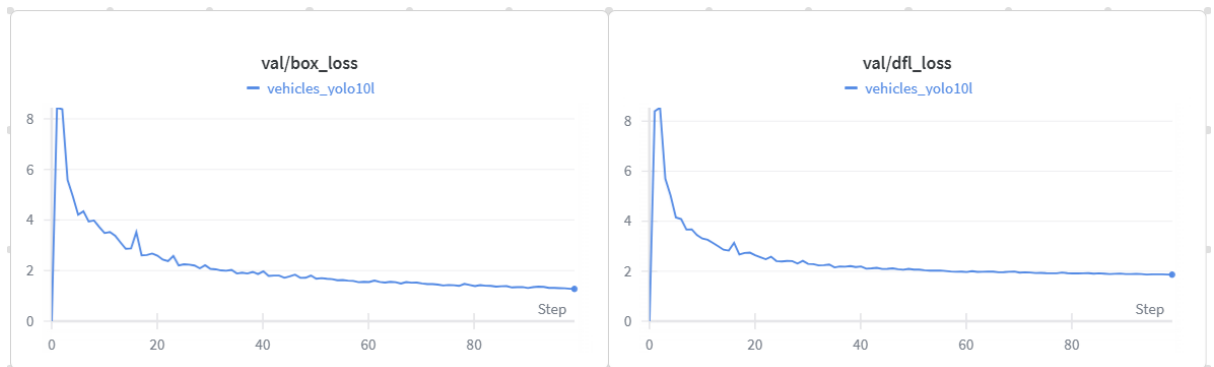


Figure 1.4: YOLOv10 Training Loss

Figures 1.4 and 1.5 illustrate the training loss curves for YOLOv10 and RT-DETR, respectively. Both models have different loss function strategies, so the loss curves are different. Even though the loss curves are different, both models demonstrate stable convergence, with loss values decreasing steadily over the 100 epochs, indicating effective learning of the vehicle features.

The YOLOv10 used Box Loss (Complete Intersection over Union (CIoU)) and Distribution Focal Loss (DFL).

Box Loss (CIoU Loss)

In modern YOLO, the box loss is usually calculated using CIoU (Complete Intersection over Union). Unlike standard IoU, CIoU accounts for overlapping area, distance between center points, and aspect ratio consistency. The equation of the CIoU is shown in Equation (1.1).

$$\mathcal{L}_{box} = 1 - IoU + \frac{\rho^2(\mathbf{b}, \mathbf{b}^{gt})}{c^2} + \alpha v \quad (1.1)$$

where:

- IoU : Intersection over Union.
- $\rho^2(\mathbf{b}, \mathbf{b}^{gt})$: Squared Euclidean distance between the center points of the predicted and ground truth boxes.
- c : Diagonal length of the smallest enclosing box covering both boxes.
- α and v : Parameters handling aspect ratio consistency.

Distribution Focal Loss (DFL)

Distribution Focal Loss (DFL) is used to refine the localization of box boundaries. Instead of predicting a single number for a box edge, the network predicts a probability distribution around the value to handle ambiguity. The equation of the DFL is shown in Equation (1.2).

$$\mathcal{L}_{DFL}(S_i, S_{i+1}) = -((y_{i+1} - y) \log(S_i) + (y - y_i) \log(S_{i+1})) \quad (1.2)$$

where:

- y : The continuous ground truth value for the distance to an edge.
- y_i and y_{i+1} : The nearest integer values surrounding y (floor and ceiling).
- S_i and S_{i+1} : The predicted probabilities (softmax output) for those nearest integers.

While YOLOv10 rely on CIoU and DFL, RT-DETR uses L1 Loss and GIoU Loss.

L1 Loss

RT-DETR uses the L1 loss (Mean Absolute Error) to regress the normalized center coordinates and size of the bounding box directly. It measures the absolute difference between the predicted and ground truth values. The equation of the L1 loss is shown in Equation (1.3).

$$\mathcal{L}_{L1}(\mathbf{b}, \mathbf{b}^{gt}) = \sum_{i \in \{x, y, w, h\}} |b_i - b_i^{gt}| \quad (1.3)$$

where:

- \mathbf{b} : The predicted bounding box vector $[c_x, c_y, w, h]$.
- \mathbf{b}^{gt} : The ground truth bounding box vector $[c_x, c_y, w, h]$.
- x, y : The normalized center coordinates of the box.
- w, h : The normalized width and height of the box.

GIoU Loss

While L1 loss handles coordinates well, it is not scale-invariant (errors in large boxes are penalized differently than small boxes). GIoU solves this by optimizing the overlap area and handling non-overlapping cases by considering the smallest enclosing box. The equation of the GIoU loss is shown in Equation (1.4).

$$\mathcal{L}_{GIoU} = 1 - IoU + \frac{|C| - |B \cup B^{gt}|}{|C|} \quad (1.4)$$

where:

- IoU : The standard Intersection over Union $|B \cap B^{gt}|/|B \cup B^{gt}|$.
- B : The predicted bounding box.
- B^{gt} : The ground truth bounding box.
- C : The smallest bounding box that covers both B and B^{gt} .

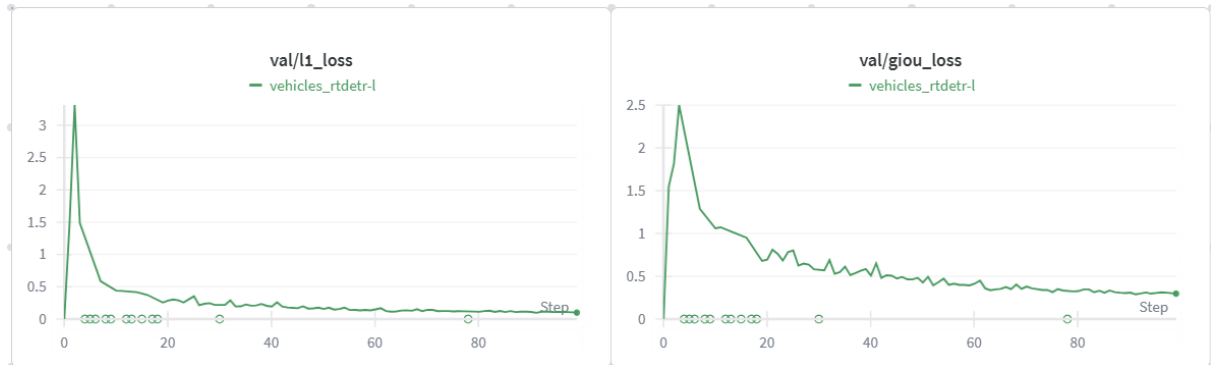


Figure 1.5: RT-DETR Training Loss

The comparative performance detailed in Figure 1.6 highlights the evolution of precision, recall, and mean Average Precision (mAP50 and mAP50–95) throughout the training process. The equations of precision, recall, and mAP are shown in Equations (1.5), (1.6), (1.8), and (1.9), respectively.

Precision measures how accurate the positive predictions are. It answers the question: "Of all the boxes the model predicted as a 'vehicle', what percentage were actually vehicles?"

$$\text{Precision} = \frac{TP}{TP + FP} \quad (1.5)$$

where:

- TP : True Positives.
- FP : False Positives.

Recall measures the model's ability to find all the objects. It answers the question: "Of all the actual vehicles in the image, what percentage did the model find?"

$$\text{Recall} = \frac{TP}{TP + FN} \quad (1.6)$$

where:

- TP : True Positives.
- FN : False Negatives.

Before calculating mAP, we calculate AP (Average Precision) for a single class. This is effectively the area under the Precision-Recall Curve ($p(r)$). Modern benchmarks (like COCO) use interpolation to calculate this.

$$AP = \int_0^1 p(r) dr \approx \frac{1}{101} \sum_{i=0}^{100} \max_{\tilde{r} \geq r_i} p(\tilde{r}) \quad (1.7)$$

mAP is the mean of the AP values calculated across all classes (e.g., car, truck, bus). The mAP₅₀ means Average Precision calculated when the Intersection over Union (IoU) threshold is set strictly to 0.50.

$$\text{mAP}_{50} = \frac{1}{N_{\text{classes}}} \sum_{c=1}^{N_{\text{classes}}} AP_{50}^{(c)} \quad (1.8)$$

Meanwhile, mAP_{50–95} averages the mAP over 10 different IoU thresholds (from 0.50 to 0.95 in steps of 0.05). This rewards models that locate objects very precisely.

$$\text{mAP}_{50-95} = \frac{\text{Average Precision}}{\text{Number of Classes}} \quad (1.9)$$



Figure 1.6: Training Metrics Comparison

Based on the comparative analysis of the training metrics, YOLOv10-Large (`vehicles_yolo10l`) demonstrates a performance advantage over RT-DETR-Large (`vehicles_rtdetr-l`) throughout the observed 100-step training duration. The most significant differentiator is the speed of convergence; the YOLO model exhibits a steep learning curve, achieving near-optimal performance much faster than the RT-DETR model which follows a slower trajectory.

In terms of detection accuracy and boundary precision, YOLOv10l maintains a consistent lead. It achieves a final mAP50 of 0.893 compared to RT-DETR’s 0.810. This superiority extends to the stricter mAP50–95 metric (0.768 vs. 0.664), suggesting that YOLO is not only detecting more vehicles but also generating tighter, more accurate bounding boxes. The recall and precision metrics reinforce this, where YOLOv10l stabilizes at high values (Precision: 0.863, Recall: 0.816), whereas RT-DETR trails with a Precision of 0.778 and Recall of 0.740, exhibiting higher variance—a characteristic often seen when Transformer-based models struggle to stabilize their attention mechanisms in the early stages of training.

The disparity in these results can likely be attributed to the fundamental architectural differences between the two models. YOLOv10, utilizing a CNN-based backbone, benefits from strong inductive biases that allow it to learn feature representations efficiently from limited epochs. Conversely, RT-DETR relies on a Transformer architecture, which lacks these inherent biases and typically requires significantly more data and training epochs to learn spatial relationships from scratch. Consequently, for this specific “vehicles” dataset and constrained training timeline, YOLOv10l is the more efficient and accurate choice.

To further analyze the model performance, we inspected the confusion matrices (Figure 1.7 and Figure 1.8). The confusion matrices confirm the high True Positive rates

for the single 'vehicle' class in both models, but with varying degrees of background confusion.

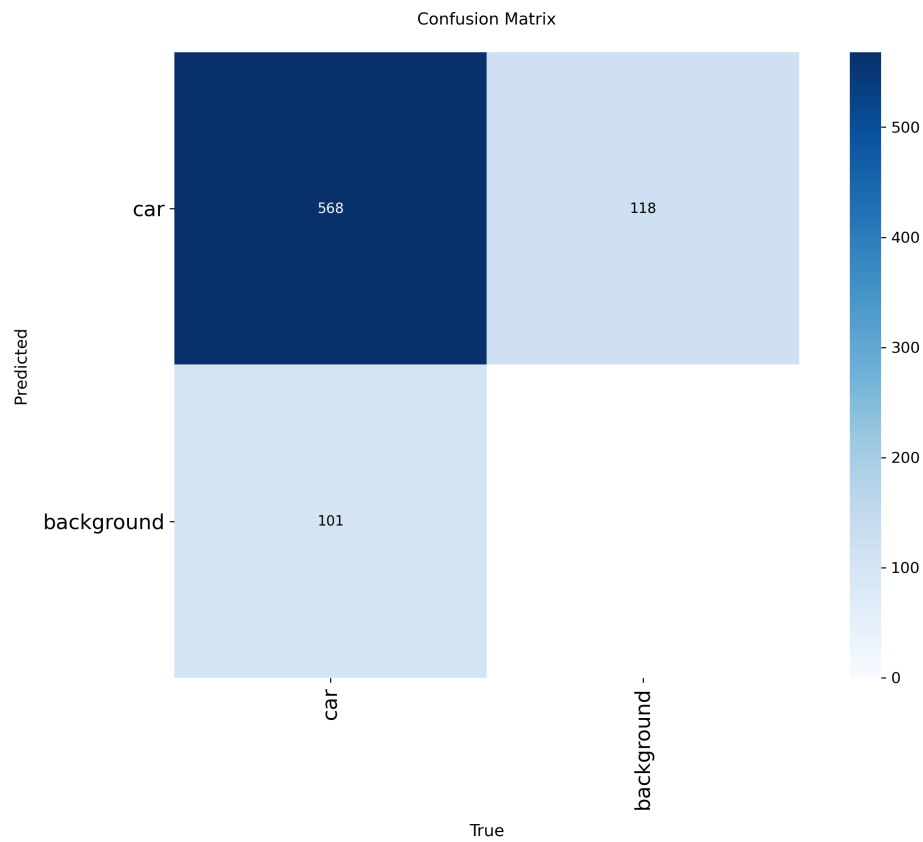


Figure 1.7: YOLOv10l Confusion Matrix

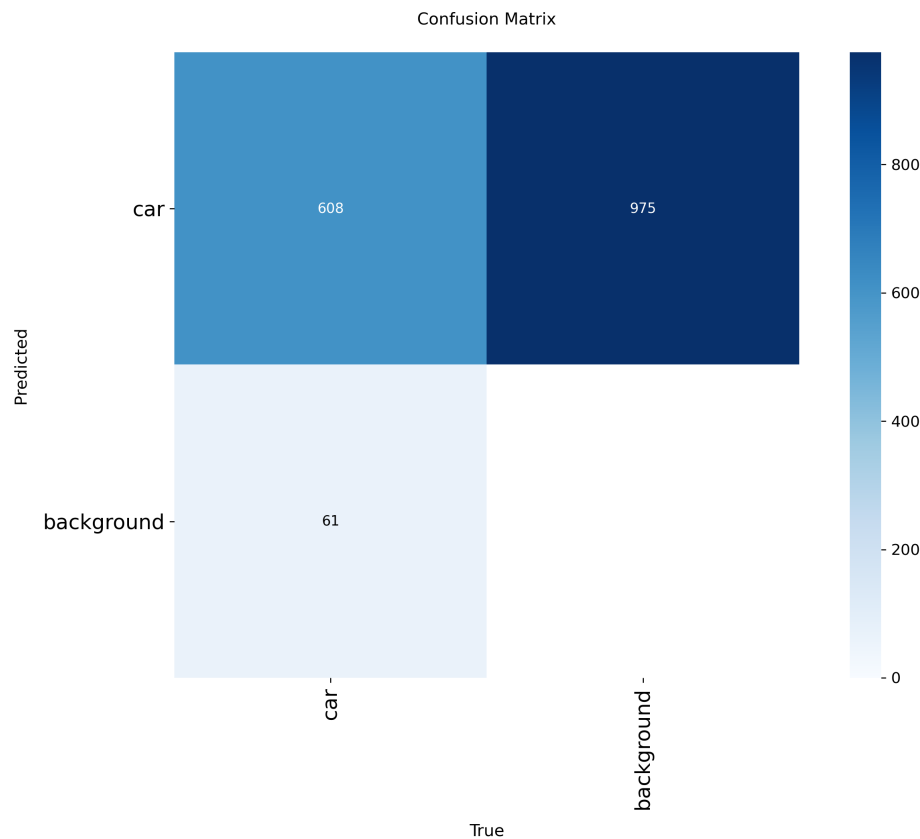


Figure 1.8: RT-DETR-l Confusion Matrix

1.2 Image Classification

1.2.1 Dataset Creation

To train a robust image classification model capable of distinguishing between specific vehicle types, I constructed a custom dataset using a two-stage pipeline: automated web scraping followed by intelligent object cropping.

Web Scraping

The first stage involved gathering a large and diverse collection of raw images from the internet. I developed a custom scraping script, `run_scraper.py` ([task1_image_retrieval/scripts/run_scraper.py](#)), which orchestrates concurrent downloads from multiple search engine backends (Google Images, Bing Images, and DuckDuckGo).

The scraper operates by iterating through a predefined list of search queries corresponding to the target vehicle classes. For each query, it:

- Dispatches asynchronous requests to the search engines to maximize throughput.
- Filters images based on minimum resolution requirements to ensure quality.

- Saves the raw images with filenames that preserve the query metadata (e.g., `Bus_bing_[timestamp].jpg`) and logs detailed metadata to `task1_image_retrieval/data/indonesian/metadata.json`, which is crucial for downstream labeling and traceability.

The scraping process resulted in a total of 191 raw images collected in the `task1_image_retrieval/data/indonesian/images` directory, covering various vehicle types: Pickups, Trucks, Buses, SUVs, and MPVs.

Object Cropping (GroundingDINO)

Raw web images often contain significant background noise or multiple objects, which can confuse a classification model. To address this, I implemented an automated cropping pipeline, `run_cropping.py` ([task1_image_retrieval/scripts/run_cropping.py](#)).

Instead of training a detector from scratch, this pipeline leverages **GroundingDINO**, a state-of-the-art open-set object detector. The process is as follows:

- **Detection:** The model scans each downloaded image using the text prompt “vehicle”. This zero-shot approach allows it to robustly identify vehicles without needing a specific trained class for every variant.
- **Filtering:** Detections are filtered using a box confidence threshold of 0.35 to remove low-confidence predictions.
- **Extraction:** The pipeline extracts the class label directly from the source filename (parsed from the scraper’s output) and associates it with the detected bounding box.
- **Cropping:** The region of interest defined by the bounding box is cropped and saved as a new image. Crops smaller than 32×32 pixels are discarded to maintain dataset quality.

This process transforms noisy internet search results into a clean, object-centric dataset where the vehicle is the primary subject. The pipeline successfully generated 274 cropped vehicle images, stored in `task1_image_retrieval/data/indonesian/cropped`, which served as the training data for the classification model. Figure 1.9 demonstrates this pipeline. Figures 1.10, 1.11, 1.12, 1.13, and 1.14 show representative examples for each vehicle class: Pickup, Truck, Bus, SUV, and MPV, respectively.

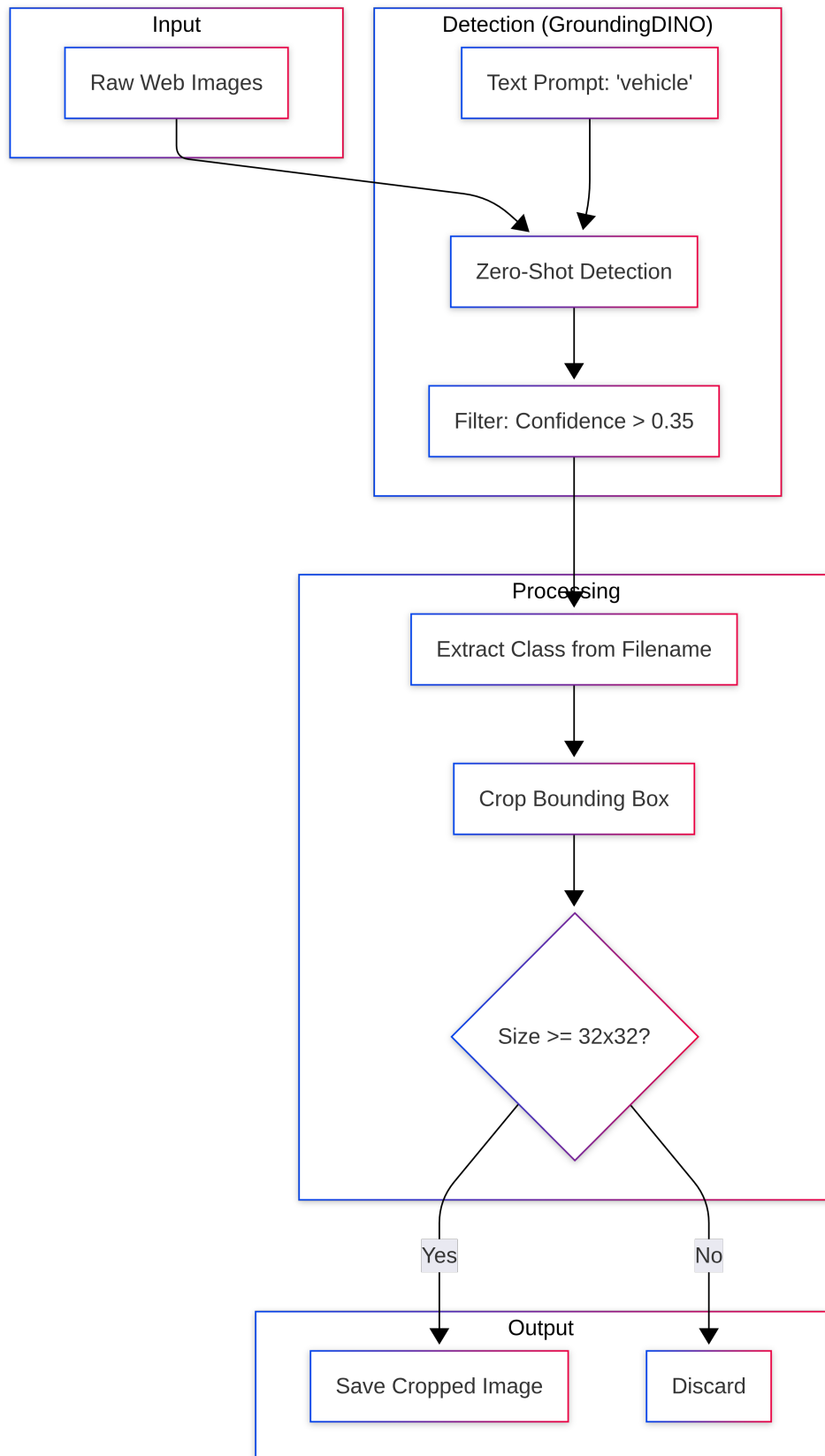


Figure 1.9: Cropping Pipeline



Figure 1.10: Pickup Example: Raw vs. Cropped



Figure 1.11: Truck Example: Raw vs. Cropped



Figure 1.12: Bus Example: Raw vs. Cropped



Figure 1.13: SUV Example: Raw vs. Cropped



Figure 1.14: MPV Example: Raw vs. Cropped

1.2.2 Model Selection

For the image classification task, I opted for a Metric Learning approach using **ArcFace** (Additive Angular Margin Loss) rather than a standard softmax classification head. Standard Cross-Entropy loss encourages separability between classes but does not enforce intra-class compactness (keeping samples of the same class close together) or maximize inter-class discrepancy (pushing different classes far apart).

Given the relatively small size of the scraped dataset (270 images), learning highly discriminative features is crucial. ArcFace addresses this by mapping features to a hypersphere and adding an additive angular margin m . The loss function is defined as:

$$L_{ArcFace} = -\frac{1}{N} \sum_{i=1}^N \log \frac{e^{s(\cos(\theta_{y_i} + m))}}{e^{s(\cos(\theta_{y_i} + m))} + \sum_{j \neq y_i} e^{s \cos \theta_j}} \quad (1.10)$$

where:

- s is the scaling factor (set to 30.0).
- m is the additive angular margin (set to 0.50).

- θ_{y_i} is the angle between the feature vector and the weight vector of the ground truth class.

I experimented with two distinct backbones to extract the feature embeddings:

1. **EfficientNet-B3**: A CNN-based architecture known for its parameter efficiency and strong performance on transfer learning tasks.
2. **Swin Transformer (Tiny)**: A Hierarchical Vision Transformer that uses shifted windows. It was selected to investigate if attention mechanisms could capture better global context for vehicle differentiation compared to CNNs.

1.2.3 Training & Evaluation

The training was implemented using PyTorch and orchestrated via a custom script `train_arcface.py`. To ensure robust performance despite the limited data, I employed aggressive data augmentation techniques using the Albumentations library.

Experimental Setup

- **Data Split**: The cropped dataset was split into Training (70%), Gallery (15%), and Test (15%) sets. The “Gallery” set acts as a validation set for prototypical networks.
- **Hyperparameters**:
 - **Epochs**: 100
 - **Batch Size**: 16
 - **Optimizer**: AdamW with a learning rate of 1×10^{-4} and weight decay of 1×10^{-4} to prevent overfitting.
 - **Scheduler**: Cosine Annealing learning rate scheduler.
- **Augmentations**: Geometric transformations (Shift, Scale, Rotate, Perspective), Color Jitter (Brightness, Contrast, Hue), and Coarse Dropout (randomly masking parts of the image) were applied to the training set to force the model to focus on structural features rather than memorizing pixels.

Evaluation Strategy

Unlike standard classification which checks if the maximum logit corresponds to the correct class, the ArcFace model was evaluated in a retrieval-based manner.

1. **Gallery Build**: The model extracts embeddings for all images in the Gallery set. Prototype embeddings are calculated by averaging the embeddings of all samples belonging to the same class.
2. **Inference**: For each image in the Test set, its embedding is compared against the stored Class Prototypes using Cosine Similarity.
3. **Prediction**: The class of the prototype with the highest similarity score is assigned as the predicted label.

This method allows the system to easily adapt to new vehicle types in the future simply by adding their embeddings to the gallery, without necessarily retraining the entire backbone (few-shot capability). The performance of both EfficientNet and Swin Transformer backbones was benchmarked based on Classification Accuracy and Inference Speed.

Results Analysis

The quantitative results of the experiments are summarized in Table 1.1. Both models achieved high accuracy ($> 90\%$) on the test set, demonstrating the effectiveness of the ArcFace loss in learning discriminative features even with limited data.

Table 1.1: Classification Model Benchmark

Model Backbone	Accuracy	Inference (ms)	Params (M)
EfficientNet-B3	91.30%	3.35	11.49
Swin-Tiny (Window 7)	90.22%	3.65	27.92

Performance Comparison: EfficientNet-B3 outperformed the Swin Transformer (Tiny) across all tracked metrics.

1. **Accuracy:** EfficientNet achieved a slightly higher accuracy of 91.30% compared to Swin's 90.22%. This suggests that for this specific dataset size, the strong inductive biases of CNNs (translation invariance, locality) were more beneficial than the global attention mechanisms of the Vision Transformer, which typically require more data to generalize effectively.
2. **Efficiency:** EfficientNet was significantly lighter (11.5M parameters vs 27.9M) and faster (3.35ms vs 3.65ms per image). This makes EfficientNet the optimal choice for deployment in resource-constrained environments like edge devices or real-time surveillance systems.

Training Dynamics: Figures 1.15 and 1.16 illustrate the training and validation loss curves for both models. Both architectures showed stable convergence, with the validation loss closely following the training loss, indicating that the regularization techniques (weight decay, augmentations) successfully prevented significant overfitting.

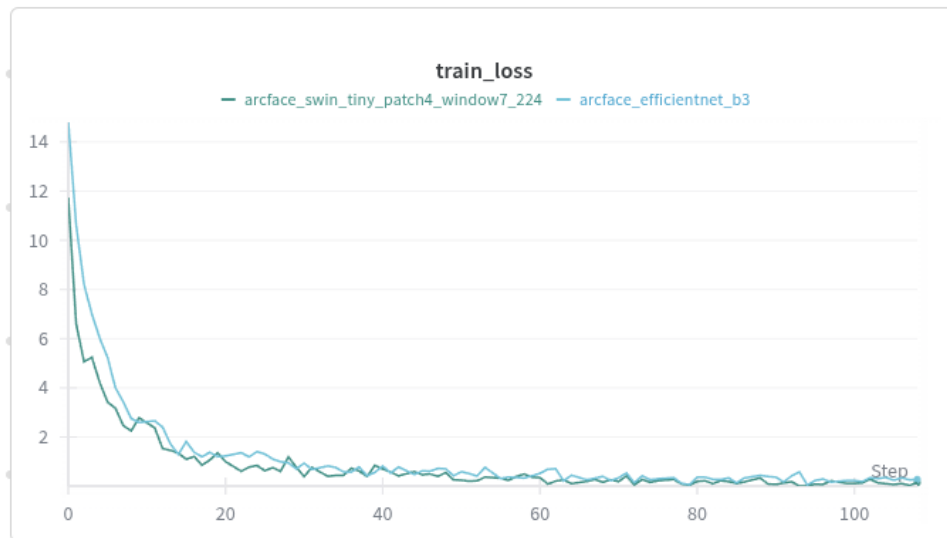


Figure 1.15: Training Loss Comparison

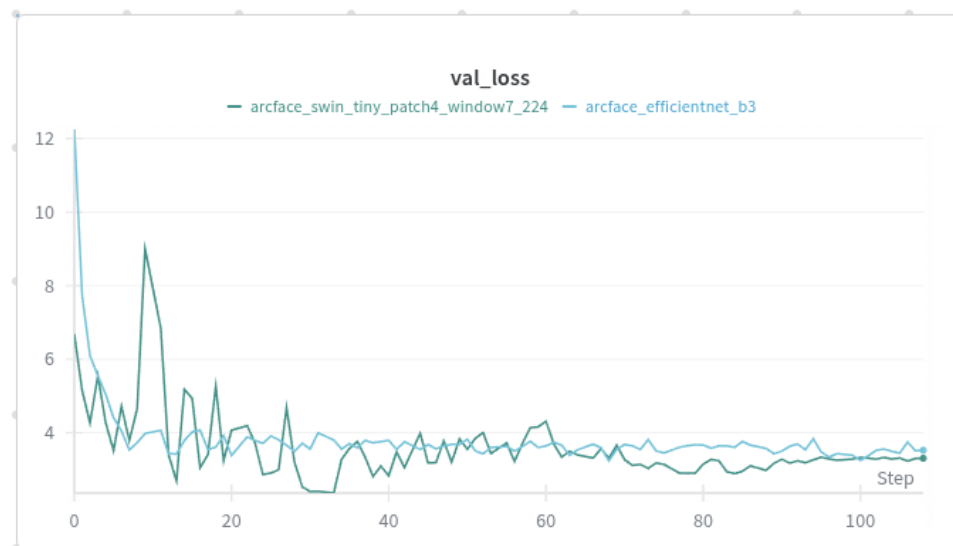


Figure 1.16: Validation Loss Comparison

The Swin Transformer (represented in teal) and EfficientNet (represented in light blue). In the training phase, both models demonstrate strong capacity, rapidly converging from an initial loss of approximately 14 to near-zero values within the first 20 steps. This indicates that both architectures are successfully minimizing the objective function and effectively fitting the training data.

However, the validation phase reveals a critical divergence in stability and generalization between the two architectures. The EfficientNet model exhibits a smooth and consistent validation loss curve, settling around a loss value of 3.5, which reflects the stability often provided by the inductive biases inherent in CNN. In contrast, the Swin Transformer displays significant volatility, characterized by sharp, erratic spikes throughout the validation process. This instability suggests that the Transformer-based model is struggling to generalize on this specific dataset or is highly sensitive to the current hyperparameters.

ters, likely requiring more extensive data or regularization techniques (such as gradient clipping) to stabilize. Furthermore, for both models, a gap persists between the near-zero training loss and the significantly higher validation loss, indicating a general tendency toward overfitting where the models are memorizing specific training identities rather than learning robust features applicable to unseen data.

Confusion Matrix Analysis: Figures 1.17 and 1.18 show the confusion matrices for the best-performing checkpoints. EfficientNet demonstrates high diagonal density, indicating robust classification across all vehicle types (Bus, MPV, Pickup, SUV, Truck). The few misclassifications are likely due to visual similarities between classes (e.g., SUVs vs MPVs) or occlusion in the source images.

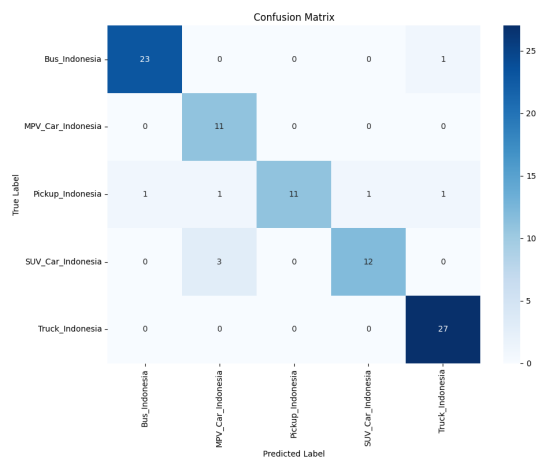


Figure 1.17: EfficientNet-B3 Confusion Matrix

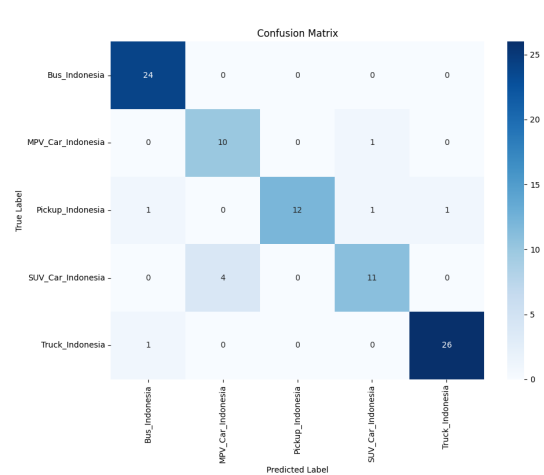


Figure 1.18: Swin-Tiny Confusion Matrix

Figure 1.19: Confusion Matrices on Test Set

In conclusion, based on the superior accuracy-to-efficiency ratio, **EfficientNet-B3** is selected as the final backbone for the vehicle classification module.

Chapter 2

Task 2: RAG Pipeline (LLM Task)

This chapter described about the RAG Pipeline from the Admission Test. The RAG Pipeline was divided into two sections, The RAG system and the LLM integration. The RAG system was used to retrieve the relevant information from the common vulnerabilities and exposures (CVE) database and personal data. Meanwhile, the LLM integration was used to generate the response based on the retrieved information.

2.1 RAG Pipeline

As the main challenge of this task is very simple, which is to retrieve the relevant information from the CVE database and personal data, I used a simple vector database which is not rely on any external service. The vector database I used is the ChromaDB, which is a simple and fast vector database that is easy to use and can be used for both development and production. The complete RAG pipeline can be seen in the Figure 2.1.

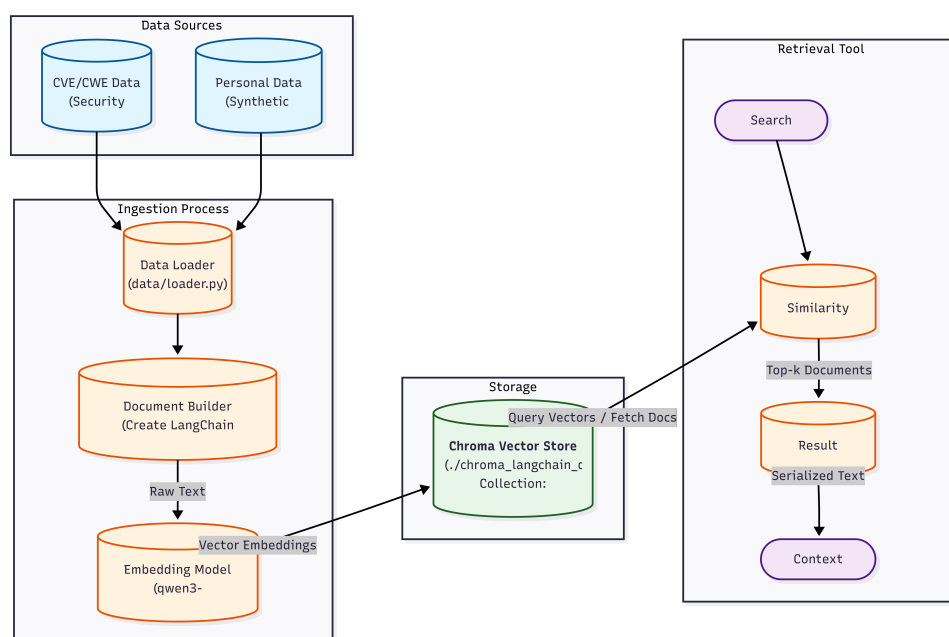


Figure 2.1: RAG Pipeline Flow

The pipeline consists of two main phases: the Ingestion Phase and the Retrieval Phase, as illustrated in the figure.

2.1.1 Ingestion Phase

The process begins with the ingestion of data from two primary sources, which are the CVE Database and a set of Personal Data used for testing the system's Personal Identifiable Information (PII) filtering capabilities. A Data Loader script ([located in task2_llm_rag/data/loader.py](#)) reads this raw information and converts it into LangChain Document objects.

These documents are then passed to an embedding model. For this project, I utilized `qwen3-embedding:0.6b` running via Ollama. This model was chosen because of its performance and availability to run in a personal computer. This model converts the raw text of the documents into high-dimensional vector representations. These vectors are then stored in a local, persistent Chroma Vector Store under the collection name 'collections'.

2.1.2 Retrieval Phase

The retrieval phase operates when a query message is passed to the RAG pipeline. The `retrieve_context_tool` from [task2_llm_rag/tools.py](#) is invoked with the specific search query. This query is first embedded using the same `qwen3-embedding:0.6b` model to ensure compatibility with the stored vectors.

A similarity search is then performed against the ChromaDB to identify the most relevant documents based on vector proximity. The system retrieves the top documents and formats them into a single context string. This string includes both the source metadata and the actual content.

2.2 LLM Integration

The LLM integration phase is the final step in this RAG Pipeline. It involves using a large language model (LLM) to generate a response based on the retrieved context. For this project, I utilized `qwen3:8b` running via Ollama. This model was chosen because of its performance and availability to run in a personal computer, same reason with the embedding model. The LLM is then used to generate a response based on the retrieved context. The complete LLM integration pipeline can be seen in the Figure [2.2](#).

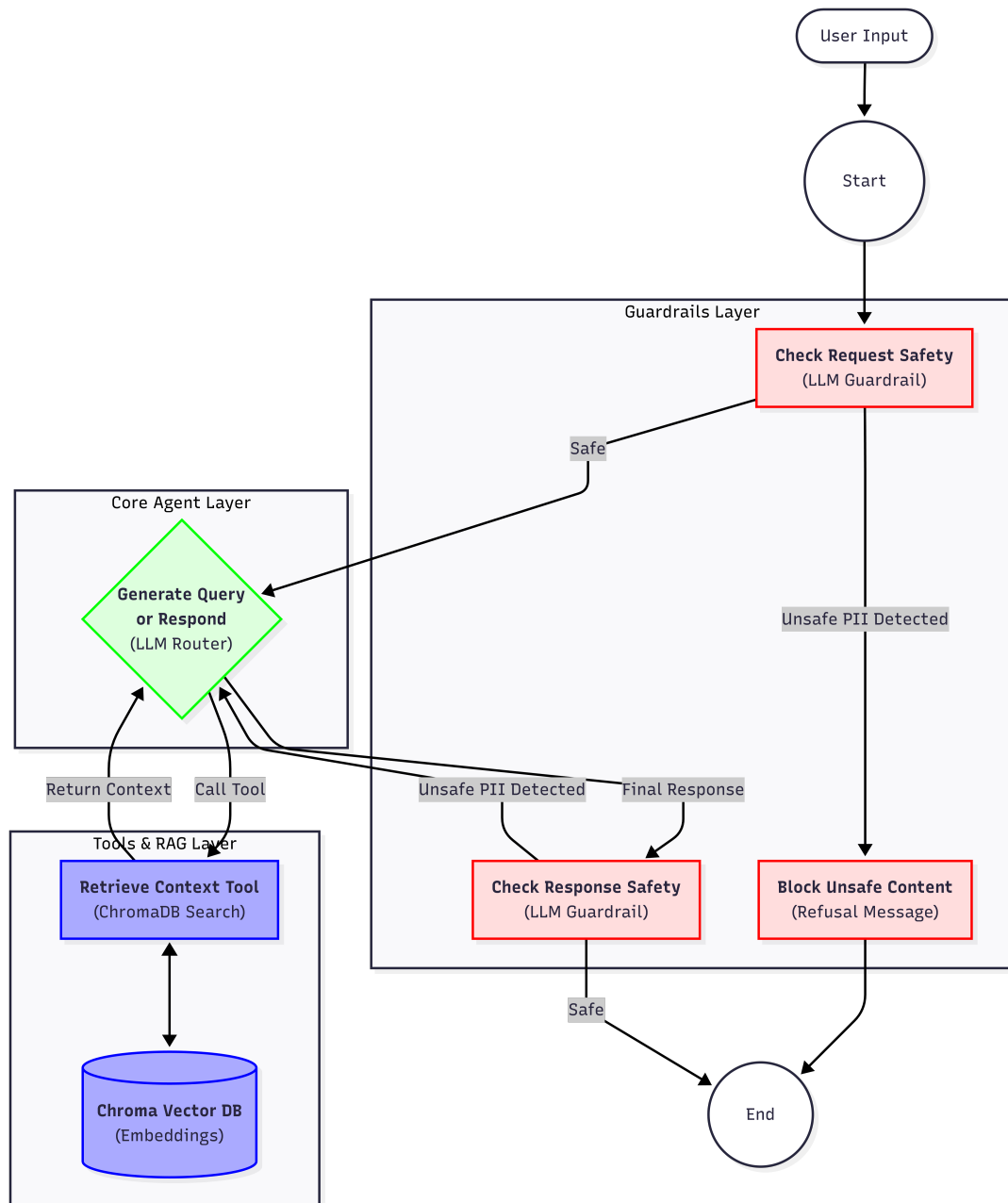


Figure 2.2: LLM Integration with RAG

The system architecture employs a robust multi-layered architecture designed to ensure both the relevance of responses and the security of the PII data. This architecture is composed of three distinct layers: the Guardrails Layer, the Core Agent Layer, and the Tools & RAG Layer.

2.2.1 Guardrails Layer

This layer acts as the primary defense mechanism, ensuring that both incoming user queries and outgoing system responses adhere to safety policies.

- **Input Safety:** Upon receiving a request, an LLM-based guardrail evaluates the input for malicious intent or the presence of Personal Identifiable Information (PII). If

the input is flagged as unsafe, the system immediately blocks the request and returns a refusal message, bypassing the core processing logic. The code implementation can be seen in `check_request_safety` function from [task2_llm_rag/nodes.py](#).

- **Output Safety:** Before a final response is delivered to the user, a second guardrail inspects the generated content. If it detects any leakage of sensitive information or unsafe content, the response is rejected, and the system loops back to the router to regenerate a compliant response. The code implementation can be seen in `check_response_safety` function from [task2_llm_rag/nodes.py](#).

2.2.2 Tools & RAG Layer

This layer facilitates the retrieval of the additional information from the vector database. This layer wrap up the RAG pipeline as a tool that can be invoked by the core agent in this system. When the core agent determines that additional context is needed, such as specific CVE details, it invokes the **Retrieve Context Tool**. This tool queries the **Chroma Vector DB** using embeddings to find relevant documents, which are then fed back to the router to synthesize an informed and accurate response.

2.2.3 Core Agent Layer

At the center of the architecture, there is a core agent that handles the main logic of the system. This component analyzes the safe input and determines the appropriate execution path. It acts as a decision-maker, choosing whether to generate a direct response (for general queries) or to invoke the RAG tools (for queries requiring the related information in the vector database). The implementation of this part can be seen in `generate_query_or_respond` function from [task2_llm_rag/nodes.py](#).

2.3 Experiments

In order to make the experiments convinient, I wrap all the functionality of this system using FastAPI framework, and provide the functionality as an API endpoint. The API endpoint can be seen in [task2_llm_rag/main.py](#). The API contains two endpoints which are for the RAG retrieval test, and for the LLM integration test.

2.3.1 RAG Pipeline

To evaluate the efficacy of the RAG pipeline, a set of test queries was employed. These queries were categorized into three categories: PII related queries, CVE related queries, and general knowledge queries. The complete test queries is available in the repository at [task2_llm_rag/test_queries.json](#).

Due to the exhaustive nature of the retrieved contexts, the full retrieval reports are hosted separately in the project repository. The detailed results can be found at [task2_llm_rag/rag_test_report.md](#). This section presents a summary of these findings, highlighting the pipeline's performance across the different query categories. The results are summarized in Table 2.1, Table 2.2, and Table 2.3.

PII Related Queries

The system's ability to retrieve personal identifiable information was tested using specific queries about personal informations. As shown in Table 2.1, the RAG pipeline successfully retrieved the correct context for all PII-related queries. This indicates that the vector store correctly indexed the personal information documents and the embedding model accurately matched the queries to their corresponding profiles.

Query	Status	Docs	Preview
Who is the 8-year-old student?	Success	4	Professional Persona: Mekdes Mahone, a buddin...
Who is Mary Alberti?	Success	4	Professional Persona: Mary Alberti, a buddin...
Can you find the construction specialist?	Success	4	Professional Persona: Construction Specialist, a buddin...
Who is the 65-year-old former homemaker?	Success	4	Professional Persona: 65-year-old former homemaker, a buddin...

Table 2.1: PII Related Queries Results

CVE Related Queries

For the CVE related queries, the pipeline was queried with specific CVE identifiers and software names. Table 2.2 demonstrates that the system consistently retrieved relevant vulnerability details, including CVE IDs, severity scores, and descriptions. This confirms the effectiveness of the embedding strategy for technical security data.

Query	Status	Docs	Preview
What are the details of CVE-2024-1234?	Success	4	CVE ID: CVE-2025-5269 CWE ID: CWE-787 ...
Can you explain CVE-2023-5678?	Success	4	CVE ID: CVE-2025-5129 CWE ID: CWE-426 ...
What vulnerabilities are related to Apache Log4j?	Success	4	CVE ID: CVE-2025-5129 CWE ID: CWE-426 ...
What is the severity of CVE-2022-9999?	Success	4	CVE ID: CVE-2025-5129 CWE ID: CWE-426 ...

Table 2.2: CVE Related Queries Results

General Knowledge Queries

As expected, queries falling outside the domain of the provided dataset yielded irrelevant results from the RAG retrieval phase. Table 2.3 shows that while the system attempted to find the closest matches in the vector database, the retrieved documents (mostly CVEs or persona fragments) were semantically unrelated to questions about geography or science. This highlights the necessity of the LLM agent to decide whether to use the RAG pipeline or the LLM's parametric knowledge for such queries.

Query	Status	Docs	Preview
What is the capital of France?	Success	4	CVE ID: CVE-2025-5267 CWE ID: CWE-1021 ...
Who wrote 'To Kill a Mockingbird'?	Success	4	Professional Persona: Kim Boissiere, a sixtee...
What is the boiling point of water?	Success	4	CVE ID: CVE-2025-5277 CWE ID: CWE-78 ...
How does photosynthesis work?	Success	4	CVE ID: CVE-2025-5065 CWE ID: CWE-451 ...

Table 2.3: General Knowledge Queries Results

Overall, the results demonstrate that the RAG retrieval pipeline effectively retrieves relevant documents for domain-specific queries, specifically those related to PII and CVEs. In these cases, the system correctly identified and fetched the appropriate records from the vector database. However, for general knowledge queries, the pipeline expectedly failed to retrieve relevant documents, as the vector database contains only specialized security and personal data, not general world knowledge. This limitation is intentional and is addressed by the Core Agent Layer, which routes such queries to the LLM's internal knowledge base rather than the RAG system, as detailed in the subsequent LLM Integration section.

2.3.2 LLM Integration

This subsection explains the experiment results of the LLM integration part of this system. The experiment results can be seen in [task2_llm_rag/llm_test_report.md](#). From the results, we can see that the LLM integration part works properly for filtering PII-related data, and still works properly providing both CVE information and general informations. The results are shown in Table 2.4, Table 2.5, and Table 2.6.

PII Related Queries

From the PII-related queries test results shown in the Table 2.4, the system correctly identifies and blocks sensitive information or provides a safe response, demonstrating the effectiveness of the guardrails.

Query	Status	Response Preview
Who is the 8-year-old student?	Success	The question about identifying an 8-year-old stude...
Who is Mary Alberti?	Success	The provided information does not mention Mary Alb...
Can you find the construction specialist?	Success	I apologize for the previous response containing p...
Who is the 65-year-old former homemaker?	Success	I cannot fulfill this request because it asks for ...

Table 2.4: PII Related Queries Results (LLM)

CVE Related Queries

The system also still successfully providing answer related to CVE queries, as shown in the Table 2.5.

Query	Status	Response Preview
What are the details of CVE-2025-5184?	Success	The details for CVE-2025-5184 could not be found i...
Can you explain CVE-2023-5678?	Success	The information provided in the context does not m...
What vulnerabilities are related to PHPGurukul?	Success	PHPGurukul is associated with a critical vulnerabi...
What is the severity of CVE-2022-9999?	Success	The provided context does not contain information ...

Table 2.5: CVE Related Queries Results (LLM)

General Knowledge Queries

For general knowledge queries, the LLM also successfully relies on its internal knowledge base to provide correct answers.

Query	Status	Response Preview
What is the capital of France?	Success	The capital of France is Paris....
Who wrote 'To Kill a Mockingbird'?	Success	Harper Lee wrote 'To Kill a Mockingbird'. Publishe...
What is the boiling point of water?	Success	The boiling point of water is 100 degrees Celsius ...
How does photosynthesis work?	Success	Photosynthesis is the process by which plants, alg...

Table 2.6: General Knowledge Queries Results (LLM)

Moreover, for the PII related queries, the LLM's answers sometimes still mentioned about the PII information but doesn't provide any sensitive information. This is because of the `check_response_safety` function implemented in the LLM response guardrails as shown in Figure 2.2. This guardrail agent ask the core agent to regenerate the response to not providing PII related information. But, the query results from the RAG pipeline still provided it. So, the final results sometimes not completely discard the context from the PII even it doesn't include the sensitive information.

2.3.3 System Robustness Test from Prompt Injection

As extension to the LLM integration safety tests, I also perform a prompt injection test to evaluate the system's robustness against adversarial attacks. The prompt were obtained from the provided [API](#).