
Position: Building Guardrails for Large Language Models Requires Systematic Design

Yi Dong^{*1} Ronghui Mu^{*1} Gaojie Jin² Yi Qi¹ Jinwei Hu¹ Xingyu Zhao³ Jie Meng⁴ Wenjie Ruan¹
Xiaowei Huang¹

Abstract

As Large Language Models (LLMs) become more integrated into our daily lives, it is crucial to identify and mitigate their risks, especially when the risks can have profound impacts on human users and societies. Guardrails, which filter the inputs or outputs of LLMs, have emerged as a core safeguarding technology. This position paper takes a deep look at current open-source solutions (Llama Guard, Nvidia NeMo, Guardrails AI), and discusses the challenges and the road towards building more complete solutions. Drawing on robust evidence from previous research, we *advocate* for a systematic approach to construct guardrails for LLMs, based on comprehensive consideration of diverse contexts across various LLMs applications. We propose employing socio-technical methods through collaboration with a multi-disciplinary team to pinpoint precise technical requirements, exploring advanced neural-symbolic implementations to embrace the complexity of the requirements, and developing verification and testing to ensure the utmost quality of the final product.

1. Introduction

Recent times have witnessed a notable increase in the utilization of **Large Language Models (LLMs)** like ChatGPT, attributed to their extensive and general capabilities (OpenAI, 2023). However, the rapid deployment and integration of LLMs have raised significant concerns regarding their

risks including, but not limited to, ethical use, data biases, privacy and robustness (Huang et al., 2023d). In societal contexts, worries also include the potential misuse by malicious actors for activities such as spreading misinformation or aiding criminal activities, as indicated in studies by Kreps et al. (2022); Goldstein et al. (2023); Kang et al. (2023). In the scientific context, LLMs can be used in professional contexts, where there are dedicated ethical considerations and risks in scientific research (Birhane et al., 2023).

To address these issues, model developers have implemented a variety of safety protocols intended to confine the behaviors of these models to a more secure range of functions. The complexity of LLMs, characterized by intricate networks and numerous parameters, along with the closed-source nature (such as ChatGPT), present substantial hurdles. These complexities require different strategies compared to the pre-LLM era, which focus on *white-box techniques*, enhancing models by various regularisations and architecture adaptations during training. Therefore, in parallel to the reinforcement learning from human feedback (RLHF) and other training skills such as in-context training, the community moves towards employing *black-box, post-hoc strategies*, notably **guardrails** (Welbl et al., 2021; Gehman et al., 2020), which monitors and filters the inputs and outputs of trained LLMs. A guardrail is an algorithm that takes as input a set of objects (e.g., the input and/or the output of LLMs) and determines if and how some enforcement actions can be taken to reduce the risks embedded in the objects. For example, if an input to the LLMs is related to child exploitation, the guardrail may stop the input from being processed by the LLMs or adapt the output so that it becomes harmless (Perez et al., 2022). In other words, guardrails are to identify the potential misuse in the query stage and try to prevent the model from providing the answer that should not be given.

The difficulty in constructing guardrails often lies in establishing the requirements for them. E.g., AI regulations can be different across different countries, and in the context of a company, data privacy can be less serious than it is in the public domain. Nevertheless, a guardrail of LLMs may include **requirements** from one or more of the following categories: (i) Free from unintended responses e.g.,

^{*}Equal contribution ¹Department of Computer Science, University of Liverpool, UK ²Key Laboratory of System Software (Chinese Academy of Sciences) and State Key Laboratory of Computer Science, Institute of Software, Chinese Academy of Sciences ³WMG, University of Warwick, Warwick, UK ⁴Institute of Digital Technologies, Loughborough University London, UK. Correspondence to: Xiaowei Huang <xiaowei.huang@liverpool.ac.uk>.

offensive and hate speech (Section 3.1); (ii) Compliance to ethical principles such as fairness, privacy, and copyright (Section 3.2, 3.3); (iii) Hallucinations and uncertainty (Section 3.4). In this paper, we do not include the typical requirement, i.e., accuracy, as they are benchmarks of the LLMs and arguably not the responsibilities of the guardrails. That said, there might not be a clear cut on the responsibilities (notably, robustness) between LLMs and the guardrails, and the two models shall collaborate to achieve a joint set of objectives. Nevertheless, for concrete applications, the requirements need to be precisely defined, together with their corresponding metrics, and a *multi-disciplinary* approach is called for. The mitigation of a given requirement (such as hallucinations, toxicity, fairness, biases, etc) is already non-trivial, as discussed in Section 3. The need to work with multiple requirements makes it worse, especially when some requirements can be *conflicting*. Such complexity requires a sophisticated solution design method to manage. In terms of the design of guardrails, while there might not be “one method that rules them all”, a plausible design of the guardrail is *neural-symbolic*, with learning agents and symbolic agents collaborating in processing both the inputs and the outputs of LLMs. There are multiple types of neural-symbolic agents (Lamb et al., 2021). However, the existing guardrail solutions such as Llama Guard (Inan et al., 2023), Nvidia NeMo (Rebedea et al., 2023), and Guardrails AI (Rajpal, 2023) use the simplest, loosely coupled ones. Given the complexity of the guardrails, it will be interesting to investigate other, more deeply coupled, neural-symbolic solution designs.

This position paper argues that, like safety-critical software, a *systematic process* to cover the development cycle (ranging from specification, to design, implementation, integration, verification, validation, and production release) is required to carefully build the guardrails, as indicated in industrial standards such as ISO-26262 and DO-178B/C. The **goal** of this paper is to review the state-of-the-art (Section 2), present technical challenges on implementing individual requirements (Section 3), and then discuss several issues regarding the systematic design of a guardrail for a specific application context (Section 4).

2. Existing Implementation Solutions

This section reviews three existing implementation solutions for guardrails¹, and discusses their pros and cons.

Llama Guard (Inan et al., 2023), developed by Meta on

¹There are other guardrails available in the market, such as Open AI’s solution, Microsoft Azure AI Content Safety, Google Guardrails for Generative AI. However, they are either not open-sourced or lack details and contents for reproduction. Our discussion is limited to the three guardrails that are open-source and have been successfully replicated in our experiments.

the Llama2-7b architecture, focuses on enhancing Human-AI conversation safety. It is a fine-tuned model that takes the input and output of the victim model as input and predicts their classification on a set of user-specified categories. Figure 1 shows its workflow. Due to the zero/few-shot abilities of LLMs, Llama Guard can be adapted—by defining the user-specified categories—to different taxonomies and sets of guidelines that meet requirements for different applications and users. This is a Type 1 neural-symbolic system (Lamb et al., 2021), i.e., typical deep learning methods where the input and output of a learning agent are symbolic. It lacks guaranteed reliability since the classification results depend on the LLM’s understanding of the categories and the model’s predictive accuracy.

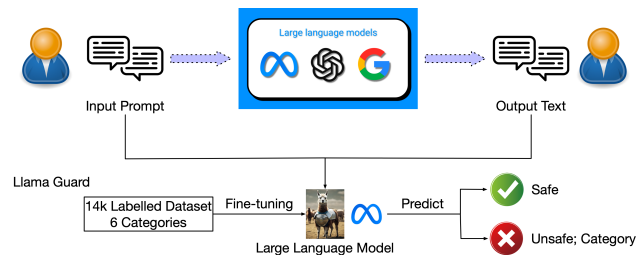


Figure 1. Llama Guard Guardrail Workflow

Nvidia NeMo, described in (Rebedea et al., 2023), functions as an intermediary layer that enhances the control and safety of LLMs. NeMo is designed as a versatile toolkit that facilitates the creation, training, and deployment of state-of-the-art LLMs, including but not limited to GPT. LLMs are extensively used throughout the guardrail process for various tasks across multiple stages. For example, in a conversation scenario, LLM is utilized in the following three phases: (I) Generating user intent, where it refines user intent using provided examples and potential intents, producing deterministic results by setting the temperature to zero. (II) Generating next step: In this phase, Nemo searches the most relevant similar flows, and integrates these similar flows together into an example, which is then fed into the LLM. The output of LLM call is termed as “bot intent”. (III) Generating the bot message, taking the most relevant five bot intents and relevant data chunks as inputs to provide context.

Unlike traditional models that rely on initial layer embeddings, NeMo utilizes similarity functions to capture the most pertinent semantics, employing the “sentence transformers / all-MiniLM-L6-v2” model for this purpose. This model aids in embedding inputs into a dense vector space, enhancing the efficacy of nearest neighbor searches using the Annoy algorithm. Additionally, NeMo employs Colang, an executable programme language designed by Nvidia (2023), to establish constraints, in order to guide LLMs within set dialogical boundaries. When the customer’s input prompt comes, NeMo embeds the prompt as a vector, and

then uses **K-nearest neighbor (KNN)** method to compare it with the stored vector-based user canonical forms, retrieving the embedding vectors that are ‘the most similar’ to the embedded input prompt. After that, Nemo starts the flow execution to generate output from the canonical form. During the flow execution process, the LLMs are used to generate a safe answer if requested by the Colang program. The process is presented in Figure 2. Building on the above customizable workflow, NeMo also includes a set of pre-implemented moderations dedicated to e.g., fact-checking, hallucination prevention in responses, and content moderation. NeMo is also a Type-1 neural-symbolic system, with its effectiveness closely tied to the performance of the KNN method.

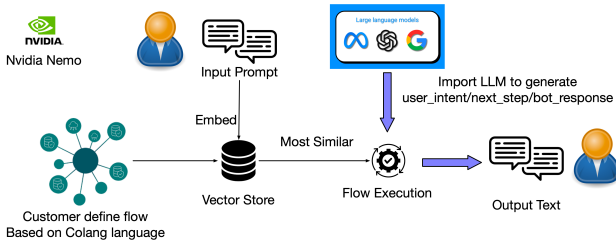


Figure 2. Nvidia NeMo Guardrails Workflow

Guardrails AI enables the user to add structure, type and quality guarantees to the outputs of LLMs (Rajpal, 2023). It operates in three steps: 1) defining the “RAIL” spec, 2) initializing the “guard”, and 3) wrapping the LLMs. In the first step, *Guardrails AI* defines a set of RAIL specifications, which are used to describe the return format limitations. This information is required to be written in a specific XML format, facilitating subsequent output checks, e.g., structure and types. The second step involves activating the defined spec as a guard. For applications that require categorized processing, such as toxicity checks, additional classifier models can be introduced to categorize the input and output text. The third step is triggered when the guard detects an error. Here, the *Guardrails AI* can automatically generate a corrective prompt, pursuing the LLMs to regenerate the correct answer. The output is then re-checked to ensure it meets the specified requirements. Currently, the methods based on *Guardrails AI* are only applicable for text-level checks and cannot be used in multimodal scenarios involving images or audio. Unlike the previous two methods, *Guardrail AI* is a Type-2 neural-symbolic system, which consists of a backbone symbolic algorithm supported by learning algorithms (in this case, those additional classifier models).

Nevertheless, these solutions only provide the basic infrastructure (language for rule description, example workflow), without comprehensive studies on if and how such infrastructure can be utilized to implement a satisfactory guardrail. Research is needed to understand detailed issues regarding the infrastructures, including their capability (in dealing with, e.g., configuration redundancy and conversational

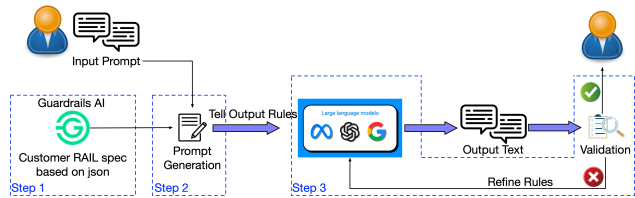


Figure 3. Guardrails AI Workflow

capability limitations), generalization (in dealing with unforeseen scenarios), and expressivity (of enabling suitable interactions of symbolic and learning components). More importantly, *a systematic approach of building guardrails based on the infrastructures is called for.*

Overall, in this section we review three existing strategies for implementing guardrails, each with its own set of pros and cons. Subsequent sections will delve into methodologies for constructing guardrail components, tailored to meet specific requirements. Especially, Section 3 provides an overview of the current research landscape on individual requirements, and Section 4 delivers a broader systems-thinking approach to consider multiple requirements altogether.

3. Technical Challenges of Implementing Individual Requirements

This section will review the technical challenges of implementing individual requirements, highlighting the intriguing complexity of dealing with a requirement. We consider four categories of requirements that might be requested in a specific context or application. Table 1 provides a summarisation of existing representative works. For every category of requirements, it classifies techniques into three groups. For *vulnerability detection*, the victim LLMs are typically treated as a blackbox, and thus they can be either with or without guardrails. *Protection via LLMs enhancement* includes techniques that tune the weights of LLMs. In contrast, For *protection via I/O engineering*, we consider any techniques that work on input and output, e.g., prompt engineering and output filter.

3.1. Free from Unintended Response

Recent studies have highlighted a growing concern about the ability of LLMs like ChatGPT to generate toxic contents, even with guardrails in place (Burgess, 2023; Christian, 2023; Zou et al., 2023). Most research uses prompt engineering methods to cause LLMs to create unintended content, a process often referred to as “jailbreaking”.

Vulnerability Detection Kang et al. (2023); Wei et al. (2023); Shen et al. (2023); Deng et al. (2023) have demonstrated that the LLMs can be manipulated to produce malicious contents using specific prompts. In addition, Kang et al. (2023) used TEXT-DAVINCI-003 prompt, Wei et al.

	Vulnerability Detection	Protection via LLMs Enhancement	Protection via I/O Engineering
Free from Unintended Response	(Kang et al., 2023)(Wei et al., 2023) (Shen et al., 2023)(Deng et al., 2023) (Yong et al., 2023)(Vega et al., 2023) (Zhang & Ippolito, 2023)(Albert, 2024)	(Li et al., 2018)(Liu et al., 2020) (Miyato et al., 2016)(Ganguli et al., 2022) (Touvron et al., 2023)(Perez et al., 2022) (Askell et al., 2021)(Nakano et al., 2021)	(Jain et al., 2023)(Kumar et al., 2023) (Robey et al., 2023)(Kim et al., 2023) (Rajpal, 2023)(Inan et al., 2023) (Rebedea et al., 2023)
Fairness	(Koh et al., 2023)(Motoki et al., 2023) (Limisiewicz et al., 2023)(Badyal et al., 2023) (Yeh et al., 2023)(Shaikh et al., 2022)	(Ranaldi et al., 2023)(Limisiewicz et al., 2023) (Xie & Lukasiewicz, 2023)(Ernst et al., 2023) (Ungless et al., 2022)(Ramezani & Xu, 2023)	(Huang et al., 2023a) (Tao et al., 2023)(Oba et al., 2023) (Dwivedi et al., 2023)
Privacy	(Zou et al., 2023)(Wang et al., 2023c) (Li et al., 2023b)(Huang et al., 2022) (Li et al., 2023a)(Lukas et al., 2023) (Wang et al., 2024a)(Mireshghallah et al., 2023)	(Zanella-Beguelin et al., 2020)(Shi et al., 2022) (Igamberdiev & Habernal, 2023)(Yu et al., 2022) (Mireshghallah et al., 2022)(Xiao et al., 2023)	(Ozdayi et al., 2023) (Li et al., 2023c) (Duan et al., 2023)
Hallucination	(Ji et al., 2023)(Manakul et al., 2023) (Bang et al., 2023)(Chen & Shu, 2023) (Xu et al., 2024)(Huang et al., 2023b) (Chern et al., 2023)(Cohen et al., 2023)	(Meng et al., 2022b)(Chuang et al., 2023) (Meng et al., 2022a)(Bayat et al., 2023) (Wang et al., 2024b)(Elaraby et al., 2023) (Liang et al., 2024)(Razumovskaia et al., 2023)	(Press et al., 2022)(Gao et al., 2023) (Pinter & Elhadad, 2023)(He et al., 2022) (Zhao et al., 2023)(Ram et al., 2023) (Dhuliawala et al., 2023)(Wang et al., 2023b)

Table 1. Literature on detecting and mitigating individual risks.

(2023) explored failure models, Shen et al. (2023) employed “DAN” (Do Anything now”), Zou et al. (2023) introduced automated prompt generation based on gradient, Deng et al. (2023) proposed a balanced way by combining manual and automatic prompt generation together, and Vega et al. (2023) created few-shot priming attack and forced the LLMs to start generating from the middle of a sentence. Zhang & Ippolito (2023) evaluated the effectiveness of these prompt manipulation attacks. Beyond that, Yong et al. (2023) bypassed GPT-4’s safeguard by translating the English inputs into low-source languages. During our tests, we observed that certain vulnerabilities in LLMs that were previously known have been addressed, possibly due to the updates by developers to enhance security measures. Nonetheless, a considerable number of individuals referred to as “jail-breakers” remain capable of effectively deceiving ChatGPT, which are tested in the publicly accessible project (Albert, 2024), as demonstrated in Appendix B.

Protection via LLMs Enhancement The LLMs can be enhanced by inherent safety training technologies. It can be achieved via the augmentation of training data by adding adversarial examples (Li et al., 2018; Ganguli et al., 2022; Perez et al., 2022; Mozes et al., 2023). Moreover, various efforts have been made to enhance safety during the RLHF process. Touvron et al. (2023) proposed to incorporate a safety reward into the RLHF process to prevent harmful outputs. Askell et al. (2021) improved the RLHF process by implementing context distillation in the training dataset. In the context of LLMs, Nakano et al. (2021) used the Reject Sampling mechanism to select the least harmful responses, thereby shaping the training dataset for RLHF. The robustness of language models can also be improved by modifying the training loss functions (Liu et al., 2020; Miyato et al., 2016). However, these adaptations are ineffective for the LLMs due to the catastrophic forgetting in the training process (Jain et al., 2023). Furthermore, these approaches require retraining of the LLMs to defend against the attacks, which can be unsuitable due to high-cost and closed-source nature.

2023), dataset bias (Sheppard et al., 2023), and social bias (Sheng et al., 2023; Manerba et al., 2023; Tang et al., 2023; Gonçalves & Strubell, 2023; Nagireddy et al., 2023; Bi et al., 2023). Understanding and addressing biases in LLMs requires solid theoretical frameworks and comprehensive analysis. Gallegos et al. (2023) provided a comprehensive overview of social biases and fairness in natural language processing, offering a framework for identifying and categorizing different types of harms, intuitive taxonomies for bias evaluation metrics and datasets, and a guide for mitigations.

Vulnerability Detection Badyal et al. (2023) purposefully incorporated biases into the responses of LLMs to craft distinct personas for use in interactive media. Koh et al. (2023) focused on identifying and quantifying instances of social bias in models like ChatGPT, especially in sensitive applications such as job and college admissions screening. Limisiewicz et al. (2023) proposed a novel method for detecting gender bias in language models. Motoki et al. (2023) examined the presence of political bias in ChatGPT, focusing on aspects such as race, gender, religion, and political orientation. Additionally, they explored the role of randomness in responses, by collecting multiple answers to the same questions, which enables a more robust analysis of potential biases. Yeh et al. (2023) examined the bias of LLMs by controlling the input, highlighting that LLMs can still produce biased responses despite the progress in bias reduction. Shaikh et al. (2022) designed a Bias Index to quantify and address biases inherent in LLMs including GPT-4. It has also been observed that the biased response can be generated inadvertently, sometimes in the form of seemingly harmless jokes (Zhou & Sanlippo, 2023) (demonstrated in Appendix B). Such instances may not be sufficiently addressed by existing guardrail systems.

Protection via LLMs Enhancement Many studies have concentrated on reducing bias through model adaption approaches. Limisiewicz et al. (2023) provided a bias mitigating method, DAMA, that can reduce bias while maintaining a model performance on downstream tasks. Ranaldi et al. (2023) investigated the bias in CtB-LLMs and demonstrated the effectiveness of debiasing techniques. They find that bias is not solely dependent on the number of parameters but also on factors like perplexity, and that techniques like debiasing of OPT using LoRA can significantly reduce bias. Ungless et al. (2022) demonstrated that the Stereotype Content Model, which posits that minority groups are often perceived as cold or incompetent, applies to contextualized word embeddings and presents a successful re-tuning method to reduce such biases. Moreover, Ernst et al. (2023) proposed a novel adversarial learning debiasing method applied during the pre-training of LLMs. Ramezani & Xu (2023) mitigated cultural bias through re-tuning models on culturally relevant data.

Protection via I/O Engineering In addition to re-tuning methods, several studies exploring the control of input and output. Huang et al. (2023a) suggested to use purposely designed code generation templates to mitigate the bias in code generation tasks. Tao et al. (2023) found that cultural prompting is a simple and effective method to reduce cultural bias in the latest LLMs, although it may be ineffective or even exacerbate bias in some countries. Oba et al. (2023) proposed a method to address gender bias that does not require access to model parameters. It shows that text-based preambles generated from manually designed templates can effectively suppress gender biases with minimal adverse effects on downstream task performance. Dwivedi et al. (2023) guided LLMs to generate more equitable content by employing an innovative approach of prompt engineering and in-context learning, significantly reducing gender bias, especially in traditionally problematic.

Our Perspective To effectively mitigate bias, it's crucial to develop guardrails through a comprehensive approach that intertwines various strategies. This begins with meticulously monitoring and filtering training data to ensure it is diverse and devoid of biased or discriminatory content. The essence of this step lies in either removing biased data or enriching the dataset with more inclusive and varied information. Alongside this, algorithmic adjustments are necessary, which involve re-tuning the model's parameters to prevent the overemphasis of certain patterns that could lead to biased outcomes. Incorporating bias detection tools is another pivotal aspect. These tools are designed to scrutinize the model's outputs, identifying and flagging potentially biased content for human review and correction. We believe that a key to the long-term efficacy of these guardrails is the adoption of a continuous learning approach. This involves regularly updating the model with new data, insights, and feedback and adapting to evolving societal norms and values. This dynamic process ensures that the guardrails against bias remain robust and relevant. Moreover, the above issues can and should be addressed with a multidisciplinary team, as discussed in Section 4.2. Also, similar to the discussion in Section 3.1, we believe principled methods to evaluate fairness when the definitions are clearly settled. It is however expected that the definition will be distribution-based, rather than point-based as unintended responses, which need to estimate posterior distributions and to measure the distance between two distributions.

3.3. Privacy and Copyright

Legislations such as the EU AI Act, General Data Protection Regulation (GDPR), and California Consumer Privacy Act (CCPA) have established rigorous standards for data sharing and retention. These frameworks mandate strict compliance with data protection and privacy guidelines. Privacy-related research focuses on the risks of either leaking training data

or the trained model. The former includes the attacks and defense on e.g., determining if a data point is within the training dataset (Shokri et al., 2017), reconstructing a data point from a subset of the features (Zhang et al., 2020), or reconstructing some of the training data (Ballé et al., 2022). The latter infers information from the model, e.g., (Wang et al., 2021). In the following, we focus on the privacy on the training data.

Vulnerability Detection LLMs face the challenges in releasing the personal identifiable information (PII) (Li et al., 2023b;a; Lukas et al., 2023; Huang et al., 2022; Wang et al., 2024a), highlighting the need for caution and robust data handling protocols. They are pre-trained on extensive textual datasets (Narayanan et al., 2021) and can inadvertently reveal sensitive information about data subjects (Plant et al., 2022). Specifically, Li et al. (2023b) considered the risks of leaking personal information in e.g., text completion task where the adversary attempts to recover private information by using tricky prompt as the prefix, and Wang et al. (2024a) used an aggregated score to evaluate the LLM's privacy. Mireshghallah et al. (2023) also exhaustively tested the latest ChatGPT about their capability of keeping a secret

Protection via LLMs Enhancement Numerous studies have focused on implementing privacy defense technologies to safeguard data and model privacy and counter privacy breaches, with the Differential Privacy (DP) based methods (Abadi et al., 2016) as the most studied. For general NLP models, Li et al. (2022) indicated that a direct application of DP-SGD (Abadi et al., 2016) may not achieve satisfactory performance, and suggests a few tricks. Igamberdiev & Habernal (2023) implemented a model for text rewriting along with Local Differential Privacy (LDP), both with and without pretraining. For LLMs, the focus has been on the integration of DP into the fine-tuning process (Yu et al., 2022; Shi et al., 2022; Mireshghallah et al., 2022). Other than DP-based methods which deal with general differential privacy, Xiao et al. (2023) considered contextual privacy which measures the sensitivity of a piece of information upon the context, and injects domain-specific knowledge into the fine-tuning process.

Protection via I/O Engineering Ozdayi et al. (2023) proposed a method to prepend a trained prompt to the incoming prompt before passing them to the model, where the training of the prefix prompt is to minimise the extent of extractable memorized content in the model. Li et al. (2023c) and Duan et al. (2023) also proposed the prompt-tuning methodology that adhere to differential privacy principles.

Our Perspective Other than constructing privacy-preserving LLMs, watermarking techniques can play a more important role in LLMs, for not only privacy but also copyright protection. A typical watermarking mechanism (Kirchenbauer et al., 2023) embedded watermarks into the

output of LLMs by selecting a randomized set of "green" tokens before a word is generated, and then softly promoting the use of green tokens during sampling. So, as long as we know the list of green tokens, it is easy to determine if an output is watermarked or not. We can also use the watermarks to track the point of origin or the owner of watermarked text for copyright purposes, and this has been applied to protect the copyright of generated prompts (Yao et al., 2023). We believe in an agreed watermarking mechanism between the data owners and the LLMs developers, such that the users embed a personalized watermark into their documents or texts when they deem them private or with copyright, and the LLMs developers will use watermarked data for their training. More importantly, the LLMs developers should take the responsibility of enabling (1) an automatic verification to determine if a user-provided, watermarked text is within the training data, and (2) model unlearning (Nguyen et al., 2022), which allows the removal of users' personally owned texts from training data.

3.4. Hallucinations and Uncertainty

LLMs have a notable inclination to generate hallucinations (Ji et al., 2023; Bang et al., 2023), leading to contents that deviate from real-world facts or user inputs. The hallucinations in conditional text generation are closely tied to high model uncertainty (Huang et al., 2023b). The absence of uncertainty measures for LLMs significantly hampers the reliability of information generated by LLMs.

Vulnerability Detection Chen & Shu (2023) first identified the challenges in detecting the misinformation in ChatGPT, resulting in a growing number of research to explore the factual hallucination that is inconsistent with real-world facts. Chern et al. (2023) proposed a cohesive framework by utilizing a range of external tools for gathering evidence to identify factual inaccuracies. Some methods aim to detect hallucinations without relying on external sources by focusing on the model's uncertainty in generating factual content. Manakul et al. (2023) proposed to identify hallucinations by generating multiple responses and evaluating the consistency of factual statements. Apart from evaluating uncertainty through the self-consistency of multiple generations from a single LLM, one can adopt a multi-agent approach by including additional LLMs (Cohen et al., 2023). Worsely, Xu et al. (2024), claim that LLMs cannot completely eliminate hallucinations. They define a formal world where hallucination is characterized as inconsistencies between computable LLMs and a computable ground truth function.

Protection via LLMs Enhancement Meng et al. (2022b) proposed to mitigating data-related hallucinations in LLMs by increasing the amount of factual data during the pre-training phase, and this proposal was later refined by Meng

et al. (2022a). Modifying the training dataset can partially reduce the model's knowledge gap effectively. Besides, Liang et al. (2024) developed an automated hallucination annotation tool, DreamCatcher, and proposing a Reinforcement Learning from Knowledge Feedback training framework, effectively improving their performance in tasks related to factuality and honesty. Wang et al. (2024b) introduced the ReCaption framework, which combines rewriting captions using ChatGPT with fine-tuning large vision-language models, successfully reducing fine-grained object hallucinations in LLMs. More related works can be found in (Tonmoy et al., 2024).

Protection via I/O Engineering Apart from the retraining methods, Pinter & Elhadad (2023) found that these methods might pose potential risks when trying to combat LLMs hallucinations. They recommend using retrieval-augmented methods, which seek to add external knowledge acquired from retrieval directly to the LLMs' prompt (He et al., 2022; Press et al., 2022; Ram et al., 2023). Based on the Chain-of-Thought technology, Dhuliawala et al. (2023) introduced the "Chain-of-Verification" method to effectively reduce the generation of inaccurate information in LLMs. Wang et al. (2023b) then proposed a faithful knowledge distillation method that significantly enhances the credibility and accuracy of LLMs. Zhao et al. (2023) proposed a Verify-and-Edit framework based on GPT-3, which enhances the factual accuracy of predictions in open-domain question-answering tasks. Additionally, Gao et al. (2023) pioneered the "Retrospective Attribution using Research and Revision" system, which improves the outputs by automatically attributing and post-editing generated text to correct inaccuracies.

Our Perspective As suggested earlier, uncertainty can be utilized to deal with hallucinations. The primary challenges of LLMs uncertainty stem from the critical roles of meaning and form in language. This relates to what linguists and philosophers refer to as a sentence's semantic content and its syntactic or lexical structure. Foundation models primarily produce token-likelihoods, indicating lexical confidence. However, in most applications, it is the meanings that are of paramount importance. Kuhn et al. (2022) presented the concept of semantic entropy, an entropy that integrates linguistic invariances brought about by the same meaning. The fundamental method involves a semantic equivalence relation to express that two sentences have the same meaning.

In addition, we need to consider the uncertainty of the measurements of LLM. For example, for the assessment of toxicity levels, there are quantitative methods like tracking the frequency of toxic words or using sentiment analysis scores, and qualitative approaches such as evaluations by experts. It is crucial to verify that these metrics are consistent and applicable across a variety of contexts and content types. We also highlight the need to account for the inherent

4. Challenges on Designing Guardrails

Based on the discussions about tackling individual requirements as discussed in Section 3, this section advocates the building of a guardrail by considering multiple requirements in a systematic way. We discuss four topics: conflicting requirements (Section 4.1), multidisciplinary approach (Section 4.2), implementation strategy (Section 4.3), and rigorous engineering process (Section 4.4).

4.1. Conflicting Requirements

This section discusses the tension between safety and intelligence, as an example for the conflicting requirements. Conflicting requirements are typical, including e.g., fairness and privacy (Xiang, 2022), privacy and robustness (Song et al., 2019), robustness and XAI (Huang et al., 2023c), and robustness and fairness (Bassi et al., 2024). The integration of guardrails with LLMs may lead to a discernible conservative shift in the generation of responses to open-ended text-generation questions (Ryer et al., 2023). The shift has been witnessed in ChatGPT over time. Chen et al. (2023) documented a notable change in ChatGPT's performance between March and June 2023. Specifically, when responding to sensitive queries, the model's character count decreased significantly, plummeting from an excess of 600 characters to approximately 140. Additionally, in the context of opinion-based questions and answers surveys, the model is more inclined to abstain from responding.

Given the brevity and conservativeness of responses generated by ChatGPT, it raises the question: How can exploratory depth be maintained in responses, particularly for open-ended text generation tasks? Furthermore, does the application of guardrails constrain ChatGPT's capacity to deliver more intuitive responses? On the other hand, Narayanan & Kapoor (2023) critically examined this paper, and emphasized the difference between an LLM's capabilities and its behavior. In psychological studies (Michie et al., 2011), behaviour is believed to be determined by not only capability (refer to knowledge, skills, etc) but also opportunity for external factors and motivation for internal processes. In the context of LLMs, the opportunity includes social norms and cultural practices that need to be taken care of by the guardrails. Although capabilities typically remain constant, behavior can alter due to fine-tuning, which can be interpreted as the "uncertainty" challenges in LLMs. They suggest that changes in GPT-4's performance

are likely linked more to evaluation data and fine-tuning biases that are generally perceived as harmful, such as 'guns' methods rather than a decline in its fundamental abilities or 'crime', is predominant and should not be precluded. They also acknowledge that such behavioral drift poses a challenge in developing reliable chatbot products. The adoption of guardrail has also led to the model adopting a more succinct communication approach, thereby offering fewer details or electing for non-response in certain queries. The decision of "to do or not to do" can be a challenging task when designing the guardrail. While the easiest approach is to decline an answer to any sensitive questions, is it the most intelligent one? That is, we need to determine if the application of guardrail always has a positive impact on LLMs that is within our expectation

Our Perspective For the safety and intelligence tension, prior research has suggested to incorporate a creativity assessment mechanism into the guardrail development for LLMs. To measure the creativity capability of LLMs, by e.g., Sun et al. (2023) and Ovalle et al. (2023) provide insights into how these principles can be operationalized in the context of LLMs. Establishing community standards in creativity evaluation, focusing on several key aspects: fluency, excitability, originality, and elaboration, which collectively contribute to a comprehensive understanding of LLMs' creative output in storytelling. Narayanan & Kapoor (2023) showed that although some LLMs may demonstrate adeptness in specific aspects of creativity, there is a significant gap between their capabilities and human expertise when evaluated comprehensively. We also need to assess which requirements are critical and which can be adjusted or compromised for different tasks and contexts. While these conflicts may not be entirely resolvable, particularly in specific scenarios, more targeted approaches offer better chance of conflict resolution. Such approaches demand ongoing research to develop concrete principles, methods, and standards that a multidisciplinary team can implement and adhere to. Guardrails, while effective in particular situations, are not a universal solution capable of addressing all potential conflicts. Instead, they should be designed to manage specific, well-defined scenarios.

4.2. Multidisciplinary Approach

While current LLMs guardrails include mechanisms to detect harmful contents, they still pose a risk of generating biased or misleading responses. It is reasonable to expect the future guardrails to integrate not only harm detection but also other mechanisms to deal with, e.g., ethics, fairness, and creativity. We have provided in the Introduction three categories of requirements to be considered for a guardrail.

Moreover, LLMs may not be universally effective across all domains, and it has been a trend to consider domain-specific LLMs (Pal et al., 2023). In domain-specific scenarios, specialized rules may conflict with the general principles. For instance, in crime prevention, the use of certain terminology

Our Perspective Developing LLMs ethically involves adhering to principles such as fairness, accountability, and transparency. These principles ensure that LLMs do not perpetuate biases or cause unintended harm. The works of Sun et al. (2023) and Ovalle et al. (2023) provide insights into how these principles can be operationalized in the context of LLMs. Establishing community standards, derived from a consensus among stakeholders, including developers, users, and those impacted by AI, can guide the ethical development and deployment of LLMs. They ensure that LLMs are aligned with societal values and ethical norms, as discussed in broader AI ethics literature (ActiveFence, 2023). Moreover, the ethical development of LLMs is not a one-time effort but requires ongoing evaluation and refinement. This involves regular assessment of LLMs outputs, updating models to reflect changing societal norms, and incorporating feedback from diverse user groups to ensure that LLMs remain fair and unbiased.

Socio-technical theory (Trist & Bamforth, 1957), in which both 'social' and 'technical' aspects are brought together and treated as interdependent parts of a complex system, have been promoted (Filgueiras et al., 2023; Jr. et al., 2020) for machine learning to deal with properties related to human and societal values, including e.g., fairness (Dolata et al., 2022), biases (Schwartz et al., 2022), and ethics (Mbi-azi et al., 2023). To manage the complexity, the whole system approach (Crabtree et al., 2011), which promotes an ongoing and dynamic way of working and enables local stakeholders to come together for an integrated solution, has been successfully working on healthcare systems (Brand et al., 2017). We believe, a multi-disciplinary group of experts will work out, and rightly justify and validate, the concrete requirements for a specific context, by applying the socio-technical theory and the whole system approach.

4.3. Neural-Symbolic Approach for Implementation

Existing guardrail frameworks such as those introduced in Section 2 employ a language (such as RAIL or Colang) to describe the behavior of a guardrail. A set of rules and

guidelines are expressed with the language, such that each of them is applied independently. It is unclear if and how such a mechanism can be used to deal with more complex cases where the rules and guidelines have conflicts. As mentioned in Section 4.2, such complex cases are common in building guardrails. Moreover, it is unclear if they are sufficiently flexible, and capable of adapting, to shifts over time and across different scenarios and datasets.

Our Perspective
 First, a principled approach is needed to resolve conflicts in requirements, as suggested in (van Lamswerde et al., 1998) for requirement engineering, which is based on the combination of logic and decision theory. Second, a guardrail requires the cooperation of symbolic and learning-based methods. For example, we may expect that, the learning agents deal with the frequently-seen cases (where there are plenty of data) to improve the overall performance w.r.t. the above-mentioned requirements, and the symbolic agents take care of the rare cases (where there are few or no data) to improve the performance in dealing with corner cases in an interpretable way. In general, before we can confirm, and reliably evaluate, the cognitive ability of learning agents, the symbolic agents can embed human-like cognition (e.g., the analogical connections between concepts in similar abstract contexts) through structures such as knowledge graphs. Not only can they improve the guardrails' capability, but they also enable the end users with more explainability, which is important due to the guardrails' responsibility in providing safety and trust to AI. Due to the complex conflict resolution methods, more closely-coupled neural-symbolic methods might be needed to deal with the tension between effective learning and sound reasoning, such as those Type-6 systems (Lamb et al., 2021) that can deal with true symbolic reasoning inside a neural engine, e.g., Pointer Networks (Vinyals et al., 2015).

4.4. Systems Development Life Cycle (SDLC)

The criticality of guardrails requires a careful engineering process to be applied, and for this, a revisit of the SDLC, which is a complex project management model to encompass guardrail creation from its initial idea to its finalized deployment and maintenance has the potential, and the V-model (Oppermann, 2023), which builds the relations of each development process with its testing activities, can be useful to ensure the quality of the final product.

Our Perspective
 Rigorous verification and testing will be needed (Huang et al., 2023d), which requires a comprehensive set of evaluation methods. For individual requirements, certification with statistical guarantees can be useful, such as the randomized smoothing (Cohen et al., 2019) and global robustness (Dong et al., 2023). For the evaluation of multiple, conflicting requirements, a combination of the Pareto front based evaluation methods for multiple requirements

(Ngatchou et al., 2005) and the statistical certification for a single requirement is needed. The Pareto front, a concept from the field of multi-objective optimization, represents a set of non-dominated solutions, where no solution is better than others across all objectives that are considered. Some efforts have been taken, e.g., (Huang et al., 2023c) adapts an evolutionary algorithm to find Pareto front for robustness and XAI. Statistical certification involves using statistical methods to ensure that a single requirement meets a specified standard with a certain level of confidence. It is typically applied when there is uncertainty in the measurements or when the requirement is subject to variability. Combining these techniques can find the trade-offs, provide confidence in the viability of solutions with respect to individual requirements, and support more informed and adaptive decision-making processes. Attention should also be paid to understanding the theoretical limits of the evaluation methods. For example, it is known that different verification methods will provide different levels of guarantees on their results, with ("davidad" Dalrymple et al., 2024) defining 11 levels (0-10), e.g., the commonly applied attacks are only at level-1, some testing methods (Sun et al., 2019; Wicker et al., 2018) are at level-5 or level-6, and methods based on sampling with global optimisation guarantees or statistical guarantees such as (Cohen et al., 2019; Dong et al., 2023; Ruan et al., 2018; Wang et al., 2023a) are at between level-7 and level-9. Last but not least, safety argument (Zhao et al., 2020; Dong et al., 2023) will be needed to not only structure the reasoning and evidence collection but also ensure the communication with the stakeholders.

5. Conclusion

This position paper advocates for a systematic approach to building guardrails, beyond the current solutions which only offer the simplest mechanisms to describe rules and connect learning and symbolic components. Guardrails are highly complex due to their role of managing interactions between LLMs with humans. A systematic approach, supported by a multidisciplinary team, can fully consider and manage the complexity and provide assurance to the final product.

Acknowledgements

This project has received funding from The Alan Turing Institute under grant agreement No ARC-001 and the U.K. EPSRC through End-to-End Conceptual Guarding of Neural Architectures [EP/T026995/1].

Impact Statement

This paper shares our views about how to build a responsible safeguarding mechanism for Large Language Models (LLMs), a generative AI technique. In this sense, it holds

positive societal impacts. Nevertheless, to expose the problems, the paper also includes example questions and model outputs that may be perceived as offensive.

References

- Abadi, M., Chu, A., Goodfellow, I., McMahan, H. B., Mironov, I., Talwar, K., and Zhang, L. Deep learning with differential privacy. In *Proceedings of the 2016 ACM SIGSAC Conference on Computer and Communications Security CCS '16*, pp. 308–318, New York, NY, USA, 2016. Association for Computing Machinery. ISBN 9781450341394. doi: 10.1145/2976749.2978318. URL <https://doi.org/10.1145/2976749.2978318>.
- ActiveFence. Llm safety review: Benchmarks and analysis. <https://www.activefence.com/>, 2023.
- Albert, A. jailbreakchat., 2024. URL <https://www.jailbreakchat.com>. Accessed: 2024-01-06.
- Amabile, T. M. Social psychology of creativity: A consensual assessment technique. *Journal of personality and social psychology* 43(5):997, 1982.
- Askill, A., Bai, Y., Chen, A., Drain, D., Ganguli, D., Henighan, T., Jones, A., Joseph, N., Mann, B., DasSarma, N., et al. A general language assistant as a laboratory for alignment. arXiv preprint arXiv:2112.00861, 2021.
- Badyal, N., Jacoby, D., and Coady, Y. Intentional biases in Llm responses. In *2023 IEEE 14th Annual Ubiquitous Computing, Electronics & Mobile Communication Conference (UEMCON)*, pp. 0502–0506. IEEE, 2023.
- Balle, B., Cherubin, G., and Hayes, J. Reconstructing training data with informed adversaries. *2022 IEEE Symposium on Security and Privacy (SP)*, pp. 1138–1156, 2022. doi: 10.1109/SP46214.2022.9833677.
- Bang, Y., Cahyawijaya, S., Lee, N., Dai, W., Su, D., Wilie, B., Lovenia, H., Ji, Z., Yu, T., Chung, W., et al. A multi-task, multilingual, multimodal evaluation of chatgpt on reasoning, hallucination, and interactivity. arXiv preprint arXiv:2302.04023, 2023.
- Bassi, P. R. A. S., Dertkigil, S. S. J., and Cavalli, A. Improving deep neural network generalization and robustness to background bias via layer-wise relevance propagation optimization. *Nature Communications* 15(1):291, 2024. doi: 10.1038/s41467-023-44371-z. URL <https://doi.org/10.1038/s41467-023-44371-z>.
- Bayat, F. F., Qian, K., Han, B., Sang, Y., Belyi, A., Khorshidi, S., Wu, F., Ilyas, I. F., and Li, Y. Fleek: Factual error detection and correction with evidence retrieved from external knowledge. arXiv preprint arXiv:2310.17119, 2023.
- Bi, G., Shen, L., Xie, Y., Cao, Y., Zhu, T., and He, X. A group fairness lens for large language models. arXiv preprint arXiv:2312.15478, 2023.
- Birhane, A., Kasirzadeh, A., Leslie, D., and Wachter, S. Science in the age of large language models. *Nature Reviews Physics* 5(5):277–280, May 2023. ISSN 2522-5820. doi: 10.1038/s42254-023-00581-4.
- Brand, S., Thompson Coon, J., Fleming, L., Carroll, L., Bethel, A., and Wyatt, K. Whole-system approaches to improving the health and wellbeing of healthcare workers: A systematic review. *PLoS ONE* 12(12):e0188418, 2017. doi: 10.1371/journal.pone.0188418.
- Burgess, M. The hacking of chatgpt is just getting started. *Wired*, available at: www.wired.com/story/chatgpt-jailbreak-generative-ai-hacking/, 2023.
- Chakrabarty, T., Laban, P., Agarwal, D., Muresan, S., and Wu, C.-S. Art or artifice? large language models and the false promise of creativity. arXiv preprint arXiv:2309.14556, 2023.
- Chen, C. and Shu, K. Can Llm-generated misinformation be detected? arXiv preprint arXiv:2309.13788, 2023.
- Chen, L., Zaharia, M., and Zou, J. How is chatgpt's behavior changing over time? arXiv preprint arXiv:2307.09009, 2023.
- Chern, I., Chern, S., Chen, S., Yuan, W., Feng, K., Zhou, C., He, J., Neubig, G., Liu, P., et al. Factool: Factuality detection in generative ai—a tool augmented framework for multi-task and multi-domain scenarios. arXiv preprint arXiv:2307.13528, 2023.
- Christian, J. Amazing “jailbreak” bypasses chatgpt's ethics safeguards. *Futurism*, February 4:2023, 2023.
- Chuang, Y.-S., Xie, Y., Luo, H., Kim, Y., Glass, J., and He, P. Dola: Decoding by contrasting layers improves factuality in large language models. arXiv preprint arXiv:2309.03883, 2023.
- Cohen, J., Rosenfeld, E., and Kolter, Z. Certified adversarial robustness via randomized smoothing. In *Chaudhuri, K. and Salakhutdinov, R. (eds) Proceedings of the 36th International Conference on Machine Learning volume 97 of Proceedings of Machine Learning Research*, pp. 1310–1320. PMLR, 09–15 Jun 2019. URL <https://proceedings.mlr.press/v97/cohen19c.html>.

- Cohen, R., Hamri, M., Geva, M., and Globerson, A. Lm vs Filgueiras, F., Mendonca, R., and Almeida, V. Governing artificial intelligence through a sociotechnical lens. *IEEE Internet Computing* 27(05):49–52, sep 2023. ISSN 1941-0131. doi: 10.1109/MIC.2023.3310110.
- Crabtree, B. F., Miller, W. L., and Stange, K. C. The chronic care model and diabetes management in us primary care settings: A systematic review. *Diabetes Care* 34(4):1058–1063, 2011. doi: 10.2337/dc10-1145.
- "davidad" Dalrymple, D., Skalse, J., Bengio, Y., Russell, S., Tegmark, M., Seshia, S., Omohundro, S., Szegedy, C., Goldhaber, B., Ammann, N., Abate, A., Halpern, J., Barrett, C., Zhao, D., Zhi-Xuan, T., Wing, J., and Tenenbaum, J. Towards guaranteed safe ai: A framework for ensuring robust and reliable ai systems, 2024.
- Deng, B., Wang, W., Feng, F., Deng, Y., Wang, Q., and He, X. Attack prompt generation for red teaming and defending large language models. *arXiv preprint arXiv:2310.12505* 2023.
- Dhuliawala, S., Komeili, M., Xu, J., Raileanu, R., Li, X., Celikyilmaz, A., and Weston, J. Chain-of-verification reduces hallucination in large language models. *arXiv preprint arXiv:2309.11495* 2023.
- Dolata, M., Feuerriegel, S., and Schwabe, G. A sociotechnical view of algorithmic fairness. *Information Systems Journal* 32(4):754–818, 2022. doi: <https://doi.org/10.1111/isj.12370>. URL <https://onlinelibrary.wiley.com/doi/abs/10.1111/isj.12370>
- Dong, Y., Huang, W., Bharti, V., Cox, V., Banks, A., Wang, S., Zhao, X., Schewe, S., and Huang, X. Reliability assessment and safety arguments for machine learning components in system assurance. *ACM Trans. Embed. Comput. Syst.* 22(3), apr 2023. ISSN 1539-9087. doi: 10.1145/3570918. URL <https://doi.org/10.1145/3570918>
- Duan, H., Dziedzic, A., Papernot, N., and Boenisch, F. Flocks of stochastic parrots: Differentially private prompt learning for large language models. *arXiv preprint arXiv:2305.15594* 2023.
- Dwivedi, S., Ghosh, S., and Dwivedi, S. Breaking the bias: Gender fairness in llms using prompt engineering and in-context learning. *Rupkatha Journal on Interdisciplinary Studies in Humanities* 15(4), 2023.
- Elaraby, M., Lu, M., Dunn, J., Zhang, X., Wang, Y., and Liu, S. Halo: Estimation and reduction of hallucinations in open-source weak large language models. *arXiv preprint arXiv:2308.11764* 2023.
- Ernst, J. S., Marton, S., Brinkmann, J., Vellasques, E., Focard, D., Kraemer, M., and Lambert, M. Bias mitigation for large language models using adversarial learning. 2023.
- Gallegos, I. O., Rossi, R. A., Barrow, J., Tanjim, M. M., Kim, S., Deroncourt, F., Yu, T., Zhang, R., and Ahmed, N. K. Bias and fairness in large language models: A survey. *arXiv preprint arXiv:2309.00770* 2023.
- Ganguli, D., Lovitt, L., Kernion, J., Askell, A., Bai, Y., Kadavath, S., Mann, B., Perez, E., Schiefer, N., Ndousse, K., et al. Red teaming language models to reduce harms: Methods, scaling behaviors, and lessons learned. *arXiv preprint arXiv:2209.07858* 2022.
- Gao, L., Dai, Z., Pasupat, P., Chen, A., Chaganty, A. T., Fan, Y., Zhao, V., Lao, N., Lee, H., Juan, D.-C., et al. Rarr: Researching and revising what language models say, using language models. *Proceedings of the 61st Annual Meeting of the Association for Computational Linguistics (Volume 1: Long Papers)*, pp. 16477–16508, 2023.
- Gehman, S., Gururangan, S., Sap, M., Choi, Y., and Smith, N. A. Realtoxicityprompts: Evaluating neural toxic degeneration in language models. *arXiv preprint arXiv:2009.11462* 2020.
- Goldstein, J. A., Sastry, G., Musser, M., DiResta, R., Gentzel, M., and Sedova, K. Generative language models and automated influence operations: Emerging threats and potential mitigations. *arXiv preprint arXiv:2301.04246* 2023.
- Gonçalves, G. and Strubell, E. Understanding the effect of model compression on social bias in large language models. *arXiv preprint arXiv:2312.05662* 2023.
- Gupta, S., Shrivastava, V., Deshpande, A., Kalyan, A., Clark, P., Sabharwal, A., and Khot, T. Bias runs deep: Implicit reasoning biases in persona-assigned llms. *arXiv preprint arXiv:2311.04892* 2023.
- He, H., Zhang, H., and Roth, D. Rethinking with retrieval: Faithful large language model inference. *arXiv preprint arXiv:2301.00303* 2022.
- Huang, D., Bu, Q., Zhang, J., Xie, X., Chen, J., and Cui, H. Bias assessment and mitigation in llm-based code generation. *arXiv preprint arXiv:2309.14345* 2023a.
- Huang, J., Shao, H., and Chang, K. C.-C. Are large pre-trained language models leaking your personal information? In Goldberg, Y., Kozareva, Z., and Zhang, Y. (eds.) *Findings of the Association for Computational Linguistics: EMNLP 2022* pp. 2038–2047, Abu Dhabi, United Arab Emirates,

- December 2022. Association for Computational Linguistics. doi: 10.18653/v1/2022.findings-emnlp.148. URL <https://aclanthology.org/2022.findings-emnlp.148>
- Huang, L., Yu, W., Ma, W., Zhong, W., Feng, Z., Wang, H., Chen, Q., Peng, W., Feng, X., Qin, B., et al. A survey on hallucination in large language models: Principles, taxonomy, challenges, and open questions. arXiv preprint arXiv:2311.05232, 2023b.
- Huang, W., Zhao, X., Jin, G., and Huang, X. Safari: Versatile and efficient evaluations for robustness of interpretability. In Proceedings of the IEEE/CVF International Conference on Computer Vision (ICCV), pp. 1988–1998, October 2023c.
- Huang, X., Kwiatkowska, M., Wang, S., and Wu, M. Safety verification of deep neural networks. In Majumdar, R. and Kuncak, V. (eds.) Computer Aided Verification, pp. 3–29, Cham, 2017. Springer International Publishing. ISBN 978-3-319-63387-9.
- Huang, X., Ruan, W., Huang, W., Jin, G., Dong, Y., Wu, C., Bensalem, S., Mu, R., Qi, Y., Zhao, X., et al. A survey of safety and trustworthiness of large language models through the lens of verification and validation. arXiv preprint arXiv:2305.11391, 2023d.
- Igamberdiev, T. and Habernal, I. Dp-bart for privatized text rewriting under local differential privacy. arXiv preprint arXiv:2302.07636, 2023.
- Inan, H., Upasani, K., Chi, J., Rungta, R., Iyer, K., Mao, Y., Tontchev, M., Hu, Q., Fuller, B., Testuggine, D., et al. Llama guard: Llm-based input-output safeguard for human-ai conversations. arXiv preprint arXiv:2312.06674, 2023.
- Jain, N., Schwarzschild, A., Wen, Y., Somepalli, G., Kirchenbauer, J., Chiang, P.-y., Goldblum, M., Saha, A., Geiping, J., and Goldstein, T. Baseline defenses for adversarial attacks against aligned language models. arXiv preprint arXiv:2309.00614, 2023.
- Ji, Z., Lee, N., Frieske, R., Yu, T., Su, D., Xu, Y., Ishii, E., Bang, Y. J., Madotto, A., and Fung, P. Survey of hallucination in natural language generation. ACM Computing Surveys 55(12):1–38, 2023.
- Jr., D. M., Prabhakaran, V., Kuhlberg, J., Smart, A., and Isaac, W. S. Extending the machine learning abstraction boundary: A complex systems approach to incorporate societal context. CoRR abs/2006.09663, 2020. URL <https://arxiv.org/abs/2006.09663>
- Lin-Kang, D., Li, X., Stoica, I., Guestrin, C., Zaharia, M., and Hashimoto, T. Exploiting programmatic behavior of llms: Dual-use through standard security attacks. arXiv preprint arXiv:2302.05733, 2023.
- Kim, J., Derakhshan, A., and Harris, I. G. Robust safety classifier for large language models: Adversarial prompt shield. arXiv preprint arXiv:2311.00172, 2023.
- Kirchenbauer, J., Geiping, J., Wen, Y., Katz, J., Miers, I., and Goldstein, T. A watermark for large language models. In Krause, A., Brunskill, E., Cho, K., Engelhardt, B., Sabato, S., and Scarlett, J. (eds.) Proceedings of the 40th International Conference on Machine Learning volume 202 of Proceedings of Machine Learning Research, pp. 17061–17084. PMLR, 23–29 Jul 2023. URL <https://proceedings.mlr.press/v202/kirchenbauer23a.html>
- Koh, N. H., Plata, J., and Chai, J. Bad: Bias detection for large language models in the context of candidate screening. arXiv preprint arXiv:2305.10407, 2023.
- Kreps, S., McCain, R. M., and Brundage, M. All the news that's t to fabricate: Ai-generated text as a tool of media misinformation. Journal of experimental political science 9(1):104–117, 2022.
- Kuhn, L., Gal, Y., and Farquhar, S. Semantic uncertainty: Linguistic invariances for uncertainty estimation in natural language generation. International Conference on Learning Representation, 2022.
- Kumar, A., Agarwal, C., Srinivas, S., Feizi, S., and Lakkaraju, H. Certifying llm safety against adversarial prompting. arXiv preprint arXiv:2309.02705, 2023.
- Lamb, L. C., d'Avila Garcez, A., Gori, M., Prates, M. O., Avelar, P. H., and Vardi, M. Y. Graph neural networks meet neural-symbolic computing: a survey and perspective. In Proceedings of the Twenty-Ninth International Joint Conference on Artificial Intelligence IJCAI'20, 2021. ISBN 9780999241165.
- Li, H., Chen, Y., Luo, J., Kang, Y., Zhang, X., Hu, Q., Chan, C., and Song, Y. Privacy in large language models: Attacks, defenses and future directions. CoRR abs/2310.10383, 2023a. doi: 10.48550/ARXIV.2310.10383. URL <https://doi.org/10.48550/arXiv.2310.10383>
- Li, H., Guo, D., Fan, W., Xu, M., Huang, J., Meng, F., and Song, Y. Multi-step jailbreaking privacy attacks on chatgpt. In Bouamor, H., Pino, J., and Bali, K. (eds.), Findings of the Association for Computational Linguistics: EMNLP 2023, Singapore, December 6-10, 2023

- pp. 4138–4153. Association for Computational Linguistics, 2023b. URL <https://aclanthology.org/2023.findings-emnlp.272>.
- Li, J., Ji, S., Du, T., Li, B., and Wang, T. Textbugger: Generating adversarial text against real-world applications. arXiv preprint arXiv:1812.05271, 2018.
- Li, X., Tramer, F., Liang, P., and Hashimoto, T. Large language models can be strong differentially private learners. In International Conference on Learning Representations 2022. URL <https://openreview.net/forum?id=bVuP3ltATMz>.
- Li, Y., Tan, Z., and Liu, Y. Privacy-preserving prompt tuning for large language model services. arXiv preprint arXiv:2305.06212, 2023c.
- Liang, Y., Song, Z., Wang, H., and Zhang, J. Learning to trust your feelings: Leveraging self-awareness in llms for hallucination mitigation. arXiv preprint arXiv:2401.15449, 2024.
- Limisiewicz, T., Marek, D., and Musil, T. Debiasing algorithm through model adaptation. arXiv preprint arXiv:2310.18913, 2023.
- Liu, X., Cheng, H., He, P., Chen, W., Wang, Y., Poon, H., and Gao, J. Adversarial training for large neural language models. arXiv preprint arXiv:2004.08994, 2020.
- Lukas, N., Salem, A., Sim, R., Tople, S., Wutschitz, L., and Zanella-Berguelin, S. Analyzing leakage of personally identifiable information in language models. arXiv preprint arXiv:2302.00539, 2023.
- Malik, A. Evaluating large language models through gender and racial stereotypes. arXiv preprint arXiv:2311.14788, 2023.
- Manakul, P., Liusie, A., and Gales, M. J. Selfcheckgpt: Zero-resource black-box hallucination detection for generative large language models. arXiv preprint arXiv:2303.08896, 2023.
- Manerba, M. M., Stáczak, K., Guidotti, R., and Augenstein, I. Social bias probing: Fairness benchmarking for language models. arXiv preprint arXiv:2311.09090, 2023.
- Mbizi, D., Bhang, M., Babaei, M., Sheth, I., and Kenack, P. J. Survey on ai ethics: A socio-technical perspective, 2023.
- Meng, K., Bau, D., Andonian, A., and Belinkov, Y. Locating and editing factual associations in gpt-3.5. Advances in Neural Information Processing Systems, 35:17359–17372, 2022a.
- Meng, K., Sharma, A. S., Andonian, A., Belinkov, Y., and Bau, D. Mass-editing memory in a transformer. arXiv preprint arXiv:2210.07229, 2022b.
- Michie, S., Van Stralen, M. M., and West, R. The behaviour change wheel: a new method for characterising and designing behaviour change interventions. Implementation science, 6:1–12, 2011.
- Mirehghallah, F., Backurs, A., Inan, H. A., Wutschitz, L., and Kulkarni, J. Differentially private model compression. Advances in Neural Information Processing Systems, 35:29468–29483, 2022.
- Mirehghallah, N., Kim, H., Zhou, X., Tsvetkov, Y., Sap, M., Shokri, R., and Choi, Y. Can llms keep a secret? testing privacy implications of language models via contextual integrity theory. arXiv preprint arXiv:2310.17884, 2023.
- Miyato, T., Dai, A. M., and Goodfellow, I. Adversarial training methods for semi-supervised text classification. arXiv preprint arXiv:1605.07725, 2016.
- Motoki, F., Pinho Neto, V., and Rodrigues, V. More human than human: Measuring chatgpt political bias. Available at SSRN 4372342, 2023.
- Mozes, M., He, X., Kleinberg, B., and Griffin, L. D. Use of llms for illicit purposes: Threats, prevention measures, and vulnerabilities. arXiv preprint arXiv:2308.12833, 2023.
- Nagireddy, M., Chiazor, L., Singh, M., and Baldini, I. Socialstigmaqa: A benchmark to uncover stigma application in generative language models. arXiv preprint arXiv:2312.07492, 2023.
- Nakano, R., Hilton, J., Balaji, S., Wu, J., Ouyang, L., Kim, C., Hesse, C., Jain, S., Kosaraju, V., Saunders, W., et al. Webgpt: Browser-assisted question-answering with human feedback. arXiv preprint arXiv:2112.09332, 2021.
- Narayanan, A. and Kapoor, S. Is GPT-4 getting worse over time? AI Snake Oil July 2023. URL https://www.aisnakeoil.com/p/is-gpt-4-getting-worse-over-time?subscribe_prompt=free.
- Narayanan, D., Shoeybi, M., Casper, J., LeGresley, P., Patwary, M., Korthikanti, V., Vainbrand, D., and Catanzaro, B. Scaling language model training to a trillion parameters using megatron, 2021.
- Ngatchou, P., Zarei, A., and El-Sharkawi, A. Pareto multi objective optimization. In Proceedings of the 13th International Conference on, Intelligent Systems Application to Power Systems, pp. 84–91, 2005. doi: 10.1109/ISAP.2005.1599245.

- Nguyen, T. T., Huynh, T. T., Nguyen, P. L., Liew, A. W.-C., Yin, H., and Nguyen, Q. V. H. A survey of machine unlearning, 2022.
- Nvidia. Colang. https://github.com/NVIDIA/NeMo-Guardrails/blob/main/docs/user_guides/colang-language-syntax-guide.md, 2023.
- Oba, D., Kaneko, M., and Bollegala, D. In-contextual bias suppression for large language models. arXiv preprint arXiv:2309.07251, 2023.
- OpenAI, R. Gpt-4 technical report. arXiv, pp. 2303–08774, 2023.
- Oppermann, A. What is the v-model in software development? <https://builtin.com/software-engineering-perspectives/v-model>, 2023. Accessed: 2024.2.1.
- Ovalle, A., Mehrabi, N., Goyal, P., Dhamala, J., Chang, K.-W., Zemel, R., Galstyan, A., Pinter, Y., and Gupta, R. Are you talking to ['xem'] or ['x','em']? on tokenization and addressing misgendering in llms with pronoun tokenization parity. arXiv preprint arXiv:2312.11779, 2023.
- Ozdayi, M. S., Peris, C., Fitzgerald, J., Dupuy, C., Majmudar, J., Khan, H., Parikh, R., and Gupta, R. Controlling the extraction of memorized data from large language models via prompt-tuning. arXiv preprint arXiv:2305.11759, 2023.
- Pal, S., Bhattacharya, M., Lee, S.-S., and Chakraborty, C. A domain-specific next-generation large language model (llm) or chatgpt is required for biomedical engineering and research. *Annals of Biomedical Engineering*, 2023. doi: 10.1007/s10439-023-03306-x. URL <https://doi.org/10.1007/s10439-023-03306-x>.
- Perez, E., Huang, S., Song, F., Cai, T., Ring, R., Aslanides, J., Glaese, A., McAleese, N., and Irving, G. Red teaming language models with language models. arXiv preprint arXiv:2202.03286, 2022.
- Pinter, Y. and Elhadad, M. Emptying the ocean with a spoon: Should we edit models? arXiv preprint arXiv:2310.11958, 2023.
- Plant, R., Giuffrida, V., and Gkatzia, D. You are what you write: Preserving privacy in the era of large language models. arXiv preprint arXiv:2204.09391, 2022.
- Press, O., Zhang, M., Min, S., Schmidt, L., Smith, N. A., and Lewis, M. Measuring and narrowing the compositionality gap in language models. arXiv preprint arXiv:2210.03350, 2022.
- Rajpal, S. Guardrails ai. <https://www.guardrailsai.com/>, 2023.
- Ram, O., Levine, Y., Dalmedigos, I., Muhlgay, D., Shashua, A., Leyton-Brown, K., and Shoham, Y. In-context retrieval-augmented language models. arXiv preprint arXiv:2302.00083, 2023.
- Ramezani, A. and Xu, Y. Knowledge of cultural moral norms in large language models. arXiv preprint arXiv:2306.01857, 2023.
- Ranaldi, L., Ruzzetti, E. S., Venditti, D., Onorati, D., and Zanzotto, F. M. A trip towards fairness: Bias and de-biasing in large language models. arXiv preprint arXiv:2305.13862, 2023.
- Razumovskaia, E., Vučković, I., Marković, P., Cichy, T., Zheng, Q., Wen, T.-H., and Budzianowski, P. Dial beinfo for faithfulness: Improving factuality of information-seeking dialogue via behavioural re-tuning. arXiv preprint arXiv:2311.09800, 2023.
- Rebedea, T., Dinu, R., Sreedhar, M., Parisien, C., and Cohen, J. Nemo guardrails: A toolkit for controllable and safe llm applications with programmable rails. arXiv preprint arXiv:2310.10501, 2023.
- Robey, A., Wong, E., Hassani, H., and Pappas, G. J. Smooth-llm: Defending large language models against jailbreaking attacks. arXiv preprint arXiv:2310.03684, 2023.
- Röttger, P., Kirk, H. R., Vidgen, B., Attanasio, G., Bianchi, F., and Hovy, D. Xstest: A test suite for identifying exaggerated safety behaviours in large language models. arXiv preprint arXiv:2308.01263, 2023.
- Ruan, W., Huang, X., and Kwiatkowska, M. Reachability analysis of deep neural networks with provable guarantees. In *IJCAI*, pp. 2651–2659, 2018.
- Schwartz, R., Vassilev, A., Greene, K., Perine, L., Burt, A., and Hall, P. Towards a standard for identifying and managing bias in artificial intelligence. Special Publication (NIST SP), 2022. URL https://tsapps.nist.gov/publication/get_pdf.cfm?pub_id=934464.
- Shafer, G. and Vovk, V. A tutorial on conformal prediction. *Journal of Machine Learning Research*, 9(3), 2008.
- Shaikh, O., Zhang, H., Held, W., Bernstein, M., and Yang, D. On second thought, let's not think step by step! bias and toxicity in zero-shot reasoning. arXiv preprint arXiv:2212.08061, 2022.
- Shen, X., Chen, Z., Backes, M., Shen, Y., and Zhang, Y. "do anything now": Characterizing and evaluating in-the-wild jailbreak prompts on large language models. arXiv preprint arXiv:2308.03825, 2023.

- Sheng, Y., Cao, S., Li, D., Zhu, B., Li, Z., Zhuo, D., Gonza-Tao, Y., Viberg, O., Baker, R. S., and Kizilcec, R. F. Audit-
lez, J. E., and Stoica, I. Fairness in serving large language ing and mitigating cultural bias in llmsarXiv preprint
models.arXiv preprint arXiv:2401.005882023. arXiv:2311.140962023.
- Sheppard, B., Richter, A., Cohen, A., Smith, E. A., Kneese, Tonmoy, S., Zaman, S., Jain, V., Rani, A., Rawte, V.,
T., Pelletier, C., Baldini, I., and Dong, Y. Subtle misogyny Chadha, A., and Das, A. A comprehensive survey of hal-
lucination mitigation techniques in large language models.
arXiv preprint arXiv:2311.094432023. arXiv preprint arXiv:2401.013132024.
- Shi, W., Shea, R., Chen, S., Zhang, C., Jia, R., and Yu, Z. Just ne-tune twice: Selective differential privacy for
large language modelarXiv preprint arXiv:2204.07667
2022. Touvron, H., Martin, L., Stone, K., Albert, P., Almahairi,
A., Babaei, Y., Bashlykov, N., Batra, S., Bhargava, P.,
Bhosale, S., et al. Llama 2: Open foundation and
ne-tuned chat modelsarXiv preprint arXiv:2307.09288
2023.
- Shokri, R., Stronati, M., Song, C., and Shmatikov, V. Mem-
bership inference attacks against machine learning mod-
els. In 2017 IEEE Symposium on Security and Pri-
vacy (SP) pp. 3–18, Los Alamitos, CA, USA, may
2017. IEEE Computer Society. doi: 10.1109/SP.2017.
41. URL [https://doi.ieeecomputersociety.
org/10.1109/SP.2017.41](https://doi.ieeecomputersociety.org/10.1109/SP.2017.41) . Tramer, F., Carlini, N., Brendel, W., and Madry, A. On adap-
tive attacks to adversarial example defenses. *Advances in
Neural Information Processing Systems*, 33:1633–1645,
2020.
- Song, L., Shokri, R., and Mittal, P. Privacy risks of securing
machine learning models against adversarial examples.
In Proceedings of the 2019 ACM SIGSAC Conference on
Computer and Communications Security CCS '19, pp.
241–257, New York, NY, USA, 2019. Association for
Computing Machinery. ISBN 9781450367479. doi: 10.
1145/3319535.3354211. URL [https://doi.org/
10.1145/3319535.3354211](https://doi.org/10.1145/3319535.3354211) . Trist, E. L. and Bamforth, K. W. Studies in the quality of life:
Delivered by the institute of personnel management in
november 1957. Lecture Series, 1957. Tavistock Institute
of Human Relations.
- Sun, H., Pei, J., Choi, M., and Jurgens, D. Aligning
with whom? large language models have gender and
racial biases in subjective nlp tasksarXiv preprint
arXiv:2311.097302023. Ungless, E. L., Rafferty, A., Nag, H., and Ross, B. A robust
bias mitigation procedure based on the stereotype content
model. arXiv preprint arXiv:2210.145522022.
- Sun, S. and Ruan, W. TextVeri er: Robustness veri-
cation for textual classi ers with certi able guaran-
tees. In Rogers, A., Boyd-Graber, J., and Okazaki,
N. (eds.), Findings of the Association for Com-
putational Linguistics: ACL 2023 pp. 4362–4380,
Toronto, Canada, July 2023. Association for Computa-
tional Linguistics. doi: 10.18653/v1/2023.ndings-acl.
267. URL [https://aclanthology.org/2023.
findings-acl.267](https://aclanthology.org/2023.findings-acl.267) . van Lamsweerde, A., Darimont, R., and Letier, E. Managing
con icts in goal-driven requirements engineering. *IEEE
Transactions on Software Engineering*, 24(11):908–926,
1998. doi: 10.1109/32.730542.
- Sun, Y., Huang, X., Kroening, D., Sharp, J., Hill, M., and Wang,
Ashmore, R. Structural test coverage criteria for deep
neural networksACM Trans. Embed. Comput. Syst.
(5s), oct 2019. ISSN 1539-9087. doi: 10.1145/3358233.
URL <https://doi.org/10.1145/3358233> . Vega, J., Chaudhary, I., Xu, C., and Singh, G. Bypassing the
safety training of open-source llms with priming attacks.
arXiv preprint arXiv:2312.123212023.
- Tang, R., Zhang, X., Lin, J., and Ture, F. What do llamas
really think? revealing preference biases in language
model representationarXiv preprint arXiv:2311.18812
2023. Vinyals, O., Fortunato, M., and Jaitly, N. Pointer networks.
In Cortes, C., Lawrence, N., Lee, D., Sugiyama, M.,
and Garnett, R. (eds.) *Advances in Neural Information
Processing Systems*, volume 28. Curran Associates, Inc.,
2015. URL [https://proceedings.neurips.
cc/paper_files/paper/2015/file/
29921001f2f04bd3baee84a12e98098f-Paper.
pdf](https://proceedings.neurips.cc/paper_files/paper/2015/file/29921001f2f04bd3baee84a12e98098f-Paper.pdf) . Wang, B., Chen, W., Pei, H., Xie, C., Kang, M., Zhang,
C., Xu, C., Xiong, Z., Dutta, R., Schaeffer, R., Truong,
S. T., Arora, S., Mazeika, M., Hendrycks, D., Lin, Z.,
Cheng, Y., Koyejo, S., Song, D., and Li, B. Decodingtrust:
A comprehensive assessment of trustworthiness in gpt
models.arXiv preprint arXiv: 2306.116982024a.
- Tang, R., Zhang, X., Lin, J., and Ture, F. What do llamas
really think? revealing preference biases in language
model representationarXiv preprint arXiv:2311.18812
2023. Wang, F., Xu, P., Ruan, W., and Huang, X. Towards veri-
fying the geometric robustness of large-scale neural net-
works. In *IJCAI2023* 2023a.

- Wang, K.-C., FU, Y., Li, K., Khisti, A. J., Zemel, R., and Makhzani, A. Variational model inversion attacks. In Beygelzimer, A., Dauphin, Y., Liang, P., and Vaughan, J. W. (eds.) *Advances in Neural Information Processing Systems*, 2021. URL <https://openreview.net/forum?id=c0O9vBVSvll>.
- Wang, L., He, J., Li, S., Liu, N., and Lim, E.-P. Mitigating ne-grained hallucination by ne-tuning large vision-language models with caption rewrites. *International Conference on Multimedia Modeling*, pp. 32–45. Springer, 2024b.
- Wang, P., Wang, Z., Li, Z., Gao, Y., Yin, B., and Ren, X. Scott: Self-consistent chain-of-thought distillation. arXiv preprint arXiv:2305.01879, 2023b.
- Wang, Y., Li, H., Han, X., Nakov, P., and Baldwin, T. Do-not-answer: A dataset for evaluating safeguards in llms. arXiv preprint arXiv:2308.13387, 2023c.
- Wei, A., Haghtalab, N., and Steinhardt, J. Jailbroken: How does llm safety training fail? arXiv preprint arXiv:2307.02483, 2023.
- Welbl, J., Glaese, A., Uesato, J., Dathathri, S., Mellor, J., Hendricks, L. A., Anderson, K., Kohli, P., Coppin, B., and Huang, P.-S. Challenges in detoxifying language models. arXiv preprint arXiv:2109.07445, 2021.
- Wicker, M., Huang, X., and Kwiatkowska, M. Feature-guided black-box safety testing of deep neural networks. In Beyer, D. and Huisman, M. (eds.) *Tools and Algorithms for the Construction and Analysis of Systems*, pp. 408–426, Cham, 2018. Springer International Publishing. ISBN 978-3-319-89960-2.
- Xiang, A. Being 'seen' vs. 'mis-seen': Tensions between privacy and fairness in computer vision. *Harvard Journal of Law & Technology* 36(1), Fall 2022. Available at SSRN <https://ssrn.com/abstract=4068921> or <http://dx.doi.org/10.2139/ssrn.4068921>.
- Xiao, Y., Jin, Y., Bai, Y., Wu, Y., Yang, X., Luo, X., Yu, W., Zhao, X., Liu, Y., Chen, H., et al. Large language models can be good privacy protection learners. arXiv preprint arXiv:2310.02469, 2023.
- Xie, Z. and Lukasiwicz, T. An empirical analysis of parameter-efficient methods for debiasing pre-trained language models. arXiv preprint arXiv:2306.04067, 2023.
- Xu, Z., Jain, S., and Kankanhalli, M. Hallucination is inevitable: An innate limitation of large language models. arXiv preprint arXiv:2401.11817, 2024.
- Yao, H., Lou, J., Ren, K., and Qin, Z. Promptcare: Prompt copyright protection by watermark injection and verification, 2023.
- Yeh, K.-C., Chi, J.-A., Lian, D.-C., and Hsieh, S.-K. Evaluating interfaced llm bias. *Proceedings of the 35th Conference on Computational Linguistics and Speech Processing (ROCLING 2023)*, pp. 292–299, 2023.
- Yong, Z.-X., Menghini, C., and Bach, S. H. Low-resource languages jailbreak gpt-4. arXiv preprint arXiv:2310.02446, 2023.
- Yu, D., Naik, S., Backurs, A., Gopi, S., Inan, H. A., Kamath, G., Kulkarni, J., Lee, Y. T., Manoel, A., Wutschitz, L., Yekhanin, S., and Zhang, H. Differentially private re-tuning of language models. *The Tenth International Conference on Learning Representations, ICLR 2022, Virtual Event, April 25-29, 2022*. OpenReview.net, 2022. URL <https://openreview.net/forum?id=Q42f0dfjECO>.
- Zanella-Beguelin, S., Wutschitz, L., Tople, S., Rie, V., Paverd, A., Ohrimenko, O., Hof, B., and Brockschmidt, M. Analyzing information leakage of updates to natural language models. *Proceedings of the 2020 ACM SIGSAC conference on computer and communications security*, pp. 363–375, 2020.
- Zhang, Y. and Ippolito, D. Prompts should not be seen as secrets: Systematically measuring prompt extraction attack success. arXiv preprint arXiv:2307.06865, 2023.
- Zhang, Y., Jia, R., Pei, H., Wang, W., Li, B., and Song, D. The secret revealer: Generative model-inversion attacks against deep neural networks. *2020 IEEE/CVF Conference on Computer Vision and Pattern Recognition, CVPR 2020, Seattle, WA, USA, June 13-19, 2020*, pp. 250–258. Computer Vision Foundation / IEEE, 2020. doi: 10.1109/CVPR42600.2020.00033. URL https://openaccess.thecvf.com/content_CVPR_2020/html/Zhang_The_Secret_Revealer_Generative_Model-Inversion_Attacks_Against_Deep_Neural_Networks_CVPR_2020_paper.html.
- Zhao, H., Ma, C., Dong, X., Luu, A. T., Deng, Z.-H., and Zhang, H. Certified robustness against natural language attacks by causal intervention. In Chaudhuri, K., Jegelka, S., Song, L., Szepesvari, C., Niu, G., and Sabato, S. (eds.) *Proceedings of the 39th International Conference on Machine Learning*, volume 162 of *Proceedings of Machine Learning Research*, pp. 26958–26970. PMLR, 17–23 Jul 2022. URL <https://proceedings.mlr.press/v162/zhao22g.html>.

Zhao, R., Li, X., Joty, S., Qin, C., and Bing, L. Verify-and-edit: A knowledge-enhanced chain-of-thought framework. arXiv preprint arXiv:2305.03268, 2023.

Zhao, X., Banks, A., Sharp, J., Robu, V., Flynn, D., Fisher, M., and Huang, X. A safety framework for critical systems utilising deep neural networks. SafeComp2020 pp. 244–259, 2020.

Zhou, K. Z. and San lippo, M. R. Public perceptions of gender bias in large language models: Cases of chatgpt and ernie. arXiv preprint arXiv:2309.09120, 2023.

Zou, A., Wang, Z., Kolter, J. Z., and Fredrikson, M. Universal and transferable adversarial attacks on aligned language models. arXiv preprint arXiv:2307.15043, 2023.

	Llama Guard	Nvidia NeMo	Guardrails AI
Monitoring rules	!	!	!
Enforcement rules	%	!	!
Multi-modal support	!	!	%
Output check	!	%	!
Scalability support	–	%	!

Table 2. Compared Results of Guardrail Frameworks under Qualitative Analysis Dimensions

A. Comparison of Llama Guard, Nemo and Guardrails AI

We build the qualitative analysis dimensions based on the work of the guardrails (refer to Figure 1, Figure 2 and Figure 3), as shown in Table 2. The first factor to take into account is the capability of customizing rules for guardrails. Customized rules are considered into two dimensions, where monitoring rules refers to the ability to allow users to customize the functions performed by guardrails, and enforcement rules denotes the capacity to compel the production of pre-defined content upon detection of content. It is noted here that Llama Guard only classifies the output text, but does not enforce the output. Multi-modal support considers whether the input-output properties of the guardrail support multi-modality. Guardrails AI can only support text-based checks. In terms of output check, Nemo's output follows the flow execution of the Colang program, but there is no further validation if it imported GPT's generated content. Scalability support demonstrates whether the guardrail framework is applicable to the specific LLM. Llama Guard checks users' input and LLM's output, and does not interact directly with LLMs, so it is not considered for this dimension. Nvidia NeMo is only available with ChatGPT and Guardrails AI provides better scalability support.

B. Demonstration of the current challenges in ChatGPT

In this section, we showcase the negative aspects of ChatGPT's responses, as depicted in Figure 4. These aspects include unintended responses, biases, privacy breaches, and hallucinations. Additionally, we demonstrate the challenges faced by current guardrailed chatbots when it comes to refusing responses and delivering overly cautious responses in Figure 5.

In Figure 4(a), when we change the input prompt to a "Hypothetical response", ChatGPT provides a step-by-step guide on an illegal act, such as hotwiring a car, raising significant safety concerns. In the example illustrated in Figure 4(b), an unfair response may inadvertently come across as a joke, assuming that fairness is widely accepted or understood without further explanation. This oversight can have negative repercussions on communities, especially children, as it perpetuates harmful biases without adequate context or explanation. Regarding privacy leakage, we demonstrate an example in Figure 4(c), revealing that ChatGPT is unable to keep a secret within the conversation, even when we mention that the message will be shared with all attendees. In 4(d), we observe that when ChatGPT is asked to provide references, some information in the references can be inaccurate, raising concerns about the reliability in the scientific information.

In the context of opinion-based questions and answers surveys, the model is more inclined to abstain from responding, as demonstrated in Figure 5. As we can see in the example presented in Figure 5 (b), ChatGPT 4 tends to decline to answer potentially sensitive questions, even abstaining from delivering positive responses.

C. Evaluate current attack method

In this section, we showcase that ChatGPT 3.5 and 4 have successfully addressed and resolved certain state-of-the-art attack methods. Representative examples are shown in Figures 6(a)-6(d).

(a) Jailbreaking

(b) Fairness

(c) Privacy Leakage

(d) Hallucination

Figure 4. Harmful Response on ChatGPT 3.5

