

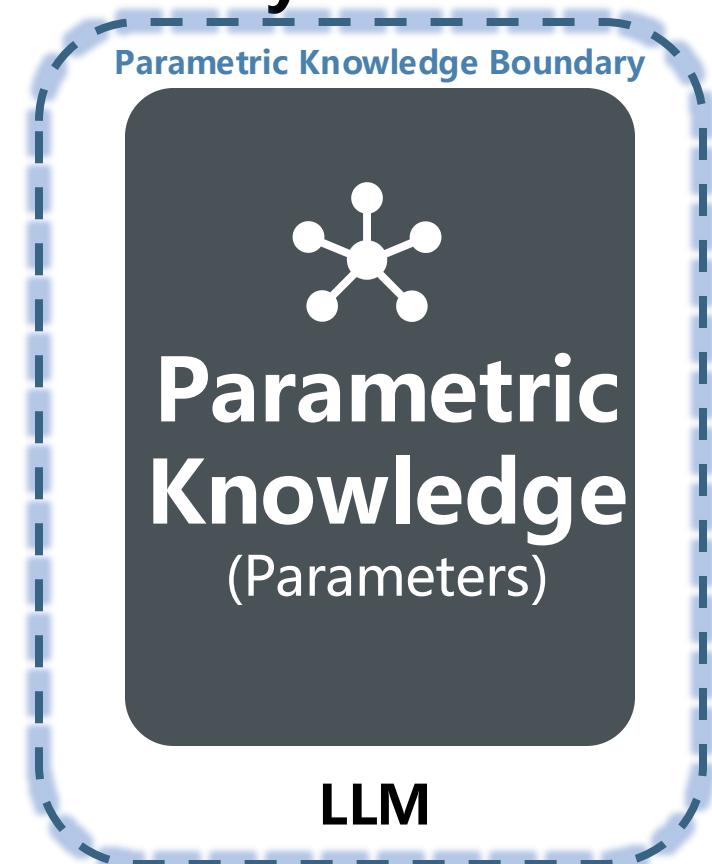
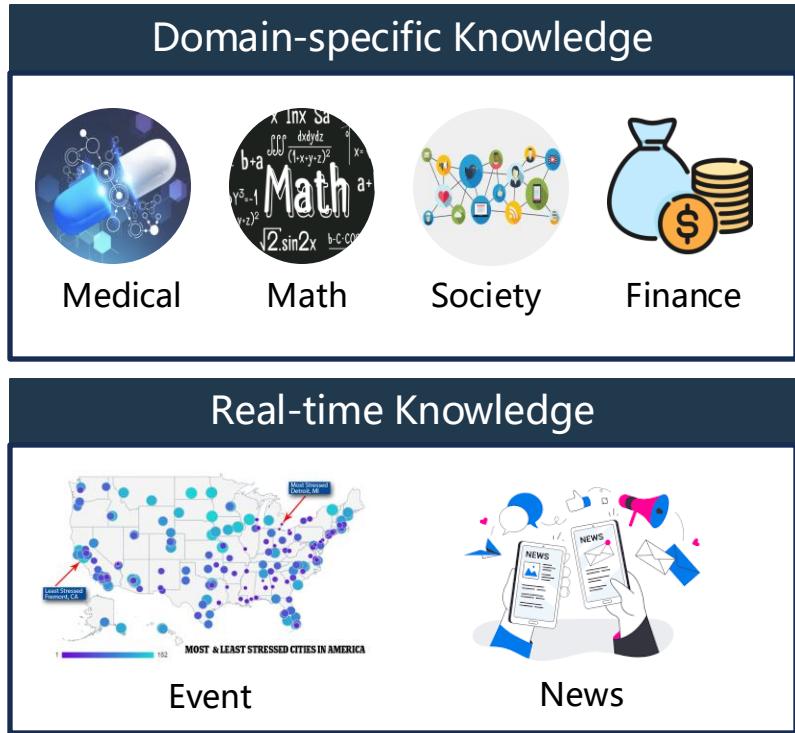
# Out-of-Boundary Query Mitigation Parametric Knowledge Boundary

Liang Pang

Institute of Computing Technology, Chinese Academy of Sciences

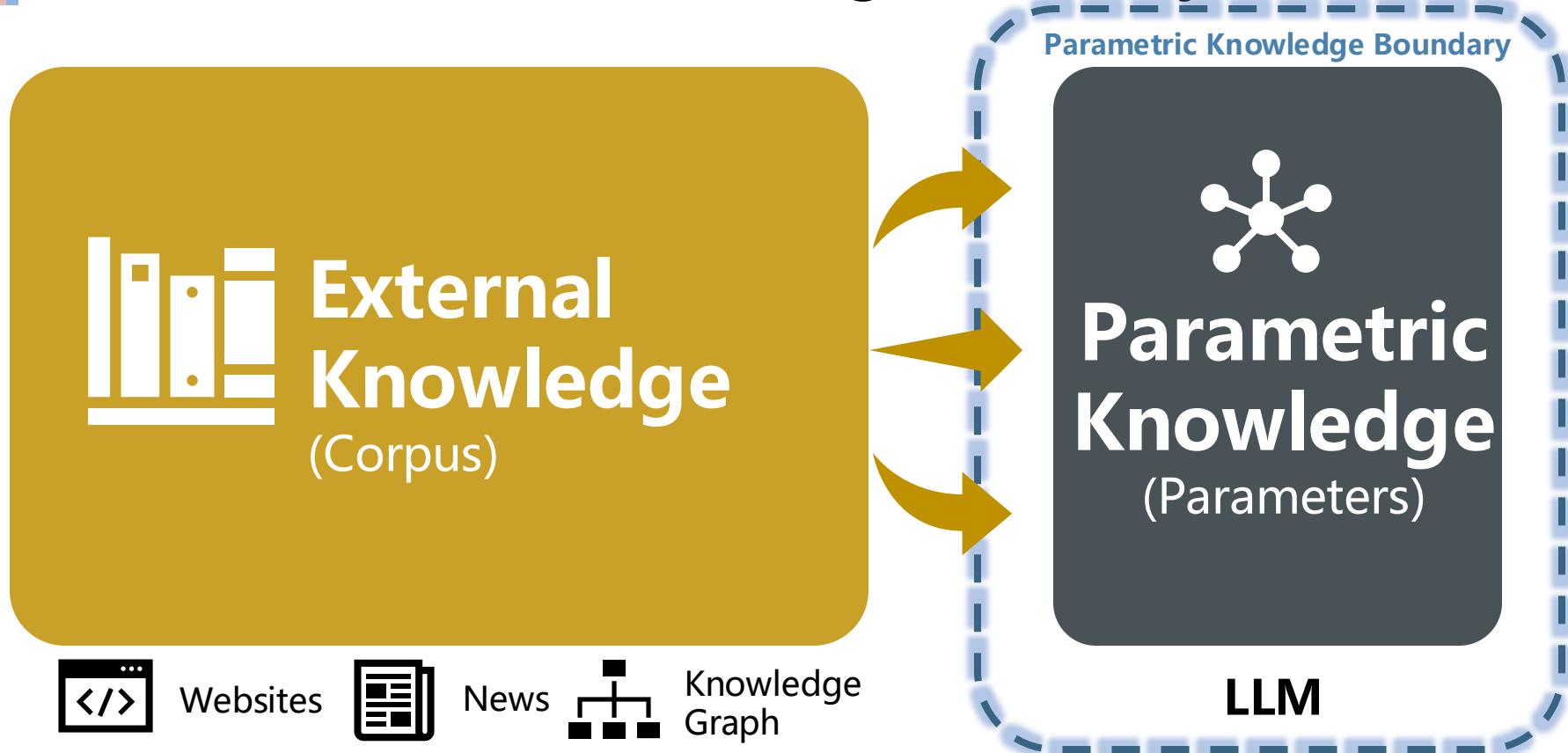


# What is Parametric Knowledge Boundary



Unable to be answered by the specific LLM, but the query itself is answerable

# What is Parametric Knowledge Boundary



External knowledge can be involved to help LLM extend its boundary

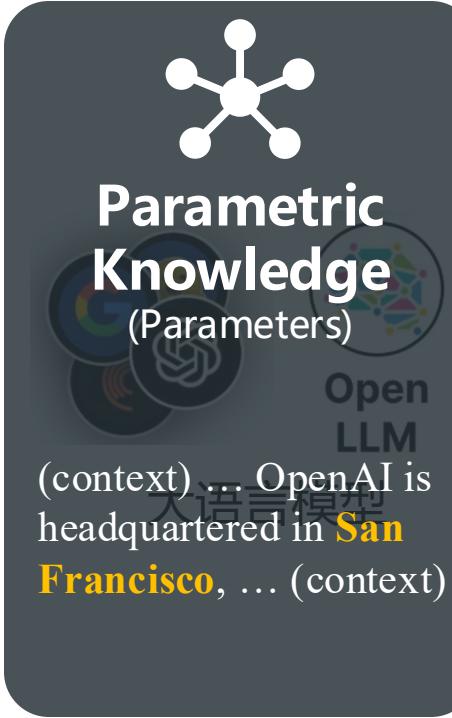
# Example

**Question:** What was OpenAI founded, where is its headquarters located, and what models has it developed?



## External Knowledge (Corpus)

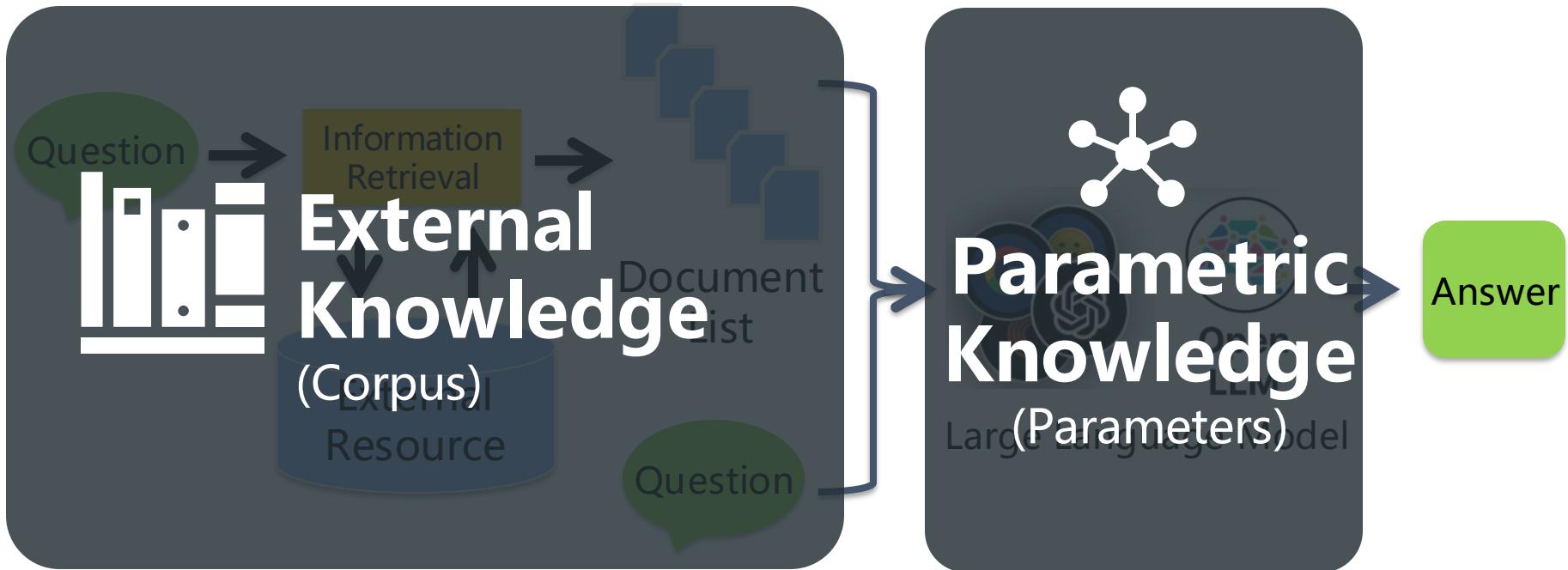
(context) ... OpenAI has developed **GPT-3, DALL-E, CLIP, etc.** ...  
(context)



## Generation

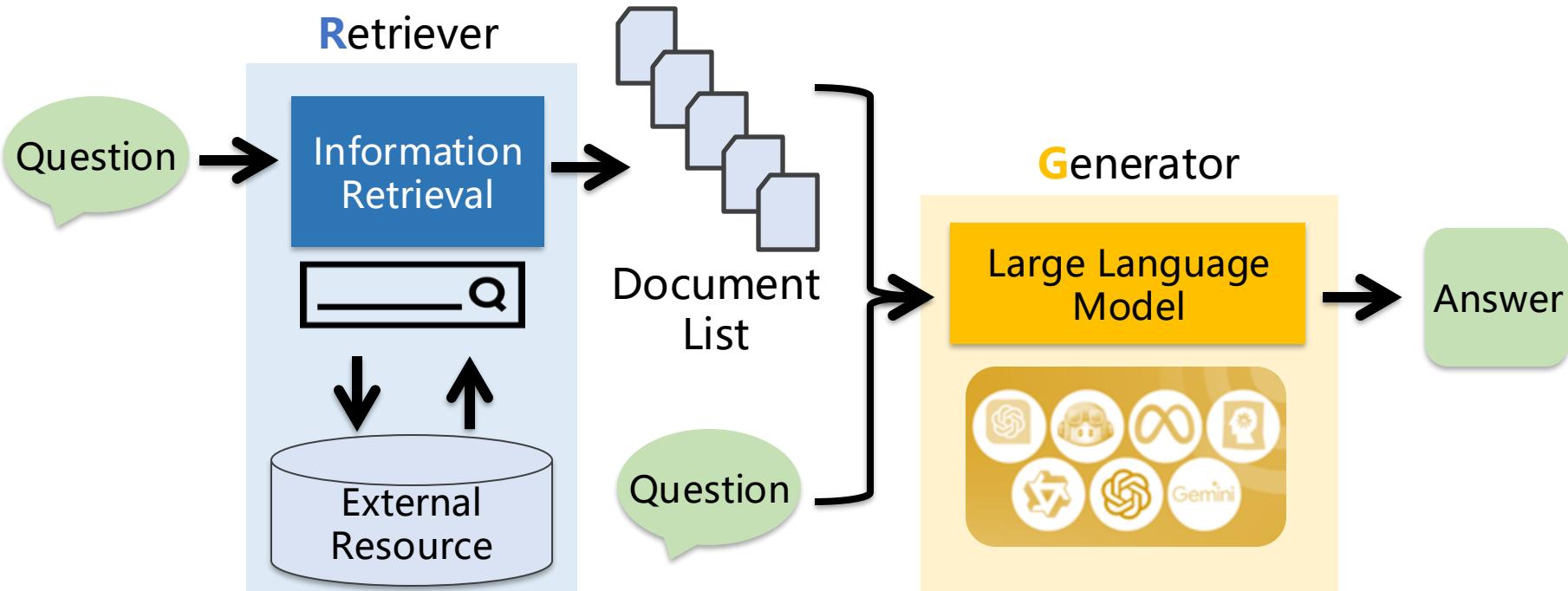
OpenAI was established in **2015**. OpenAI is headquartered in **San Francisco**. OpenAI has developed **GPT-3, DALL-E, CLIP, etc.**

# Retrieval-Augmented Generation (RAG)



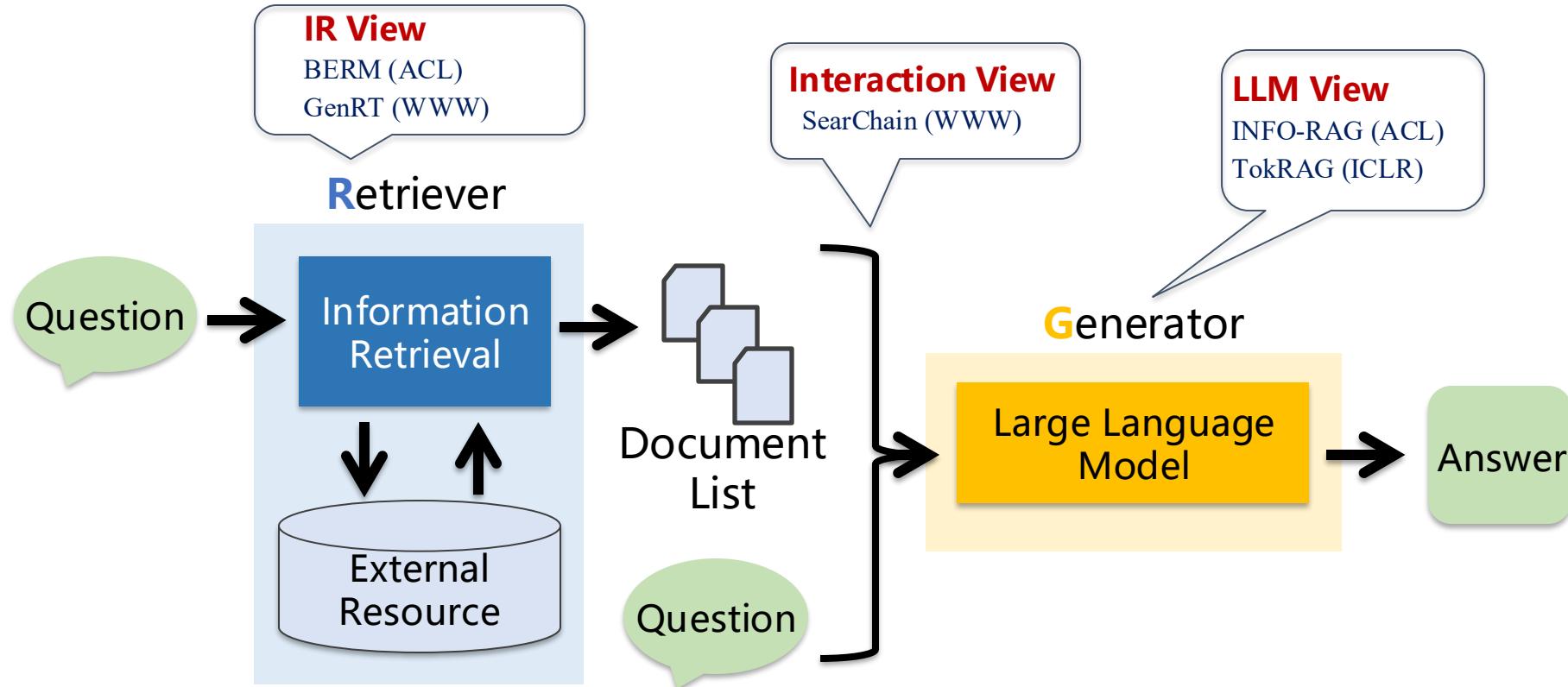
RAG can combine external knowledge and internal knowledge

# Retrieval-Augmented Generation (RAG)



The traditional pipeline of Retrieval-augmented Generation

# Research Map of RAG



Three views of RAG approaches

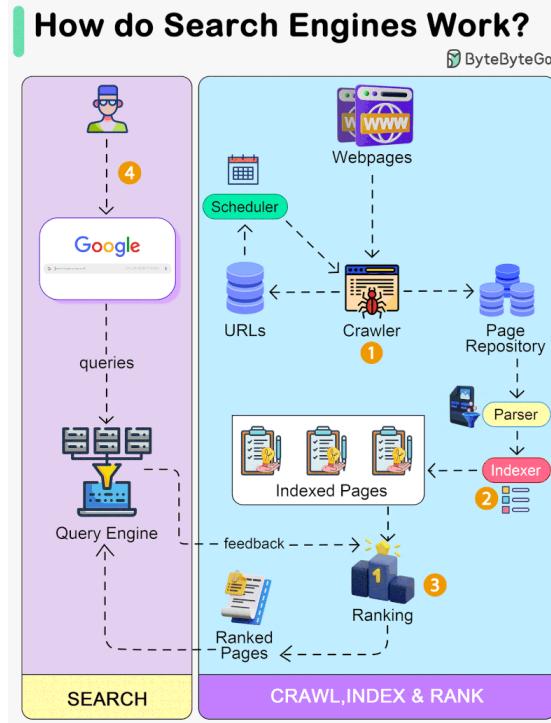


01

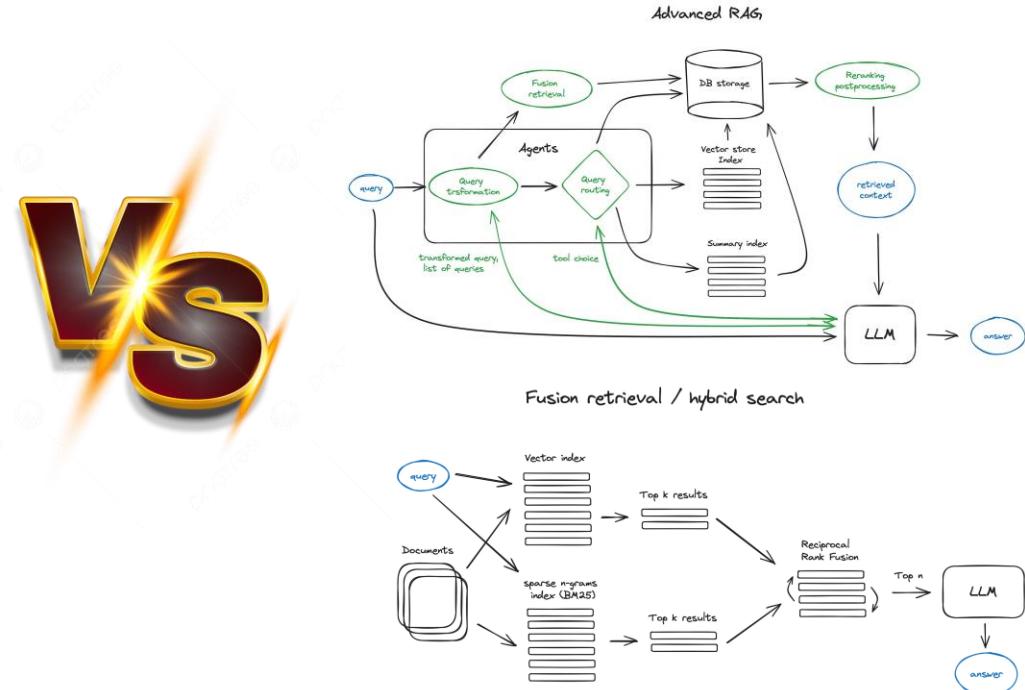
# Information Retrieval View @ RAG

# Motivation: Target Users of Search Engines are Changed

## Past: Design for Human



## Now: Design for LLMs

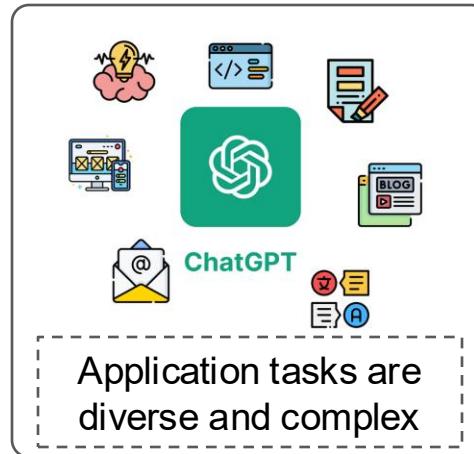


In the era of LLMs, IR needs designed for LLMs not human

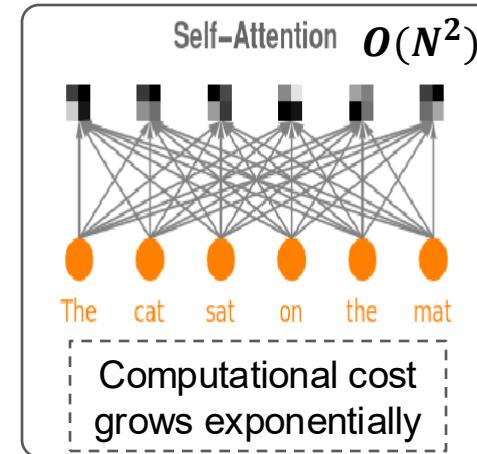
# Motivation: Target Users of Search Engines are Changed

Traditional IR models are optimized for **human users**  
So, what kind of retrieval models suit **LLMs**?

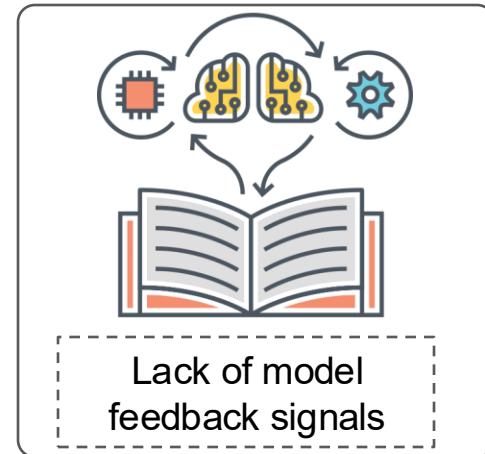
## Requirement ①: Task Generalization



## Requirement ②: Information Density



## Requirement ③: Optimizable Objectives



# Requirement ①: Task Generalization in Retrieval Stage

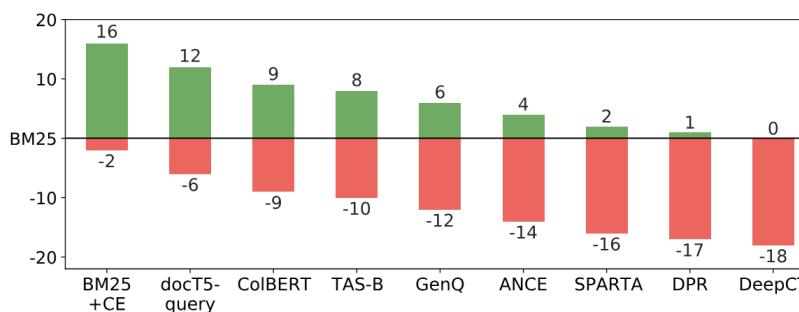
## For dense retrieval, what makes a good dense representation?

Text representations have an infinite solution space — more constraints are needed to distinguish them!

In zero-shot setting:

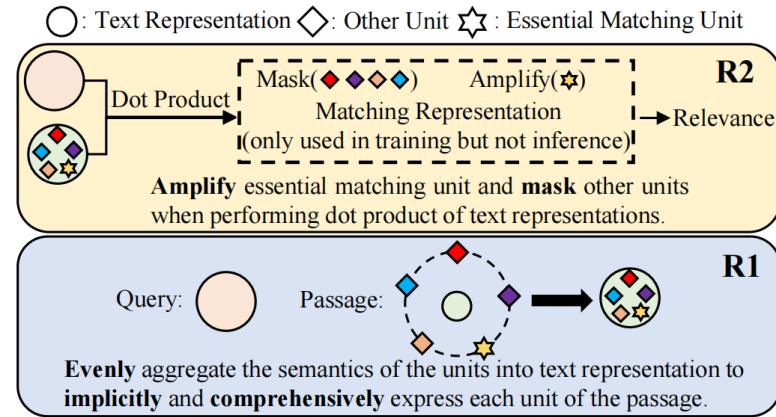
Dense retrieval models are worse than BM25.

From A Thorough Examination on Zero-shot Dense Retrieval



From BEIR: A Heterogeneous Benchmark for Zero-shot Evaluation of Information Retrieval Models

## Constraint in Text Rep. for Dense Retrieval



- Constraint 1: Semantic Unit Balance
- Constraint 2: Essential Matching Unit Extractability

# BERM - Experiments

Datasets	Jaccard Sim Unigrams	DPR	Vanilla DPR+BERM	Knowledge Distillation		Hard Negatives	
	KD	KD+BERM	ANCE	ANCE+BERM			
SciFact	22.16	0.478	<b>0.495<sup>†</sup></b>	0.481	<b>0.504<sup>†</sup></b>	0.507	<b>0.511<sup>†</sup></b>
NFCorpus	23.45	0.208	<b>0.234<sup>†</sup></b>	0.205	<b>0.242<sup>†</sup></b>	0.237	<b>0.248<sup>†</sup></b>
TREC-COVID	26.80	0.561	<b>0.600<sup>†</sup></b>	0.490	<b>0.505<sup>†</sup></b>	0.654	<b>0.661<sup>†</sup></b>
SCIDOCs	27.92	0.108	<b>0.120<sup>†</sup></b>	0.111	<b>0.115<sup>†</sup></b>	0.122	<b>0.130<sup>†</sup></b>
DBpedia	30.16	0.236	<b>0.256<sup>†</sup></b>	0.245	<b>0.264<sup>†</sup></b>	0.281	<b>0.293<sup>†</sup></b>
CQADupStack	30.64	<b>0.281</b>	0.279	<b>0.290</b>	0.281	<b>0.296</b>	0.290
HotpotQA	30.87	0.371	<b>0.386<sup>†</sup></b>	0.427	<b>0.438<sup>†</sup></b>	0.456	<b>0.463<sup>†</sup></b>
ArguAna	32.92	0.414	<b>0.435<sup>†</sup></b>	0.435	<b>0.437<sup>†</sup></b>	0.415	<b>0.428<sup>†</sup></b>
Climate-FEVER	34.79	0.176	<b>0.187<sup>†</sup></b>	0.189	<b>0.195<sup>†</sup></b>	0.198	<b>0.201<sup>†</sup></b>
FEVER	34.79	<b>0.589</b>	0.585	0.633	<b>0.664<sup>†</sup></b>	0.669	<b>0.674<sup>†</sup></b>
FiQA-2018	35.95	<b>0.275</b>	0.272	<b>0.286</b>	0.285	<b>0.295</b>	0.287
Touche-2020	37.02	0.208	<b>0.210<sup>†</sup></b>	0.215	<b>0.216<sup>†</sup></b>	0.240	<b>0.248<sup>†</sup></b>
Quora	39.75	0.842	<b>0.853<sup>†</sup></b>	0.832	<b>0.836<sup>†</sup></b>	0.852	<b>0.854<sup>†</sup></b>
NQ	47.27	<b>0.398</b>	0.394	<b>0.420</b>	0.419	0.446	<b>0.450<sup>†</sup></b>
Avg	-	0.368	<b>0.379</b>	0.376	<b>0.386</b>	0.405	<b>0.410</b>



2.9%



2.7%



1.23%

BERM can be combined with various dense retrieval training methods to improve its generalization.

# Requirement ②: Info. Aggregation in Reranking Stage

Rerank after retrieval encourage the information aggregation

Rerank methods also allow merging retrieval results from sources with incomparable scores, enabling integration of BM25 and neural network initial retrieval

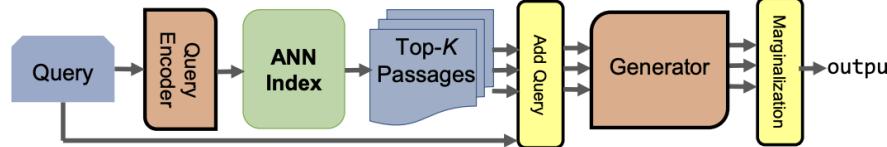
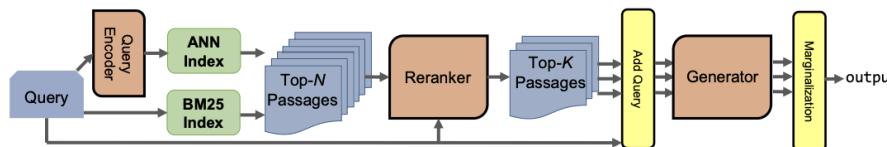


Figure 2: RAG Architecture



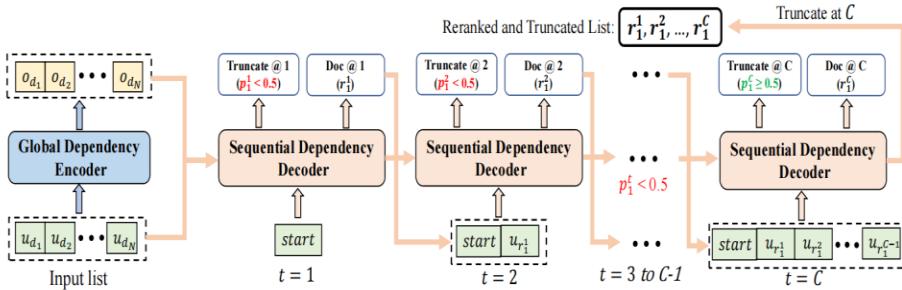
	T-REx					
	R-Prec	Recall@5	Accuracy	F1	KILT-AC	KILT-F1
Re <sup>2</sup> G (ours)	<b>80.70</b>	<b>89.00</b>	<b>87.68</b>	<b>89.93</b>	<b>75.84</b>	<b>77.05</b>
KGI <sub>1</sub> [Glass et al., 2021]	74.36	83.14	<u>84.36</u>	87.24	69.14	70.58
KILT-WEB 2 [Piktus et al., 2021]	<u>75.64</u>	<u>87.57</u>	81.34	84.46	64.64	66.64
SEAL [Bevilacqua et al., 2022]	67.80	81.52	83.72	86.53	60.08	61.72
KGI <sub>0</sub> [Glass et al., 2021]	59.70	70.38	77.90	81.31	55.54	56.79

	Natural Questions			(Question Answering)		
	R-Prec	Recall@5	Accuracy	F1	KILT-AC	KILT-F1
Re <sup>2</sup> G (ours)	<b>70.78</b>	<b>76.63</b>	<u>51.73</u>	<u>60.97</u>	<b>43.56</b>	<b>49.80</b>
SEAL [Bevilacqua et al., 2022]	63.16	68.19	<u>53.74</u>	<u>62.24</u>	<u>38.78</u>	44.40
KGI <sub>0</sub> [Glass et al., 2021]	<u>63.71</u>	70.17	45.22	53.38	36.36	41.83
KILT-WEB 2 [Piktus et al., 2021]	59.83	<u>71.17</u>	51.59	60.83	35.32	40.73
RAG [Petroni et al., 2021]	59.49	67.06	44.39	52.35	32.69	37.91

# Requirement ②: Info. Aggregation in Reranking Stage

Jointly optimize reranking and truncation in one model, yield a dynamic document list for different queries

## GenRT

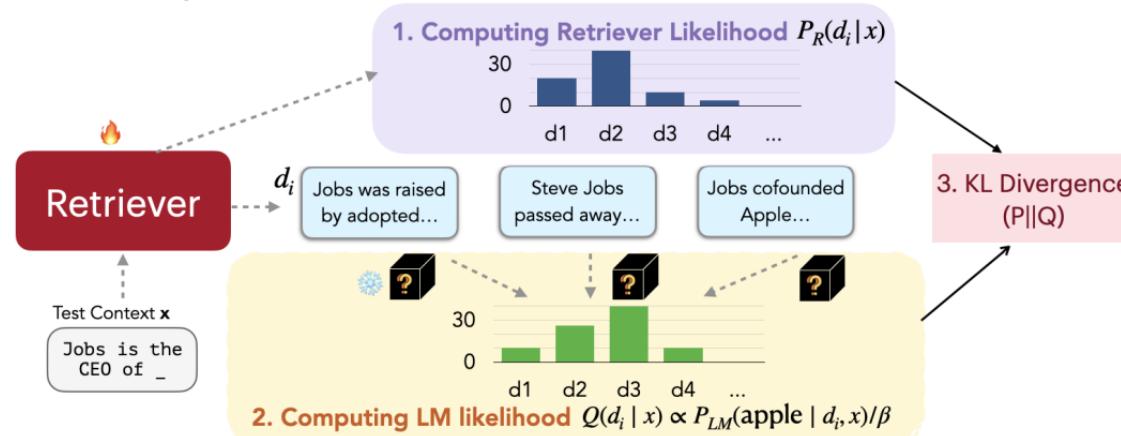


- Compared with Fixed-40, GenRT achieves comparable accuracy with shorter length
- Compared with Fixed-20, GenRT achieves better performance with shorter length

Truncation	NQ			TriviaQA		
	TDCG ↑	Length ↓	Acc. ↑	TDCG ↑	Length ↓	Acc. ↑
Fixed- $x$ ( $x=5$ )	-0.78	5.00	54.80	0.23	5.00	60.03
Fixed- $x$ ( $x=10$ )	-0.95	10.00	55.72	-0.17	10.00	61.19
Fixed- $x$ ( $x=20$ )	-1.67	20.00	56.98	-1.10	20.00	62.35
Fixed- $x$ ( $x=30$ )	-4.78	30.00	56.05	-2.34	30.00	62.30
Fixed- $x$ ( $x=40$ )	-5.05	40.00	58.20	-3.46	40.00	63.17
BiCut	-0.35	22.75	56.79	0.38	25.83	62.30
Choppy	-0.20	25.43	57.01	0.40	29.72	62.42
AttnCut	-0.21	17.70	56.95	0.42	21.96	62.40
LeCut+JOTR	-0.15	20.21	57.84	0.55	22.50	62.89
GenRT	<b>-0.06<sup>†</sup></b>	17.25	58.15	<b>0.74<sup>†</sup></b>	22.19	63.25

# Requirement ③: Optimizable Objectives --- Remote Supervision Signals

Use LLM logits distribution as supervision to train the retriever, with the objective of minimizing KL divergence



Compute the retriever's scoring distribution over the document list:

$$P_R(d | x) = \frac{e^{s(d,x)/\gamma}}{\sum_{d \in \mathcal{D}'} e^{s(d,x)/\gamma}}$$

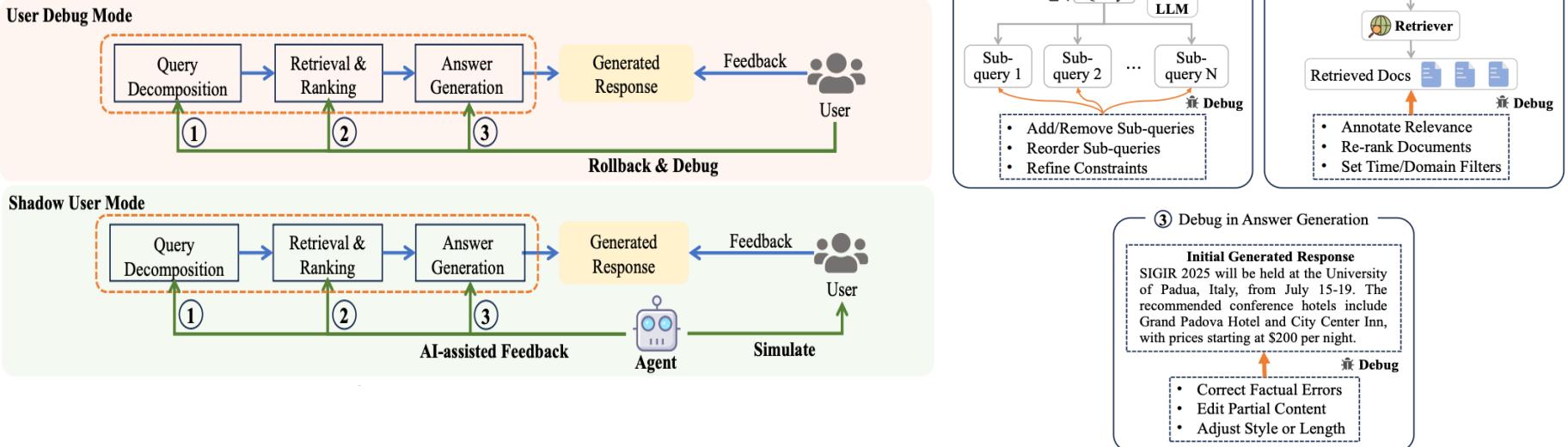
Compute the logits of the ground truth tokens for each document used in RAG

$$Q(d | x, y) = \frac{e^{P_{LM}(y|d,x)/\beta}}{\sum_{d \in \mathcal{D}'} e^{P_{LM}(y|d,x)/\beta}}$$

# Requirement ③: Optimizable Objectives --- Build Feedback Loops

**User Debug Mode** allows engaged users to intervene at key stages, e.g. refining query decomposition, rating retrieved documents, and editing initial generated responses

**Shadow User Mode** a personalized user agent simulates user preferences and provides AI-assisted feedback for less interactive users



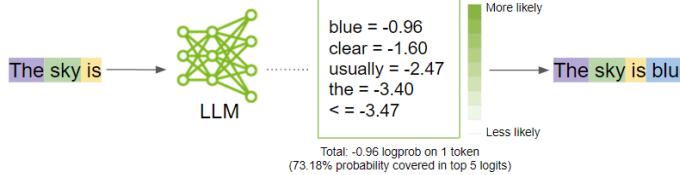


02

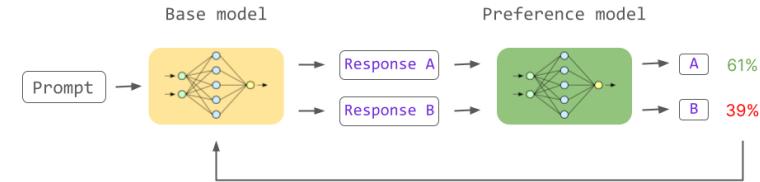
# Large Language Model View @ RAG

# Motivation: LLMs do not Learn RAG

## ① Pretraining Phase – Next Token Prediction



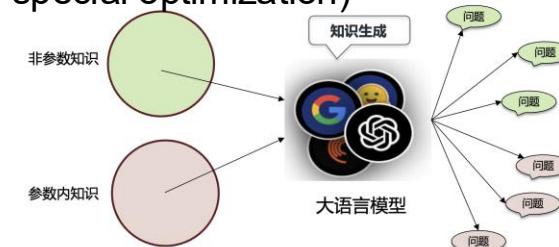
## ③ RLHF Phase – Alignment



## ② Instruction Tuning Phase – Multi-task Learning

Natural language inference (7 tasks)	Commonsense (4 tasks)	Sentiment (4 tasks)	Paraphrase (4 tasks)	Open domain QA (3 tasks)	Struct to text (4 tasks)	Translation (8 languages)
ANLI (R1-R3) CB MNLI QNLI	RTE CoPA HellaSwag StoryCloze	IMDB Sent140 SST-2 Yelp	MRPC QQP PAWS STS-B	ARC (easy/chal.) NQ TriviaQA	CommonGen DART E2ENLG WEBNLG	ParaCrawl EN/DE ParaCrawl EN/ES ParaCrawl EN/FR WMT-16 EN/CS WMT-16 EN/DE WMT-16 EN/EN WMT-16 EN/FI WMT-16 EN/RO WMT-16 EN/RU WMT-16 EN/TR
Reading comp. (5 tasks)	Read. comp. w/ commonsense (2 tasks)	Coreference (3 tasks)	Misc. (7 tasks)	Summarization (11 tasks)		
BoolQ DROP MultiRC	CosmosQA ReCoRD	DPR Winogrande WSC	CoQA TREC QuAC WIC Math Fix Punctuation (NLG)	AESLC AG News CNN-DM Gigaword Multi-News Newsroom Open-Abs: Debate Open-Abs: Movie SamSum Wiki Lingua EN XSum		

How to use retrieved information?  
(no special optimization)



How can LLMs robustly handle noisy input knowledge and choose between internal and external knowledge?

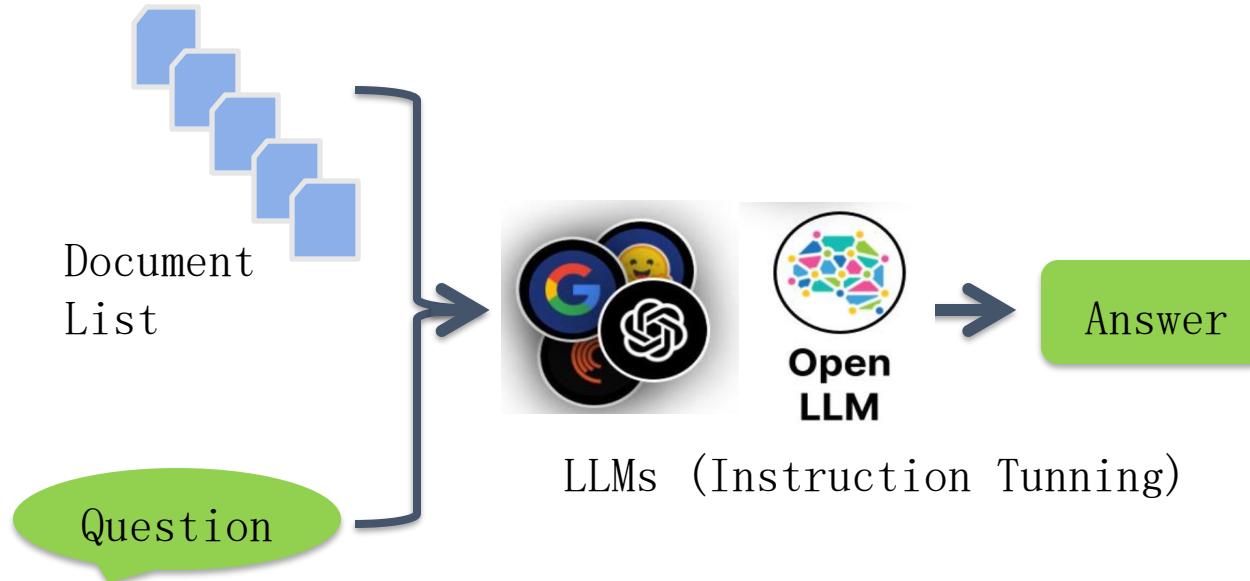
# Motivation: LLMs do not Learn RAG

## Aligning LLMs capabilities in RAG through fine-tuning

- ◆ ① **Supervised Instruction Tuning:** Construct retrieval-question-answer triplets on domain-specific datasets and use them to fine-tune instructions, teaching the large model how to utilize retrieved documents. Examples include FID and RetRobust.
- ◆ ② **Dynamic Retrieval-Augmented Generation Fine-Tuning:** Fine-tune large language models to actively make dynamic decisions on whether to perform retrieval-augmented generation. Examples include Active-RAG and Self-RAG.

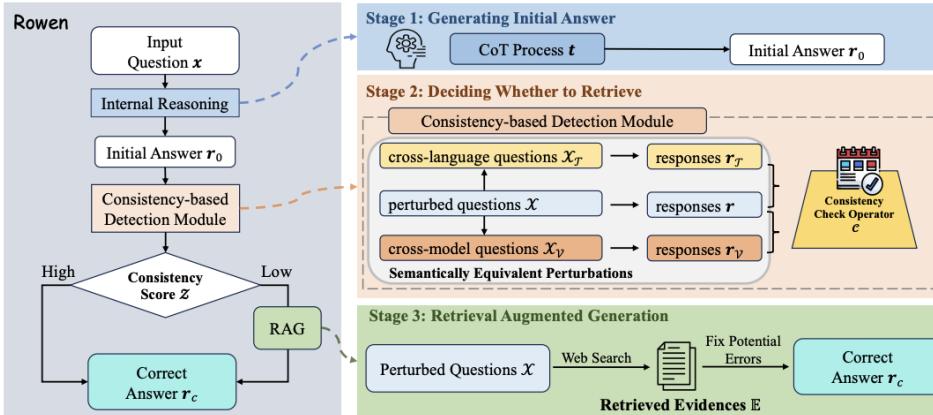
# ① Supervised Instruction Tuning

Given a question and a retrieved passage list R, use both as input for instruction fine-tuning

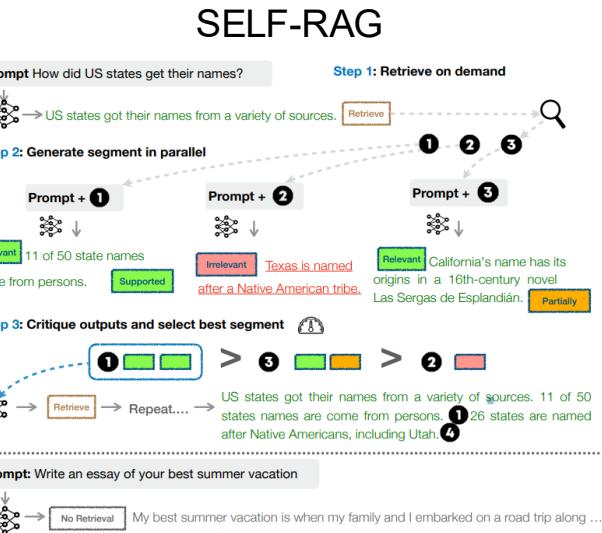


# ② Dynamic RAG Fine-tuning

Rowen: Retrieve Only When It Needs



Train an external discriminator to decide whether to use retrieved content, based on multi-dimensional consistency features (cross-language, noise addition, cross-model, etc.)



Fine-tune LLMs to dynamically generate retrieval tokens when needed during generation, critically evaluate retrieved documents, and use them selectively, enabling dynamic RAG

# Motivation: LLMs do not Learn RAG

Aligning LLMs capabilities in RAG through fine-tuning

- ◆ ① Supervised Instruction Tuning
- ◆ ② Dynamic Retrieval-Augmented Generation Fine-Tuning



All require supervised data



Is supervised data essential?

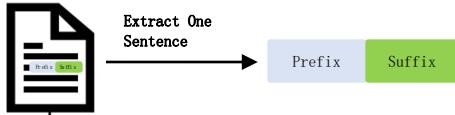
# INFO-RAG: Unsupervised RAG Training

Design unsupervised training tasks according to three scenarios, so that LLM can play the role of "knowledge refiner"

## Information Extraction



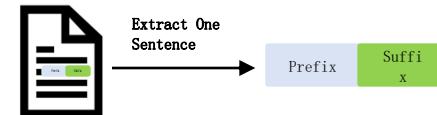
No Internal Knowledge



## Information Correction



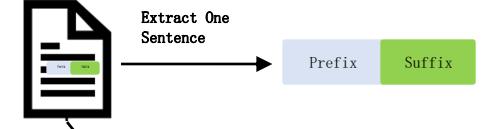
Partial Internal Knowledge



## Information Provision

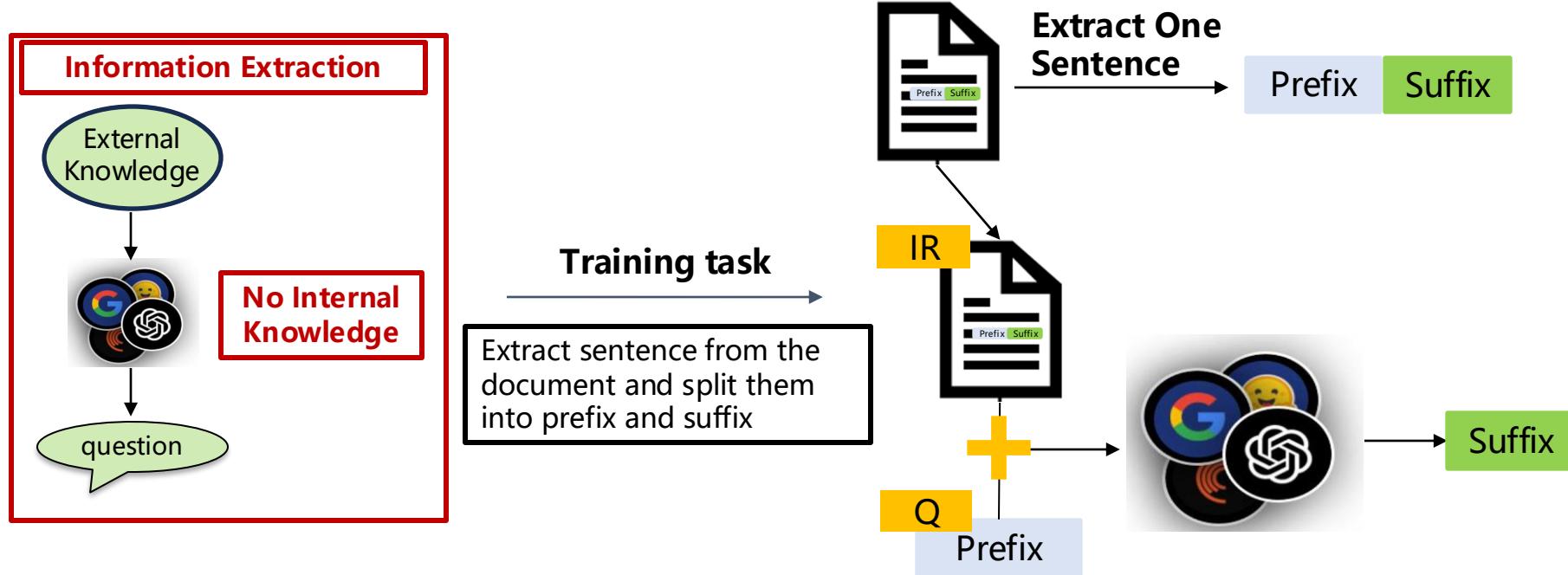


Exist Internal Knowledge



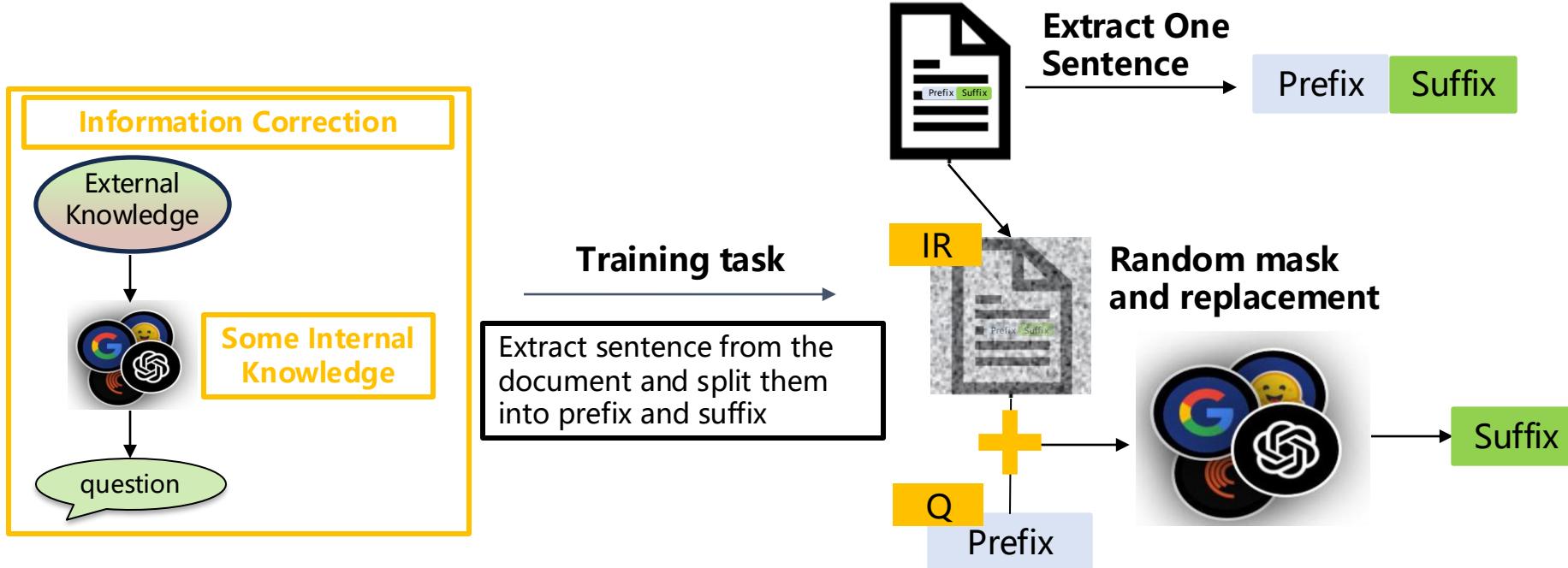
# INFO-RAG: Method

All correct answers are in the retrieved texts and **LLMs just need to extract them**



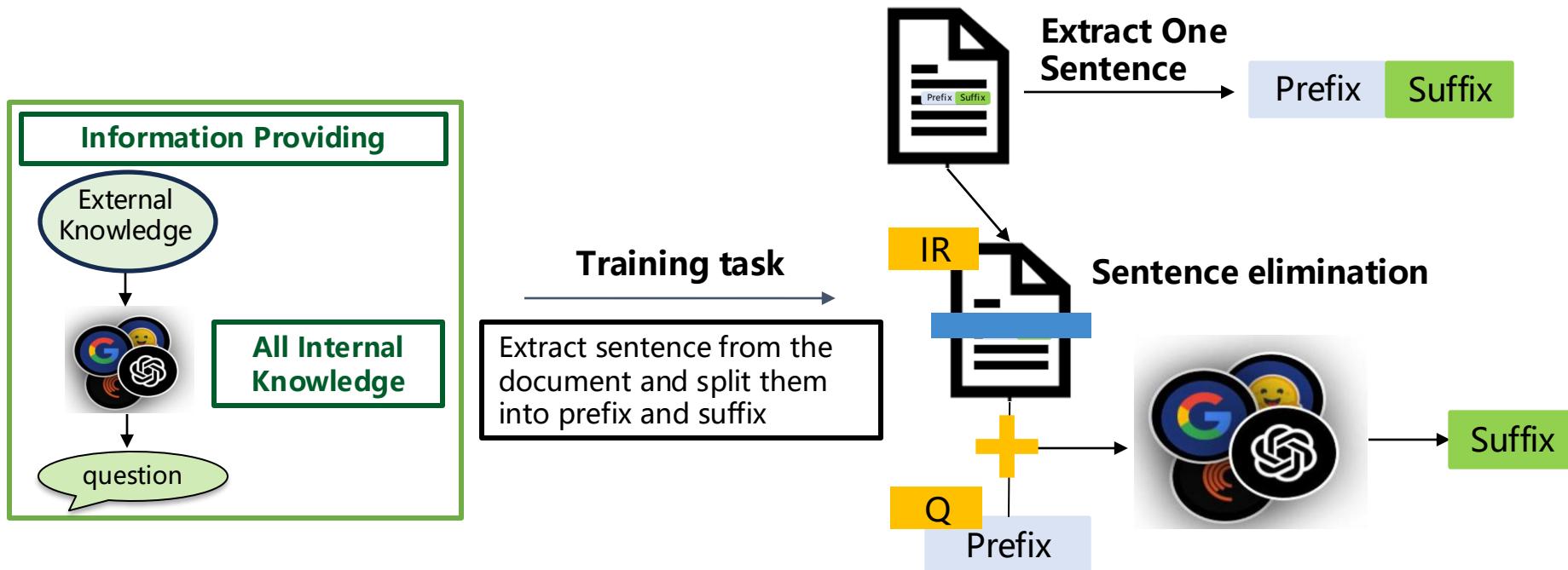
# INFO-RAG: Method

The retrieved texts only contain partial answers, and even some wrong answers, which require **correction and completion** by LLM



# INFO-RAG: Method

The retrieved texts are only semantically related to the question but useless, and LLM needs to use this to **stimulate knowledge within parameters**



# INFO-RAG: Experiments

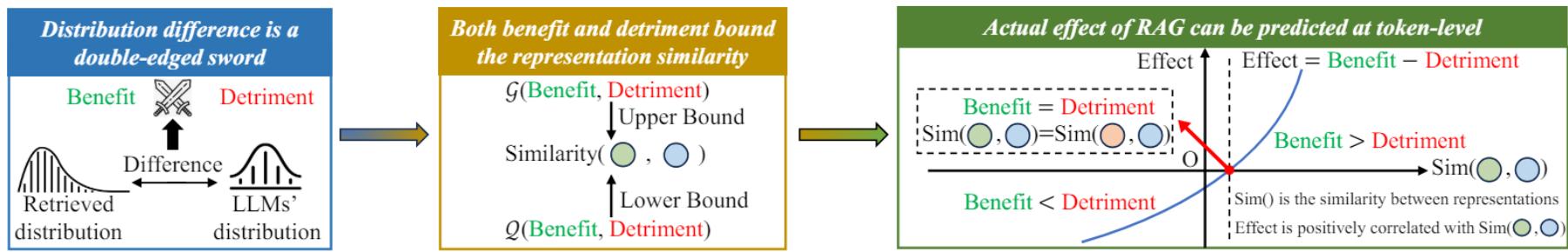
	Soft-Filling		ODQA		Multi-Hop QA		LFQA		Dialog		LM		Code Gen	
	Accuracy		Accuracy		Accuracy		ROUGE		F1	ROUGE	CodeBLEU	Overall		
	T-REx	ZS	NQ	WebQ	Hotpot	Musique	Eli5	Wow	WikiText	Python	Java			
LLaMA-2-7B	55.60	54.08	<b>46.82</b>	43.52	39.40	25.95	15.18	7.85	60.77	21.44	22.99	35.78		
+ INFO-RAG	<b>65.91</b>	<b>57.01</b>	45.74	<b>44.68</b>	<b>46.56</b>	<b>30.19</b>	<b>17.18</b>	<b>9.09</b>	<b>62.91</b>	<b>26.75</b>	<b>32.06</b>	<b>39.83</b>		
LLaMA-2-7B-chat	60.63	55.03	49.42	46.72	50.03	42.69	27.81	10.21	60.26	22.46	23.90	40.83		
+ INFO-RAG	<b>65.77</b>	<b>58.32</b>	<b>53.93</b>	<b>49.13</b>	<b>52.01</b>	<b>44.45</b>	<b>28.15</b>	<b>10.49</b>	<b>63.24</b>	<b>27.25</b>	<b>28.79</b>	<b>43.78</b>		
LLaMA-2-13B	60.08	50.77	47.40	44.62	42.12	25.78	14.80	7.04	62.20	21.52	29.16	36.86		
+ INFO-RAG	<b>62.80</b>	<b>55.63</b>	<b>47.82</b>	<b>45.42</b>	<b>51.48</b>	<b>35.02</b>	<b>17.48</b>	<b>7.20</b>	<b>64.14</b>	<b>29.00</b>	<b>35.50</b>	<b>41.04</b>		
LLaMA-2-13B-chat	62.53	56.81	50.36	45.47	61.23	47.06	27.07	11.19	60.52	22.34	30.96	43.23		
+ INFO-RAG	<b>65.39</b>	<b>59.05</b>	<b>54.04</b>	<b>51.07</b>	<b>61.91</b>	<b>47.93</b>	<b>27.24</b>	<b>11.38</b>	<b>63.92</b>	<b>31.98</b>	<b>38.12</b>	<b>46.55</b>		

As an unsupervised training method, INFO-RAG can be applied to existing large models and further improve its ability to retrieve enhancements on various tasks

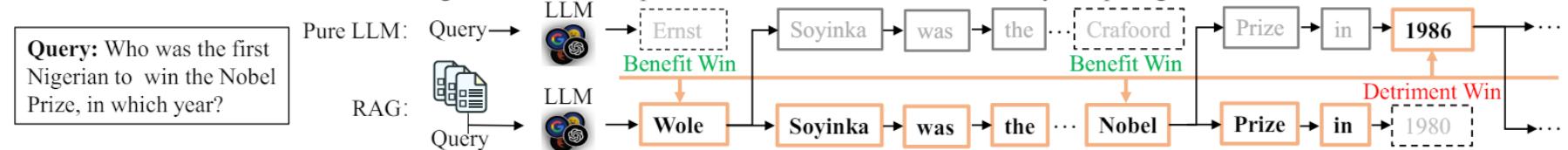
# Motivation: LLM maybe Already Know How to RAG

Most works on RAG are heuristically inspired and lack theoretical analysis explaining how RAG actually works

(a) Our Theoretical Results: Unveil benefit and detriment in RAG



(b) Our Practical Method: Collaborative generation between pure LLM and RAG at the token-level by comparing benefit and detriment.

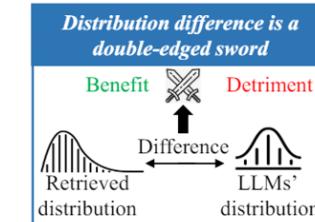


# TokRAG: Open the Blackbox of RAG

## 1. Distribution difference brings benefits and detriments in RAG

**Benefit:** The large model gives an incorrect answer, while RAG gives a correct one.

**Detriment:** The large model gives a correct answer, while RAG gives an incorrect one.



## 2. Theoretical basis: The text generation process of LLMs is an implicit latent variable inference (use to explain ICL (in-context learning))

$$p(x_i|R, x_{1:i-1}) = \int_{\mathcal{Z}} p(x_i|R, x_{1:i-1}, z)p(z|R, x_{1:i-1}) dz$$

## 3. RAG can be treated as an unsupervised version of ICL

$z^*$  is Retrieved Concept

$$= \int_{\mathcal{Z} - \{z^*\}} p(x_i|R, x_{1:i-1}, z)p(z|R, x_{1:i-1}) dz + p(x_i|R, x_{1:i-1}, z^*)p(z^*|R, x_{1:i-1}).$$

# TokRAG - Effect of RAG can be Predicted

1. The target can be decomposed into **benefit** and **detriment**

$$\underbrace{\text{KL}(p_R(r) \| p(r|z))}_{\text{benefit}} - \underbrace{\text{KL}(p_R(r) \| p(r|z^*))}_{\text{detriment}}$$

Diff. between retrieved texts and  
LLM generated retrieved texts

Diff. between retrieved texts and  
LLM generated texts condition on Retrieved Concept

2. Diff. between **benefit** and **detriment** is positively correlated with  
the similarity of representation

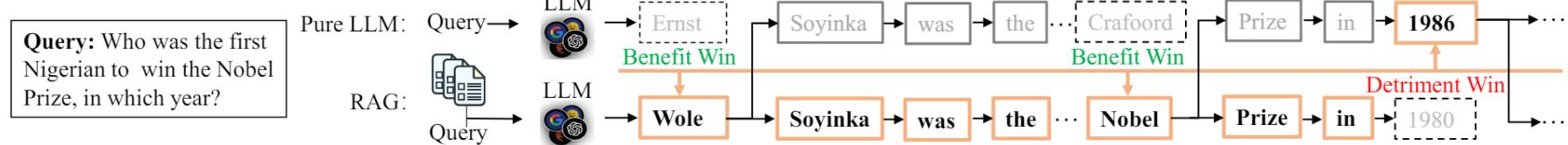
$$\underbrace{\text{KL}(p_R(r) \| p(r|z))}_{\text{benefit}} - \underbrace{\text{KL}(p_R(r) \| p(r|z^*))}_{\text{detriment}} \propto \frac{1}{\mathcal{D}}. \quad \mathcal{D} = \|p(x_i|R, x_{1:i-1}) - p_R(x_i|x_{1:i-1})\|_1$$

# TokRAG - Collaborative Generation

Principle to compare benefit and detriment in actual application

$$s = \begin{cases} \text{benefit win} & \text{if } \cos(\mathbf{w}_{RAG}, \mathbf{w}_{IR}) \geq \cos(\mathbf{w}_{RAG}, \mathbf{w}_{LLM}), \\ \text{detiment win} & \text{if } \cos(\mathbf{w}_{RAG}, \mathbf{w}_{IR}) < \cos(\mathbf{w}_{RAG}, \mathbf{w}_{LLM}), \end{cases}$$

(b) Our Practical Method: Collaborative generation between pure LLM and RAG at the token-level by comparing benefit and detriment.



We can judge the actual effect of RAG at the token level. In this way, the collaborative generation of LLM and RAG can be realized, so as to maximize benefits and avoid detriments as much as possible

# TokRAG - Experiments

Methods	Train LLM	Add Module	TriviaQA						WebQ						Squad					
			Ratio of Hard Negative Passages						Ratio of Hard Negative Passages						Ratio of Hard Negative Passages					
			100%	80%	60%	40%	20%	0%	100%	80%	60%	40%	20%	0%	100%	80%	60%	40%	20%	0%
Standard RAG	no ✓	no ✓	43.8	67.0	71.3	76.2	78.2	81.9	23.9	35.8	40.6	43.4	48.4	53.1	8.6	31.0	43.2	53.0	58.8	67.2
NLI+RAG	no ✓	need ✗	50.8	61.2	68.2	73.0	76.4	79.1	30.7	40.3	44.5	47.5	50.9	52.8	9.9	21.1	33.7	43.4	51.7	60.5
CRAG	no ✓	need ✗	48.2	68.3	72.5	76.7	81.5	82.2	25.6	37.4	41.9	46.2	51.5	54.9	7.4	28.7	39.6	50.7	53.2	61.1
RetRobust	need ✗	no ✓	49.2	67.3	72.9	77.5	79.4	82.3	30.0	38.9	42.5	48.2	49.8	54.3	10.5	30.8	43.3	52.5	58.4	66.0
Self-RAG	need ✗	no ✓	43.0	68.7	73.5	76.4	80.8	82.2	18.3	34.8	42.2	47.2	51.3	57.0	5.5	27.8	38.9	46.4	52.5	58.3
INFO-RAG	need ✗	no ✓	49.7	68.4	73.2	77.9	80.0	82.5	29.7	38.0	43.9	48.1	49.4	54.8	10.7	30.1	43.5	53.7	59.2	67.5
X-RAG (Ours)	no ✓	no ✓	<b>53.5</b>	<b>72.9</b>	<b>77.6</b>	<b>81.3</b>	<b>83.4</b>	<b>85.7</b>	<b>32.9</b>	<b>43.8</b>	<b>47.3</b>	<b>50.0</b>	<b>52.9</b>	<b>57.3</b>	<b>12.8</b>	<b>31.3</b>	<b>44.5</b>	<b>54.1</b>	<b>60.8</b>	<b>68.1</b>

In RAG of actual open-domain QA tasks, X-RAG can surpass mainstream robust RAG frameworks and training methods, such as RetRobust, Self-RAG, etc., without the need for additional modules or training LLM.



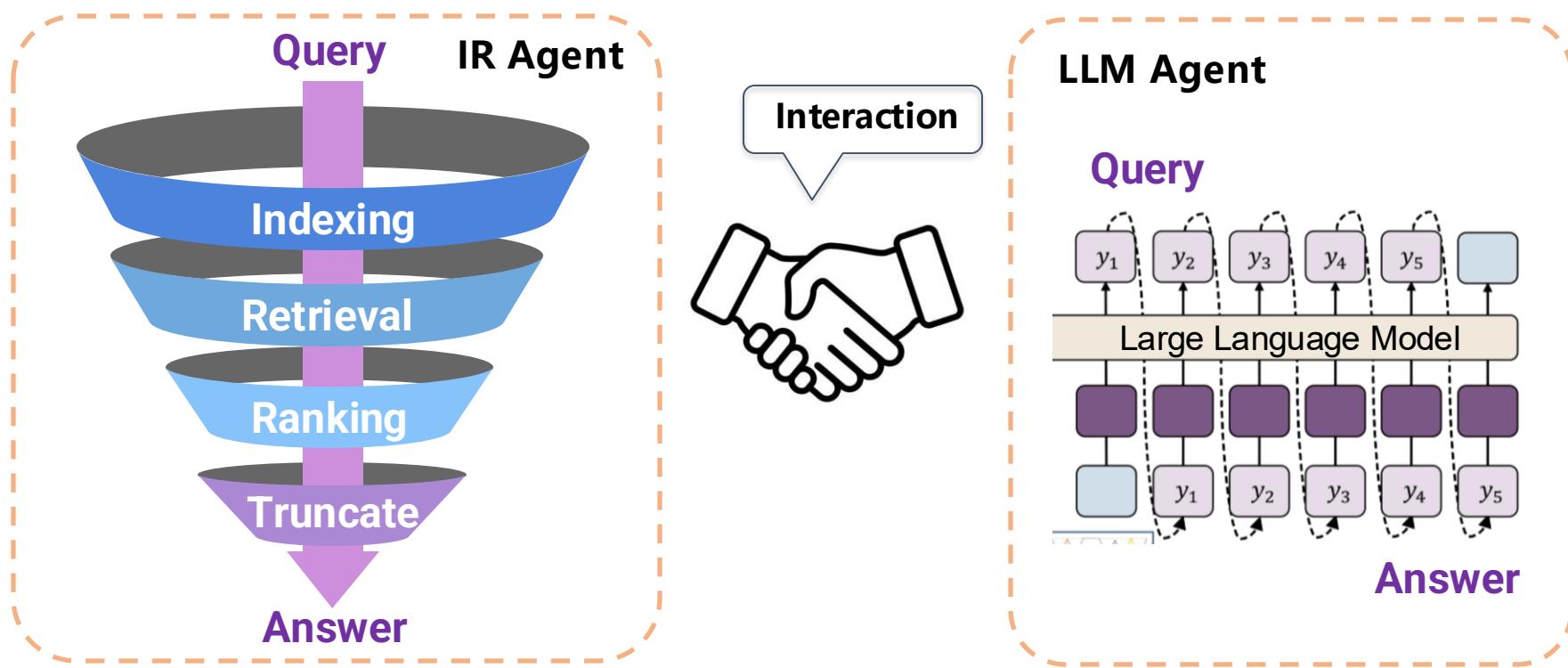
03

## Interaction View

@RAG

# Motivation: Treat IR and LLM Equally

How can large models and information retrieval interact efficiently to robustly solve complex problems?



# Motivation: Make IR and LLM Interactively

## Interaction Framework between IR and LLM:

① Tool Calling,

e.g., ToolFormer

② Complex Problem Decomposition,

e.g., Self-Ask, DSP

③ Agent-Based Planning,

e.g., ReAct

④ Information Correction,

e.g., Verify-and-Edit

### Self-Ask

GPT-3

Question: Who lived longer, Theodor Haeger or Harry Vaughan Watkins?

Are follow up questions needed here: Yes.

Follow up: How old was Theodor Haeger when he died?

Intermediate answer: Theodor Haeger was 65 years old when he died.

Follow up: How old was Harry Vaughan Watkins when he died?

Intermediate answer: Harry Vaughan Watkins was 69 years old when he died.

So the final answer is: Harry Vaughan Watkins

Question: Who was president of the U.S. when superconductivity was discovered?

Are follow up questions needed here: Yes.

Follow up: When was superconductivity discovered?

Intermediate answer: Superconductivity was discovered in 1911.

Follow up: Who was president of the U.S. in 1911?

Intermediate answer: William Howard Taft.

So the final answer is: William Howard Taft.



The New England Journal of Medicine is a registered trademark of [QA("Who is the publisher of The New England Journal of Medicine?") → Massachusetts Medical Society] the MMS.

Out of 1400 participants, 400 (or [Calculator(400 / 1400) → 0.29] 29%) passed the test.

(1d) ReAct (Reason + Act)

Thought 1: I need to search Apple Remote and find a program it was originally designed to interact with.  
Act 1: Search[Apple Remote]  
Obs 1: The Apple Remote is a remote control introduced in October 2005 by Apple ... originally designed to control Front Row media center program ...

Thought 2: Apple Remote was originally designed to control the Front Row media center program. I need to search for it next and find what other device can control it.  
Act 2: Search[Front Row]  
Obs 2: Could not find [Front Row]. Similar: [Front Row to Earth', 'Front Row Motorsports', 'Front Row (software)', ...]

Thought 3: Front Row is not found. I need to search for Front Row (software).  
Act 3: Search[Front Row (software)]  
Obs 3: Front Row is a discontinued media center software ...

Thought 4: Front Row (software) is controlled by an Apple Remote or the keyboard function keys. So the answer is keyboard function keys.  
Act 4: Finish[keyboard function keys]



The name derives from "la tortuga", the Spanish word for [MT("tortuga") → turtle] turtle.

The Brown Act is California's law [WikiSearch("Brown Act") → The Ralph M. Brown Act is an act of the California State Legislature that guarantees the public's right to attend and participate in meetings of local legislative bodies.] that requires legislative bodies, like city councils, to hold their meetings open to the public.

# ① Interaction Based on Tool Calling

## ToolFormer

Interaction  
Process

Tool Types

What other name is Pittsburgh known by?  
↓  
The Steel City

War memorial Flodden  
↓  
[...] was created in memory of the Battle of Flodden.

3435\*235/9  
↓  
89691.67

Thursday, March 10, 2019  
↓  
∅

Os Melhores Escolas em Jersey  
↓  
The Best Schools in Jersey

The New Engla

**Advantages:**

- ① Diverse tool types
- ② Easy to synthesize training data

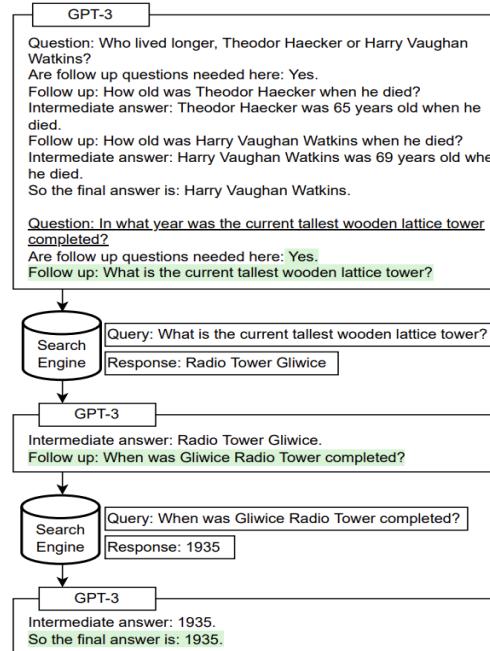
**Disadvantages:**

- ① Local Planning (interrupt the decoding process when "→" token)
- ② Predefined tool types
- ③ Without document content

## ② Interaction Based on Complex Problem Decomposition

### Self-Ask

Break the question into follow-up questions, which are easier to answer with LLM



### Advantages:

- ① Break a hard problem to some easy problems
- ② Easy to identify where to use IR

### Disadvantages:

- ① Local Planning (end of follow up question)
- ② Every sub-questions can be answered (**strong assumption**)
- ③ Without document content

# ③ Interaction Based on Agent-Based Planning

## ReAct

(1d) ReAct (Reason + Act)

**Thought 1:** I need to search Apple Remote and find the program it was originally designed to interact with.

**Act 1:** `Search[Apple Remote]`

**Obs 1:** The Apple Remote is a remote control introduced in October 2005 by Apple ... originally designed to control the `Front Row media center` program ...

**Thought 2:** Apple Remote was originally designed to control the Front Row media center program. I need to search `Front Row` next and find what other device can control it.

**Act 2:** `Search[Front Row]`

**Obs 2:** Could not find [Front Row]. Similar: ['Front Row Seat to Earth', 'Front Row Motorsports', 'Front Row (software)', ...]

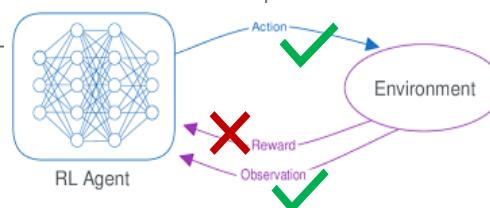
**Thought 3:** Front Row is not found. I need to search `Front Row (software)`.

**Act 3:** `Search[Front Row (software)]`

**Obs 3:** Front Row is a discontinued media center software ...

**Thought 4:** `Front Row (software)` is controlled by an Apple Remote or the keyboard function keys. So the answer is keyboard function keys.

**Act 4:** `Finish[keyboard function keys]`



## Advantages:

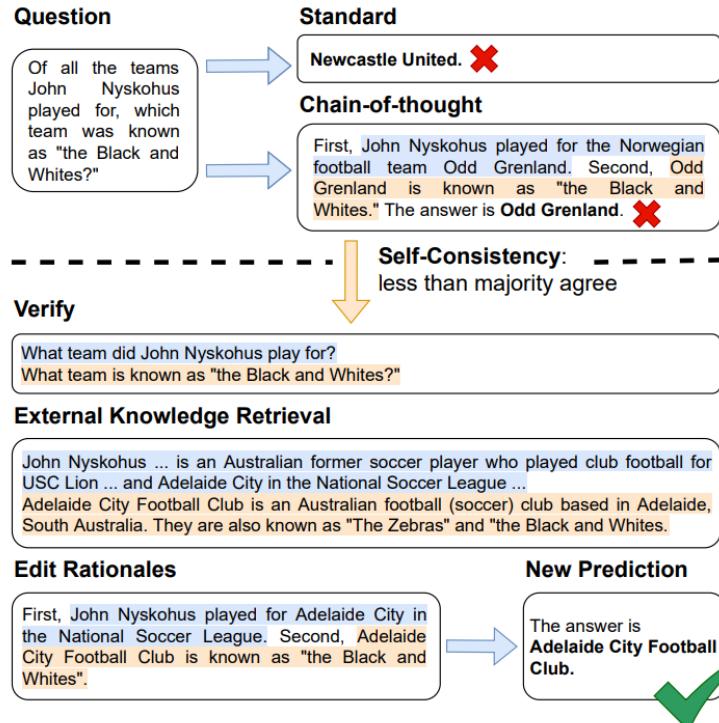
- ① The prototype of an agent, including elements: thought, action, and observation (document)

## Disadvantages:

- ① Local Planning (end of obs.)
- ② No reward signals

# ④ Interaction Based on Information Correction

## Verify-and-Edit



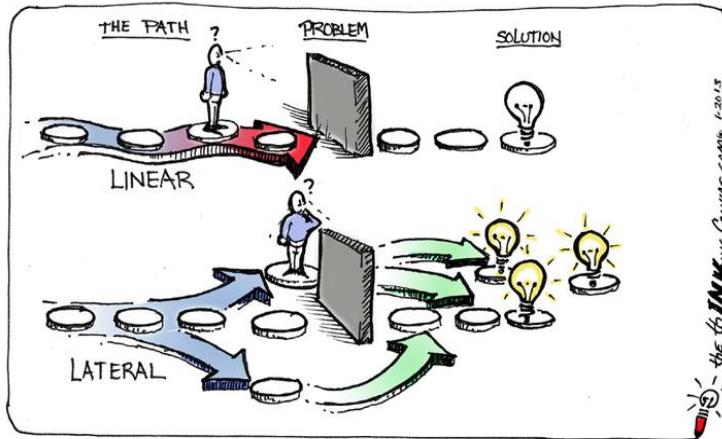
## Advantages:

- ① Global Planning (generate all reasoning in one round)
- ② Self consistency verify (reward)

## Disadvantages:

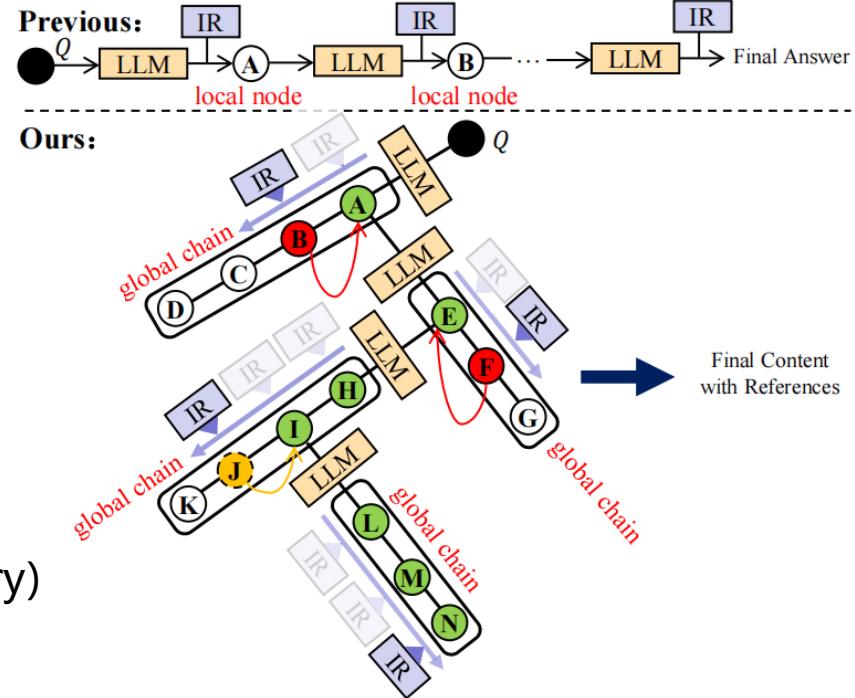
- ① Not fit agentic framework
- ② Process hard to trace (boundary of sub-question and reasoning block are blurred)

# SearChain: Tree-Structured Interaction Framework



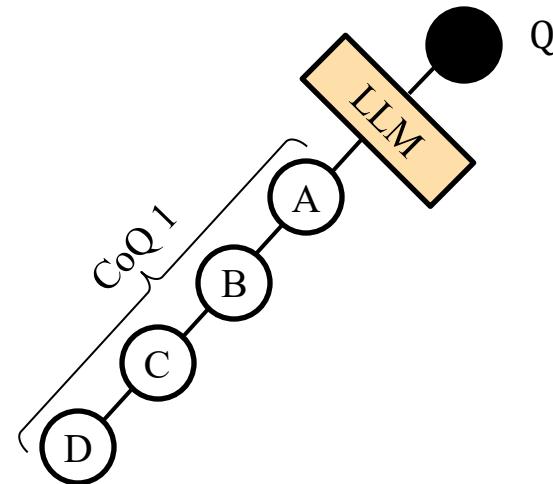
- **CoT vs. Agentic Framework**  
IR and LLM as two interacting agents
- **Local vs. Global Decomposition**  
Complete reasoning chain (chain-of-query)
- **Linear vs. Tree Reasoning**  
IR verify and correct reasoning direction

## SearChain



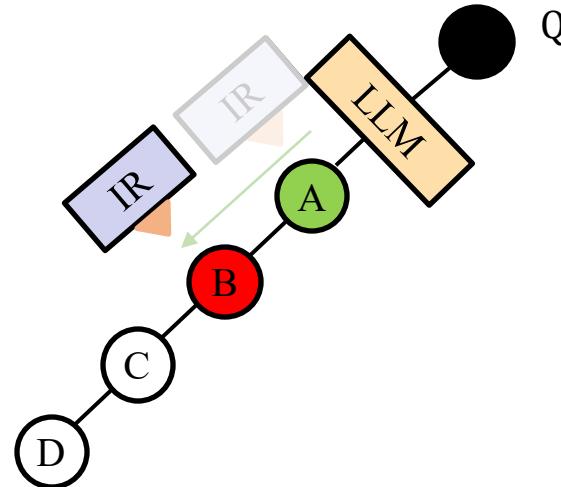
# SearChain - Method

## Step1: Generation Chain-of-Query (Global Decomposition)



# SearChain - Method

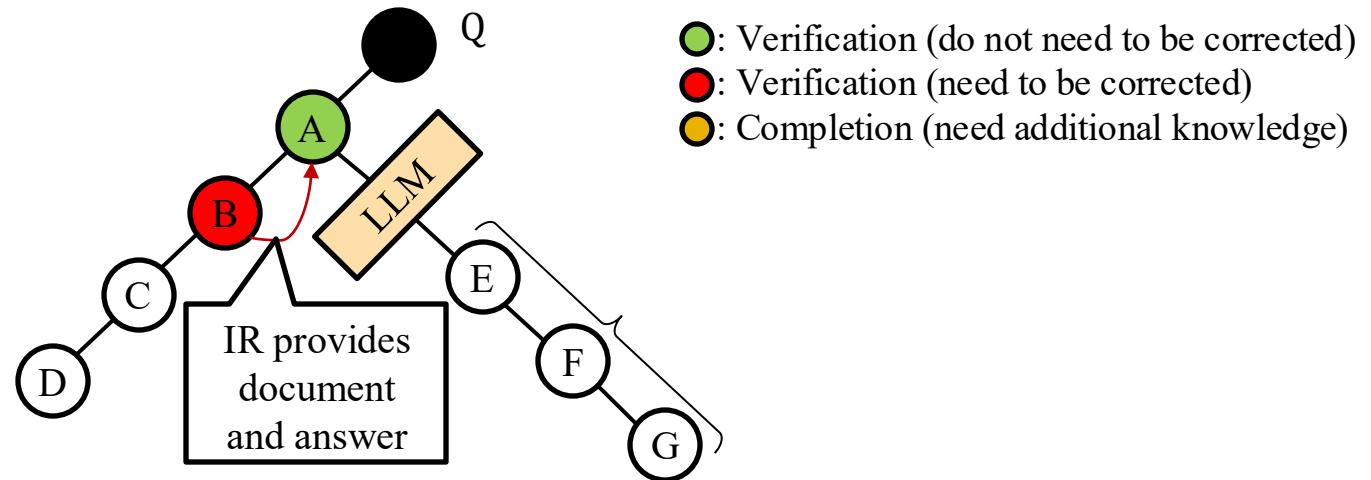
**Step2: IR module go though each sub-question node, verify or complete**



- : Verification (do not need to be corrected)
- : Verification (need to be corrected)
- : Completion (need additional knowledge)

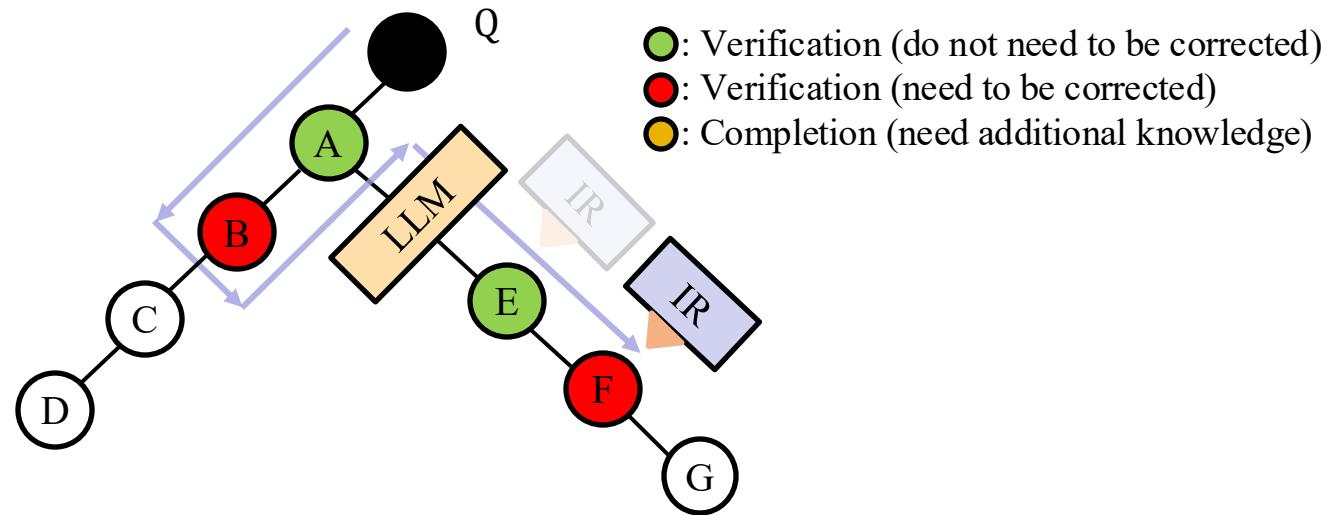
# SearChain - Method

**Step3: If Error occurs, go back to the previous node and generate CoQ again**



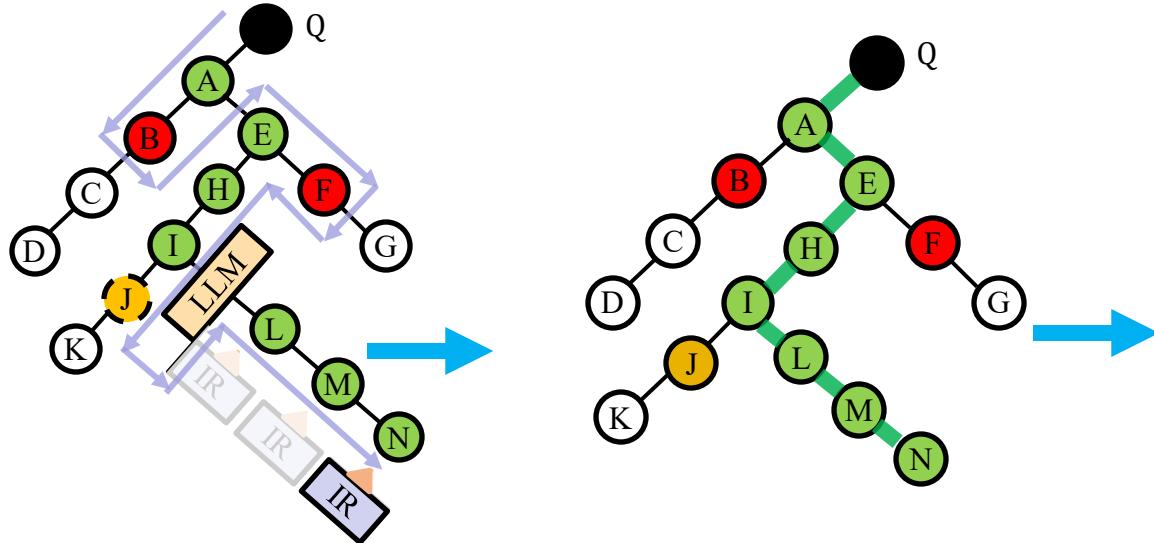
# SearChain - Method

**Step4: Repeat using IR module to go though the remained nodes**



# SearChain - Method

## Step5: Track back to get evidence-cited answer



- : Verification (do not need to be corrected)
- : Verification (need to be corrected)
- : Completion (need additional knowledge)

The performer of Spirit If... is Kevin Drew [1]. Kevin Drew was born in Toronto [2]. Greyhound buses in Toronto leave from Toronto Coach Terminal [3]. So the final answer is **Toronto Coach Terminal**. ✓

[1] Spirit If... is the debut solo album by **Kevin Drew**. It was released on September 18, 2007 ...

[2] Kevin Drew (born September 9, 1976 in **Toronto**) ..

[3] The **Toronto Coach Terminal** is the central bus station for inter-city services in Toronto, Ontario, Canada ... when it was leased out in its entirety to bus lines Coach Canada and Greyhound Canada ...

# SearChain - Experiment

## Performance on knowledge-intensive tasks

HoPo	Muti-Hop QA			Slot Filling		FC	LFQA
	MQ	WQA	SQA	zsRE	T-REx	FEV.	ELI5
Without Information Retrieval							
Direct Prompting	31.95	5.91	25.82	66.25	22.75	43.85	73.45
Auto-CoT	33.53	10.55	29.15	65.40	21.30	43.98	76.61
CoT	35.04	9.46	30.41	65.83	22.36	44.51	76.98
CoT-SC	36.85	10.02	32.68	70.84	24.74	46.06	77.15
Recite-and-answer	36.49	10.97	32.53	70.47	24.98	46.14	<b>77.35</b>
Self-Ask w/o IR	33.95	11.10	35.65	65.45	20.16	44.71	75.31
Least-to-Most	34.05	11.45	32.88	65.78	21.86	44.98	75.98
Plan-and-Solve	36.33	12.95	35.68	73.21	25.15	47.58	77.08
SearChain w/o IR	<b>38.36</b>	<b>13.61</b>	<b>40.49</b>	<b>75.62</b>	<b>30.14</b>	<b>52.69</b>	77.06
Interaction with Information Retrieval							
Direct Retrieval	34.09	10.22	30.01	66.78	52.29	59.28	78.25
ToolFormer	36.75	12.98	35.49	67.02	51.35	59.17	80.79
Self-Ask	40.05	14.28	39.58	67.65	50.51	59.12	79.41
Plan-and-Solve w/ IR	41.65	15.07	42.05	74.58	52.15	60.03	81.04
React → CoT-SC	43.15	15.49	40.36	70.43	53.27	60.42	80.59
Verify-and-Edit	44.03	15.57	40.83	71.09	53.95	61.10	80.67
Tree-of-Thought w/ IR	50.65	15.61	42.49	72.55	54.88	62.40	81.03
DSP	51.97	15.83	43.52	72.41	54.35	61.32	80.65
SearChain	<b>56.91</b>	<b>17.07</b>	<b>46.27</b>	<b>76.95</b>	<b>57.29</b>	<b>65.07</b>	<b>81.15</b>
- w/o Verification	46.11	14.70	42.67	75.98	43.58	55.46	78.79
- w/o Completion	53.05	15.86	43.64	76.53	45.78	56.03	80.03

1. In reasoning, outperforms CoT, Self-consistency and Plan-and-Solve
2. In the interaction with IR, outperforms React, Self-Ask and Tree-of-Thought

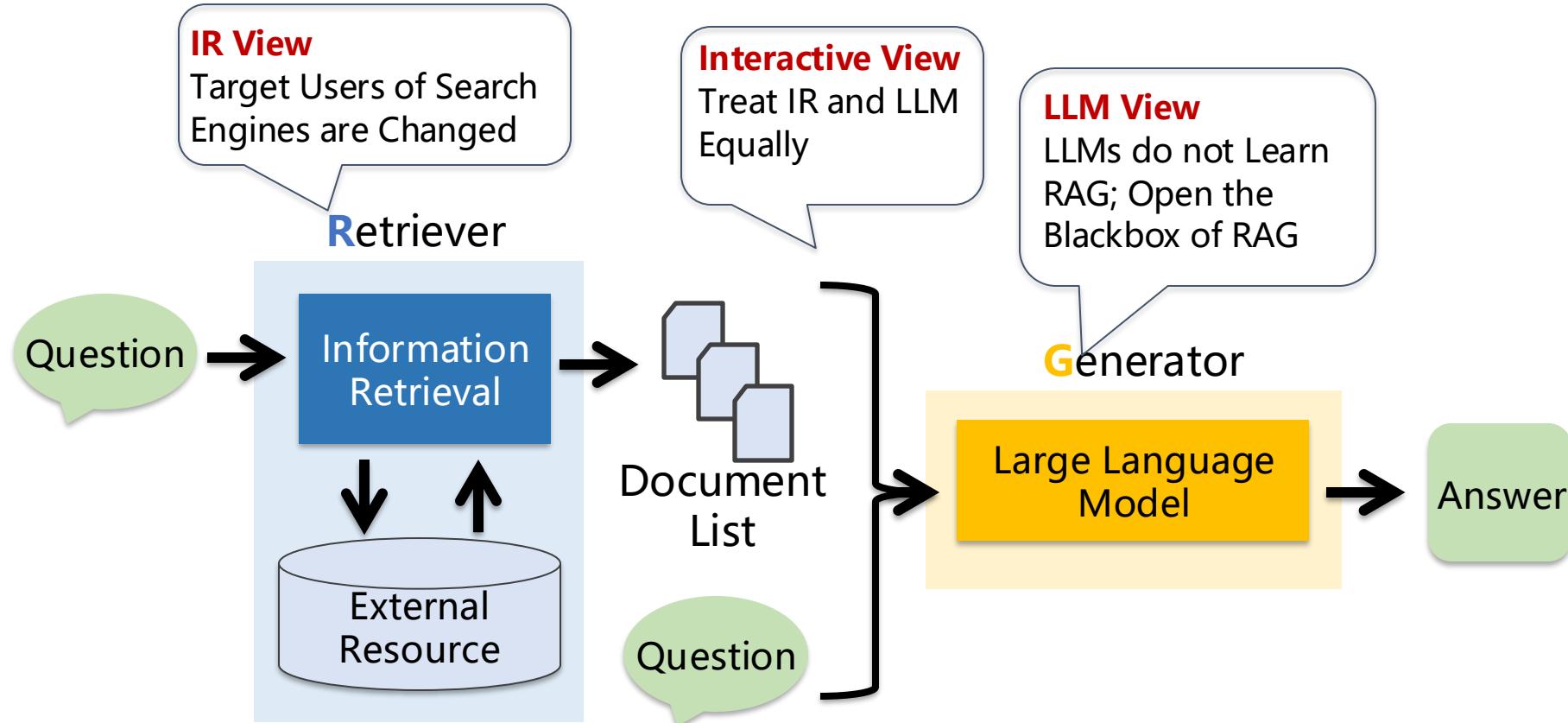
# SearChain - Experiment

## Better Tracing

What team did the recipient of the 2007 Brownlow Medal play for?	What kind of dinosaur does Raymond Ochoa voice in the Pixar film "The Good Dinosaur"?	In what London botanical garden can you find the fungus described by Elise Maud Wakefield as "Lepiota"?			
<b>SearChain</b> Jimmy Bartel was the recipient of the 2007 Brownlow Medal [1] and played Australian rules football professionally [2]. He played for the Geelong Football Club in the Australian Football League [2]. So the final answer is Geelong Football Club.  [1]: ... Jimmy Bartel won the medal during the 2007 AFL season ... [2]: ... Jimmy Bartel is a former Australian rules footballer plays for the Geelong Football Club ...	<b>New Bing</b> The recipient of the 2007 Brownlow Medal was Jimmy Bartel who played for the Geelong Football Club. He won the medal by polling twenty-nine votes during the 2007 AFL season [1]. Is there anything else you would like to know about this topic?  [1]: ... Jimmy Bartel won the medal by polling twenty-nine votes during the 2007 AFL season...	<b>SearChain</b> Raymond Ochoa is an American child actor and voice actor [1]. He has played various roles in movies including Arlo in "The Good Dinosaur" [2]. Arlo is an Apatosaurus [3]. So the final answer is Apatosaurus.  [1]: Raymond Ochoa is an American child actor and voice actor ... [2]: Raymond Ochoa ... played, Arlo, in the Pixar film "The Good Dinosaur" ... [3] ... timid Apatosaurus named Arlo (Ochoa) ...	<b>New Bing</b> Raymond Ochoa voices the character of Arlo, an Apatosaurus in the Pixar film "The Good Dinosaur" [1].  [1]: (Amazon.com: The Good Dinosaur : Raymond Ochoa)	<b>SearChain</b> Elise Maud Wakefield was an English mycologist and plant pathologist [1]. "Lepiota" is a genus of fungi [2]. Kew Gardens is known for its fungi collection [3], such as "Lepiota viridigleba" [4]. So the final answer is Kew Gardens.  [1]: ... Elsie Maud Wakefield, was an English mycologist and plant pathologist... [2]: ... Lepiota viridigleba is a species of seq-uestrate fungus in the family Agaricaceae ... [3] ... Kew Gardens is a botanical garden in southwest London that houses the "largest and most diverse botanical and mycological collections in the world" ... [4] ... The collection of fungi at Kew Gardens includes species such as ... "Lepiota viridigleba" ...	<b>New Bing</b> I'm sorry, but I couldn't find any information about a fungus described by Elsie Maud Wakefield as "Lepiota" in a London botanical garden. I did find that Elsie Maud Wakefield was a mycologist at the Royal Botanic Gardens, Kew from 1910 to 1951 and was a specialist in Basidiomycetes and an international authority on Aphyllophorales [1,2].  [1]: ... Elsie Maud Wakefield, was an English mycologist and plant pathologist... [2]: ... Elsie Wakefield was a specialist in Basidiomycetes and an international authority on Aphyllophorales ...

Compared with New Bing, SearChain can trace the source of more fine-grained knowledge, and the traceable marking position is more accurate

# Conclusion



Three views of RAG approaches