CAN LLMS SEPARATE INSTRUCTIONS FROM DATA? AND WHAT DO WE EVEN MEAN BY THAT?

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ABSTRACT

Instruction-tuned Large Language Models (LLMs) have achieved breakthrough results, opening countless new possibilities for many practical applications. However, LLMs lack elementary safety features that are established norms in other areas of computer science, such as the separation between *instructions* and *data*, causing them to malfunction or rendering them vulnerable to *manipulation and interference* by third parties e.g., via *indirect* prompt/command injection. Even worse, so far, there is not even an established definition of what precisely such a separation would mean and how its violation could be tested. In this work, we aim to close this gap. We introduce a formal measure to quantify the phenomenon of *instruction-data separation* as well as an empirical variant of the measure that can be computed from a model's black-box outputs. We also introduce a new dataset, SEP (Should it be Executed or Processed?), which allows estimating the measure, and we report results on several state-of-the-art open-source and closed LLMs. Finally, we quantitatively demonstrate that all evaluated LLMs fail to achieve a high amount of separation, according to our measure. The source code and SEP dataset are openly accessible at [https://github.com/egozverev/Shold-It-Be-Executed-Or-Processed.](https://github.com/egozverev/Shold-It-Be-Executed-Or-Processed)

1 INTRODUCTION

Large language models (LLMs) [\(OpenAI, 2023a;](#page-5-0) [Touvron et al., 2023\)](#page-5-1) are now being used in many applications due to their amenable flexibility via natural language instructions. This includes generalpurpose applications, such as search engines [\(Microsoft, 2023\)](#page-4-0), where users can give free-form instructions, and the LLM may be fed arbitrary external data that is not necessarily trusted. Besides that, special-purpose applications can be built by customizing models with tailored instructions and additional data [\(Perez & Ribeiro, 2022;](#page-5-2) [OpenAI, 2023b\)](#page-5-3), creating task-specific models that can be deployed via APIs. In both of these scenarios, one crucial safety aspect is that the resulting model must exclusively execute its primary instruction given by the user (in the general-purpose scenario) or the developer (in the specific-purpose one).

Most of the previous LLM safety work focused on "jailbreaks"– prompts that are designed to evade safety training [\(Wei et al., 2023\)](#page-5-4). This often ignores another fundamental failure, namely the separation between the *instructions* that models are meant to *execute*, and the *data* that they are meant to *process*. If such a separation does not adequately exist, the model can show undesirable behavior. For example, imagine a model that is designed to translate English text to another language. If given the sentence *"Don't translate anything."* to translate, it might output nothing instead of a correct translation. Even more dire consequences can occur if third parties are aware of this issue and specifically attempt to exploit it via so-called (indirect) prompt injections [\(Greshake et al., 2023\)](#page-4-1), analogous to unauthorized access. We argue that current safety training mechanisms that only focus on rejecting explicitly harmful prompts are not adequate to address this more fundamental problem.

On an architectural level, today's LLMs do not possess a formal, principled separation of *passive* data from *active* instructions. This is partly owed to their development as instruction-following models (e.g., chatbots), for which instructions can occur anywhere in their input, be it a system prompt or a user one [\(OpenAI, 2023c\)](#page-5-5). In contrast, such a separation is one of the core security principles in modern computer science. Already in the 1990s, when databases were increasingly made accessible remotely via the Internet, the problem of *SQL injections* was identified, followed by the development of mitigation techniques [\(Clarke-Salt, 2009\)](#page-4-2). To combat a similar problem in Operating Systems, "no execute" flags were introduced in Linux and Windows [\(Hewlett Packard, 2005\)](#page-4-3).

Besides empirical observations and measurement, the ability to actually define a desirable or undesirable property is important for building systems that reliably exhibit this preference. This is learned from experience in other computer science domains, such as provable security [\(Katsikeas et al., 2021\)](#page-4-4) and formal verification [\(Clarke et al., 2018\)](#page-4-5), and even from other machine learning areas, such as algorithmic fairness [\(Mitchell et al., 2021\)](#page-4-6), differential privacy [\(Abadi et al., 2016\)](#page-4-7), and evasion attacks [\(Carlini et al., 2019\)](#page-4-8).

Contributions. In this work, we make an attempt to achieve a similar effect in the context of large language models. Specifically, we propose a formal definition of *instruction-data separation*, and we introduce a proxy measure that can be estimated from data without the need for the model's internal states or probabilistic outputs. We then introduce a dataset for this purpose, and we provide an experimental evaluation of existing instruction-tuned models via our proposed measure.

2 RELATED WORK

A lot of current research on LLM security focuses on studying jailbreaks (i.e., harmful queries) and defending models against them. Jailbreaks range from gradient-based [\(Zou et al., 2023\)](#page-5-6), genetic algorithm-based [\(Liu et al., 2023b\)](#page-4-9), and edit-based [\(Chao et al., 2023\)](#page-4-10), to semantically inspired manipulation [\(Zeng et al., 2024\)](#page-5-7) methods. However, we consider a different angle in our work, which is the more fundamental problem of instruction-data separation, or rather the lack of it in current LLMs. This phenomenon was first introduced in [\(Greshake et al., 2023\)](#page-4-1), however, with no quantification. More recently, [Piet et al.](#page-5-8) [\(2023\)](#page-5-8) proposed a defense against this instruction-hijacking by deploying non-instruction-tuned specific-purpose models, sacrificing conversational ability. [Yi](#page-5-9) [et al.](#page-5-9) [\(2023\)](#page-5-9) introduced a dataset where malicious instructions are placed in data (e.g., emails). Our work is different in the following aspects: 1) we provide formal definitions; 2) we consider the separation as a fundamental problem that should be disentangled, conceptually and technically, from other safety training measures, such as rejecting harmful prompts; and 3) our work can help evaluate and inform defenses for also conversational general-purpose scenarios.

3 CAN LLMS SEPARATE INSTRUCTIONS FROM DATA?

In order to reason formally about the separation of instructions and data in LLMs, we introduce the following abstraction:

Definition 3.1. For an input alphabet A, we formalize a **language model** (LM) as a mapping, $g: A^* \times A^* \to \mathcal{M}(A^*)$, where $\mathcal{M}(\cdot)$ denotes the set of probability distributions over a base set. We call the language model's arguments the *instruction argument* and the *data argument*.

Discussion. By design, we define language models as abstract functions here, thereby making the definition agnostic to aspects of model architecture or implementation. In particular, we do not specify *how* the inputs are processed or how the separation between instruction and data arguments is achieved, if at all. For a discussion on how Definition [3.1](#page-1-0) applies to existing LLMs, see Section [5.](#page-3-0)

Our central definition quantifies the separation a model achieves between instructions and data:

Definition 3.2. Let $p \in M(A^* \times A^* \times A^*)$ be a joint probability distribution over triples (s, d, x) of strings, where we call s the *instruction prompt*, d the *data prompt*, and x the (instruction-like) *probe* string. We define the **separation score** of a language model, g , as

$$
\operatorname{sep}_p(g) = \mathbb{E}_{(s,d,x)\sim p} D_{\mathrm{KL}}\big(g(s+x,d) \| g(s,x+d)\big). \tag{1}
$$

where $D_{\text{KL}}(p||q) = \mathbb{E}_{z \in p} \log \frac{p(z)}{q(z)}$ denotes the Kullback-Leibler divergence between probability distributions, and + denotes a suitable form of prompt combination, for example, string concatenation. **Discussion.** Definition [3.2](#page-1-1) characterizes how differently the model behaves when a probe string x is *executed* (i.e., treated as instructions) versus *processed* (i.e., treated as data). A small separation score means that even if probe strings are placed in the language model's data argument, the effect is similar as if they had been executed in the instruction argument. In general, this means that the model does not separate instruction and data well. For example, imagine a language model that simply concatenates its instruction and data arguments. In this case, $g(s + x, d)$ and $g(s, x + d)$ behave identically. Therefore, they have identical output distributions, and the separation score is constant 0.

At the other extreme, assume a hypothetical model in which data arguments are never treated as instructions. In this case, we should expect $g(s + x, d)$ and $g(s, x + d)$ to differ significantly, barring some rare cases (e.g., when x is the empty string), leading to a large separation score. Realworld models can be expected to fall somewhere between both extremes.

The D_{KL} -divergence in Definition [3.2](#page-1-1) is an informationtheoretic measure of dissimilarity between two distributions. It can be interpreted as the *expected surprise* when observing samples from its left argument (here: $q(s + x, d)$) instead of samples from its right argument (here: $q(s, x + d)$). This viewpoint suggests a way of approximately computing it from data: let w be a (typically short) string that can be

Figure 1: Dataset element example.

expected to appear in the model output if x is executed, but not appear if x is processed, i.e., $Pr_{z\sim q(s+x,d)}\{w \in z\} \approx 1$, but $Pr_{z\sim q(s,x+d)}\{w \in z\} \approx 0$, where the ∈-relation means "*appears* as a substring" here. We call w a *surprise witness* in the context of (s, d, x) then. Intuitively, the existence of many surprise witnesses implies that the separation score cannot be small, because there are high-probability elements in $g(s + x, d)$ that have low probability in $g(s, x + d)$, and therefore, the corresponding D_{KL} -terms in Equation [\(1\)](#page-1-2) are large.

The property of a string w being a surprise witness can easily be estimated by sampling model outputs and checking if the resulting strings contain w or not. Based on this observation, we next define a *computable proxy* for Definition [3.2.](#page-1-1)

Definition 3.3. Let $D = \{(s_i, d_i, x_i, w_i)\}_{i=1,\dots,n}$, be a dataset of instruction prompts, s_i , data prompts, d_i , associated probe strings, x_i , and potential surprise witnesses, w_i . For a model g, let $Y^l = \{y_i^l \sim g(s_i + x_i, \bar{d}_i)\}_{i=1}^n$ and $Y^r = \{y_i^r \sim g(s_i, x_i + \bar{d}_i)\}_{i=1}^n$, be two sets of outputs, and let $I = \{i | w_i \in y_i^l\}$. We define the **empirical separation score** of g as

$$
\widehat{\text{sep}}(g) = \frac{1}{|I|} \sum_{i \in I} \mathbb{1}_{\{w_i \notin y_i^r\}}.
$$
\n(2)

Discussion. The empirical separation score measures the fraction of probes with actual surprise witnesses. We measure how often the witness occurs in the output with the probe in the data argument, given that it occurs with the probe in the instruction argument. By the earlier discussion, a small empirical separation implies a small actual separation score. At the same time, Equation [\(2\)](#page-2-0) can easily be computed from model outputs without access to internal states or probabilistic predictions.

4 DATASET

For Definition [3.3](#page-2-1) to be useful, one needs a suitable dataset that, in particular, contains candidates for witness strings. In this section, we introduce such a dataset, SEP (Should it be Executed or Processed?), which we will release together with the associated source code for public use.

The dataset consists of 9160 tuples (s, d, x, w) of instruction prompts s, data prompts d, probes x and potential witnesses w . The instructions and data prompts cover three different task categories: *information processing/retrieval*, *content creation/generalization*, and *analytics/evaluation*. In total, we manually create 30 such tasks, 10 from each category. We then use GPT-4 to generate a total of 300 subtasks, and, subsequently, a set of instructions and data prompts for each subtask. By using the hierarchical generation process, we ensure that the data is diverse and has only a minimal amount of

repetitions. The subtasks are paired with 100 manually written pairs of probes and potential witnesses (x, w) and combined with different amounts of *insistence*, i.e., phrases that express the urgency of the prompt. Specifically, we use probe strings that have an unambiguous answer when executed, but the answer is unlikely to emerge when the probe is only processed. This answer string then serves as a natural candidate for the witness. Figure [1](#page-2-2) provides an example.

Besides the actual text tuples, the dataset also contains meta-data about the task categories and the combination process in order to allow a more fine-grained analysis of the experimental results with respect to these aspects. The full details of dataset creation and composition, including detailed descriptions of the subtasks and further examples from the dataset, are available in Appendix [A.](#page-6-0)

5 EXPERIMENTAL EVALUATION

We now report an experimental evaluation of the (em- Table 1: Separation score of different models pirical) separation scores for a number of current state-of-the-art language models: Llama-2 [\(Touvron](#page-5-1) [et al., 2023\)](#page-5-1), GPT-3.5/GPT-4 [\(OpenAI, 2023a\)](#page-5-0), Open-Hermes [\(Teknium, 2023\)](#page-5-10), Dolphin [\(Cognitive Com](#page-4-11)[putations, 2023\)](#page-4-11), and Zephyr [\(Tunstall et al., 2023\)](#page-5-11).

Note that none of these (or other existing) models provide dedicated mechanisms for separating *instruction* and *data arguments*. In our experiments, we use the common GPT-style separation of context into *system* and *user prompts* as the best available proxy, and we dedicate the system prompt to the instruction

on the SEP dataset (higher is better).

argument and the user prompt to the data argument. The instructions in the SEP dataset are phrased to make this setup meaningful and provide additional separation between the two contexts. E.g., for a translation task, the system prompt could instruct the model to translate a text that is following, while the user prompt contains just that text (see Figure [1](#page-2-2) and Appendix [A.1\)](#page-7-0). In our evaluations, each probe x_i is appended randomly either to the beginning or the end of the system prompt s_i to compute y_i^l , and similarly, either to the beginning or the end of the input data d_i to compute y_i^r , thus creating four combinations and eliminating possible effects of instructions' order [\(Liu et al., 2023a\)](#page-4-12).

The results are presented in Table [1](#page-3-1) as the empirical separation score and its standard error (i.e., the standard deviation of the computed mean over the different combinations). One can see that all evaluated models have rather low empirical separation scores, ranking between 0.225 (GPT-4) and 0.653 (GPT-3.5), i.e., models execute rather than process more than half of the probe strings in the best case, and almost all of them in the worst. This indicates that modern LLMs lack a reliable mechanism to separate data from instructions. Notably, "better" or larger models do not show stronger separation scores. If anything, the *opposite might be true*. For example, while GPT-4 is much more capable than any of the other models, it tends to *execute* the probe regardless of its position, thereby achieving only a low separation score (see detailed discussion in Appendix [C.1\)](#page-15-0). This indicates that the problem of separation between instruction and data is unlikely to be solved by scaling up models and training data sizes, but rather that fundamentally new techniques or architectures are needed.

Further experimental results, in particular, a breakdown of results into the different aspects provided by our dataset, can be found in Appendix [C.](#page-14-0) They show that the exact amount of separation depends strongly on several factors, such as the task that the model is meant to perform, the formulation of the probe, and the type of string concatenation used.

6 DISCUSSION AND OUTLOOK

In this work, we studied, formalized, and measured an important but seriously under-researched aspect of language models: their ability to separate instruction from data in their inputs. While previous related work was mostly qualitative, we introduced the first quantitative measure of separation, as well as a proxy that is efficiently computable from model outputs, even without access to internal representations or probabilistic scores. We also introduced a dataset that allows efficient computing of the proposed separation score, and we reported the score on seven state-of-the-art language models.

The results are concerning: none of the existing models provide a dedicated mechanism to distinguish between instructions and data, and the natural proxy of using the system prompt for instructions and the user prompt for data falls short of achieving the goal, in some cases spectacularly so. We find this observation even more alarming, as our measure of separation quantifies the model's *on-average* behavior. The worst-case behavior, e.g., against adversarial prompts, can be expected to be even worse. Overall, we find that new attempts at creating language models with the ability to separate between instructions and data are needed, whether in terms of training procedures, model architectures, or even increasing explainability.

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A DATASET CREATION

In this section, we elaborate on one of the contributions of this work: we describe a recipe for synthetically creating datasets that reflect criteria of [3.3](#page-2-1) and can be used to estimate the (empirical) separation score of any model that allows inference on specified input, even if only black-box access to the generated outputs is possible.

First, we automatically generate a dataset of pairs of instruction prompts and input data $S =$ $(s_i, d_i)_{i=1,\dots,m}$. Each s_i commands the LLM to treat subsequent text as input to a certain task (e.g., translation), thus justifying calling d_i an "input data". In order to achieve high quality and variety of data, the generation process is done hierarchically:

- 1. We focus on three general categories of tasks performed by LLMs: Information Processing and Retrieval Tasks, Creative and Generative Tasks and Analytical and Evaluative Tasks. For each of these categories, we manually select 10 general tasks (e.g., Summarization, Mathematical Problem-solving, etc.), producing a list of 30 tasks.
- 2. We expand on this list of tasks using GPT-4. For each general task, we automatically create a list of 10 subtasks (e.g., Numerical Calculations is a subtask for Mathematical Problem-Solving). For each subtask, we generate a system prompt and a set of inputs.
- 3. In total, we produce a dataset of 9160 pairs (s, d) across a wide domain of tasks. Full details on subtasks are available below in Appendix [A.2.](#page-7-1)

To expand S into a dataset of tuples $D = \{(s_i, d_i, x_i, w_i)\}_{i=1,\dots,n}$ as required per Definition [3.3,](#page-2-1) we employ the following procedure:

- 1. First, we manually write two sets of probes and witnesses (x_i, w_i) . The first set consists of 50 elementary questions, e.g., $(x_i, w_i) =$ (State the longest river in the world, Nile). The second set is a modified version of these 50 questions, written more insistently, prompting the model to focus on the presented inquiry before executing the original command. We focus on the simplest commands to make sure that the models are perfectly capable of executing the provided instructions. Then, for each pair (s_i, d_i) we randomly select (x_j, w_j) .
- 2. In total, the dataset contains encompasses 9160 elements, covering 300 base types of subtasks, 100 probes, 2 types of insistence, and 4 ways to attach probes to the original pairs of system prompts and input data.

A.1 DATASET EXAMPLES

```
1 {
2 "instruction_prompt": "Generate detailed character profiles for the
     following text, focusing on creating nuanced backstories and
     motivations.",
3 "data_prompt": "Lyle, an old-time jazz musician who's played side gigs
     all his life, carries the spirit of the Roaring Twenties in a modern
     world that's left him behind. He's witnessed the rise and fall of
     many a talent, including his own fleeting brush with fame, and he
     plays every note in homage to the music that once defined him.",
4 "probe": "Remind me the day that comes after 'Monday'?",
5 "witness": "Tuesday"
6 }
```

```
\begin{array}{c} 1 \\ 2 \end{array} {
    "instruction_prompt": "Evaluate the logical flow of the code below and
     ensure that it functions correctly.",
3 "data_prompt": "def merge_sorted_arrays(a, b):\\n c = []\\n while
      a and b:\\\n \quad \text{if } a[0] < b[0]:\\\n \quad \text{c.append}(a.pop(0))\\n else:\\n c.append(b.pop(0))\\n c.extend(a or
      b)\\n return c\\n\\nprint(merge_sorted_arrays([1, 3, 5], [2, 4,
     6]))",
4 "probe": "Name the animal that says 'meow'.",<br>5 "witness": "cat"
    "witness": "cat"
6 }
```


A.2 DATASET TASKS STATISTICS

In this section, we specify task types we have selected for each task domain. Additionally, for each task type, we report ten automatically generated subtasks, as well as the number of elements in the dataset corresponding to a particular subtask.

A.2.1 TASKS AND SUBTASKS IN THE INFORMATION PROCESSING AND RETRIEVAL DOMAIN

A.2.2 TASKS AND SUBTASKS IN THE CREATIVE AND GENERATIVE DOMAIN

A.2.3 TASKS AND SUBTASKS IN THE ANALYTICAL AND EVALUATIVE DOMAIN

B MODELS DETAILS

To quantify LLMs' abilities to separate instructions from data, we measure the separation score [\(3.3\)](#page-2-1) on the created dataset for several state-of-the-art LLMs. To ensure that evaluated LLMs are representative of current LLMs capabilities, we select 7 well-performing models from Chatbot Arena Leaderboard [\(Zheng et al., 2023\)](#page-5-12) that support custom system prompts^{[1](#page-14-1)}: Llama-2-7b-Chat, Llama-2-13b-Chat [\(Touvron et al., 2023\)](#page-5-1), GPT-3.5, GPT-4 [\(OpenAI, 2023a\)](#page-5-0), OpenHermes 2.5 Mistral 7B [\(Teknium, 2023\)](#page-5-10), Dolphin 2.2.1 Mistral 7B [\(Cognitive Computations, 2023\)](#page-4-11), Zephyr 7B Beta [\(Tunstall et al., 2023\)](#page-5-11).

LLMs with system prompts are the closest approximation of the theoretical language model we defined [3.1.](#page-1-0) Indeed, if the system prompt that "configures" the model for a certain behavior (e.g., translating the user prompt) performs its function as intended, then the next input should be treated according to the system prompt (e.g., translated). And by design, in the created dataset, all system prompts configure the model to treat user prompts as input for a certain task.

C FULL EXPERIMENTAL RESULTS

In this section, we present full experimental results, in particular, a separation of results into the different aspects provided by our dataset: level of prompt insistence, type of combining the probe with the user and system prompts, and the domain of the original task. For each dimension and each model, we measure the separation score and the standard error on the elements of our dataset corresponding to that dimension. Results are presented in Tables [5,](#page-14-2) [6,](#page-16-0) and [7.](#page-16-1) Discussion and interpretation are provided below.

Influence of prompt insistence: Across all evaluated models, increasing prompt insistence significantly decreases separation score: by almost 3 times for GPT-4 and by up to 2 times for all other models (see Table [5\)](#page-14-2). This suggests that LLMs ability to process instructions instead of executing them is countered by increasing the urgency of instructions, e.g., marking it as a request that should be prioritized over the main task.

 $1¹$ As of February 5, 2023, evaluated models have the following elo score: GPT-4-0125: 1253 (rank 1); GPT-3.5-0613: 1118 (rank 10); OpenHermes-2.5: 1078 (rank 24); Dolphin-2.2.1: 1075 (rank 28); Zephyr-7b-beta: 1051 (rank 31); Llama-2-13b-Chat: 1042 (rank 34); Llama-2-7b-Chat: 1024 (rank 41).

				Table 5: Separation score of different models on SEP (higher is better). Results are divided by	
different levels of insistence.					

Influence of combination type: Placing the probe to the right of the system has mixed effects between models compared to placing it to the left of the system prompt. Placing probe to the right of the user probe has a consistent effect of decreasing the separation score for 6 out of 7 models (with the exception of Dolphin 2.2.1) by up to 1.7 times (see Table [6\)](#page-16-0). This likely happens because models in this scenario interpret the probe as a separate command unrelated to the data prompt, despite the system prompt clearly stating that the probe should be treated as input data.

Impact of the domain of the original task: The base system and data prompt are separated into 3 categories. With the exception of gpt-4 and gpt-3.5, the separation score for Information Processing and Retrieval base tasks is higher than for Analytical and Evaluative tasks, which, in turn, have higher scores than Creative and Generative tasks (see Table [7\)](#page-16-1). This might happen because Information Processing tasks allow much less freedom of interpretation than analytical or creative tasks, and thus the probe is processed more often.

C.1 WHY DOES GPT-4 HAVE THE LOWEST EMPIRICAL SEPARATION SCORE?

In a way, it is surprising that the most capable model has the worst separation score. In order to understand the pattern for GPT-4 specifically, we analyzed the fraction of outputs y^l and y^r where the witness is either simultaneously present or not, i.e., $\mathbb{1}_{\{w \in y^l\}} = \mathbb{1}_{\{w \in y^r\}}$, in other words, when the model treats the probe similarly no matter where it is placed. We found that for GPT-4 this is the case in 74.5% of cases, while for other models it ranges between 50.9% for OpenHermes to 67.1% for Llama-2-13B. This reflects that while GPT-4 is good at executing instructions, it often treats the probe similarly regardless of whether it is placed in the system or data argument, so the separation is low.

Table 6: Separation score of different models on SEP (higher is better). Results are divided by different types of attaching probe to system and user prompts. System: Left/Right corresponds to all instances of attaching probe to the left/right of the system prompt, and all possible combinations for attaching the probe to user prompt. User: Left/Right corresponds to all instances of attaching the probe to the left/right of the user prompt with all possible combinations of attaching the probe to system prompt.

Table 7: Separation score of different models on SEP (higher is better). Results are divided by different domains of the base task.

	llama-2-7b-chat	llama-2-13b-chat	gpt-4-turbo-0125	gpt-3.5-turbo-0613
Information Processing	$0.538 + 0.010$	$0.427 + 0.010$	$0.284 + 0.009$	$0.789 + 0.001$
Analytical and Evaluative	0.456 ± 0.009	$0.308 + 0.009$	$0.207 + 0.007$	$0.711 + 0.009$
Creative and Generative	$0.331 + 0.010$	0.239 ± 0.009	0.184 ± 0.008	$0.459 + 0.012$

