# Information Retrieval



## Vannevar Bush

- Director of the Office of Scientific Research and Development (1941-1947)

Vannevar Bush, 1890-1974

- End of WW2 - what next big challenge for scientists?

## Historic Vision

"A memex is a device in which an an individual stores all his books, records, and communications, and which is mechanized so that it may be consulted with exceeding speed and flexibility. It is an enlarged intimate supplement to his memory."

Vannevar Bush, As we may think, *Atlantic Monthly*, July 1945.

## Prophetic: Hypertext

- "associative indexing, the basic idea of which is a provision whereby any item may be caused at will to select immediately and automatically another. This is the essential feature of the memex. The process of tying two items together is the important thing."

Vannevar Bush, As we may think, *Atlantic Monthly*, July 1945

## Prophetic: Wikipedia et al

- "Wholly new forms of encyclopedias will appear, ready made with a mesh of associative trails running through them, ready to be dropped into the memex and there amplified."

Vannevar Bush, As we may think, *Atlantic Monthly*, July 1945

## Vision

" This is a much larger matter than merely the extraction of data for the purposes of scientific research; it involves the entire process by which man profits by his inheritance of acquired knowledge"

Vannevar Bush, As we may think, *Atlantic Monthly*, July 1945

## Information Retrieval

- User wants information from a collection of "objects": information need
- User formulates need as a "query"
  - Language of information retrieval system
- System finds objects that "satisfy" query
- System presents objects to user in "useful form"
- User determines which objects from among those presented are relevant

➢ Define each of the words in quotes

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## Information Retrieval Problem

- User wants information from a collection of "objects": information need
- User formulates need as a "query"
  - Language of information retrieval system
- System finds objects that "satisfy" query
- System presents objects to user in "useful form"
- User determines which objects from among those presented are relevant CRITICAL NOTION

➢ Define each of the words in quotes

➢ Develop algorithms

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## Think first about text documents

Although search has changed, classic techniques still provide foundations
  – our starting point

- Early digital searches – digital card catalog:
  - subject classifications, keywords
- "Full text" : words + natural language syntax
  - No "meta-structure"
- Classic study
  - Gerald Salton SMART project 1960's

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## Scaling

- What are attributes changing from 1960's to online searches of today?

- How do they change problem?

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## Develop models

Begin with document:

How do we view document contents?

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## Modeling: "*query*"

How do we want to express a query?

What does it mean?

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## Modeling: "*query*"

*We will consider*

- *Query*
  - Basic query is one term
  - Multi-term query is (choose one):
    - Set of terms
    - Sequence of terms
      - multiplicity?
      - Other constraints?
    - Boolean combination of terms

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## Modeling: "*satisfying*"

- What determines if document satisfies query?
- That depends ….
  - Document model
  - Query model
  - definition of "satisfying" can still vary
- *START SIMPLE*
  - *better understanding*
  - *Use components of simple model later*

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## Present results in *"useful form"*

- most basic: give list of results
- meaning of order of list? => RANKING
- Goals of ranking
  - Order documents that satisfy a query by how well match the query
  - Capture relevance to user by algorithmic method of ordering

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## (pure) Boolean Model of IR

- Document: *set* of terms
- Query: Boolean expression over terms
- Satisfying:
  - Doc. evaluates to "true" on single-term query if contains term
  - Evaluate doc. on expression query as you would any Boolean expression
  - doc satisfies query if evals to true on query

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## Boolean Model example

**Doc 1**: "Computers have brought the world to our fingertips. We will try to understand at a basic level the science -- old and new -- underlying this new Computational Universe. Our quest takes us on a broad sweep of scientific knowledge and related technologies… Ultimately, this study makes us look anew at ourselves -- our genome; language; music; "knowledge"; and, above all, the mystery of our intelligence. (cos 116 description)

**Doc 2:** "An introduction to computer science in the context of scientific, engineering, and commercial applications. The goal of the course is to teach basic principles and practical issues, while at the same time preparing students to use computers effectively for applications in computer science …" (cos 126 description)

Query:

(principles AND knowledge) OR (science AND engineering)

0 1 1 0

Doc 1: FALSE

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## Boolean Model example

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Query:

(principles AND knowledge) OR (science AND engineering)

1 0 1 1

Doc 2: TRUE

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## Boolean Model example

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Query: (principles OR knowledge) AND (science AND NOT(engineering))

Doc 1: (0 OR 1 ) AND (1 AND NOT(0 )) TRUE

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## Boolean Model example

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Query: (principles OR knowledge) AND (science AND NOT(engineering))

Doc 2: (1 OR 0 ) AND (1 AND NOT(1 )) FALSE

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## (pure) Boolean Model of IR: how "*present results in useful form*"

- most basic: give list of results
- meaning of order of list? => RANKING?
- There is no sense of ranking in pure Boolean model
  - need idea in addition to "satisfying documents": generalize model

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## Restrict Boolean Model

- AND model: query is the AND of a set of query terms: term_1 AND term_2 AND…
  - just need specify set of terms
  - This model used by current search engines
- OR model: query is the OR of a set of query terms: term_1 OR term_2 OR …
  - just need specify set of terms
  - This original model for IR development
    - why?

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## Simple Model with Ranking

- Document: *bag* of terms - count occurrences
- Query: *set* of terms
- Satisfying: OR model
- Ranking: numerical score measuring degree to which document satisfies query

  some choices:
  - one point for each query term in document
  - ➢ one point for ***each occurrence*** of a query term in document
- Documents returned in sorted list by decreasing score

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## Simple Model: example

**Doc 1**: "Computers have brought the world to our fingertips. We will try to understand at a basic level the science -- old and new -- underlying this new Computational Universe. Our quest takes us on a broad sweep of scientific knowledge and related technologies… Ultimately, this study makes us look anew at ourselves -- our genome; language; music; "knowledge"; and, above all, the mystery of our intelligence. (cos 116 description)

Frequencies:

science 1; knowledge 2; principles 0; engineering 0

**Doc 2:** "An introduction to computer science in the context of scientific, engineering, and commercial applications. The goal of the course is to teach basic principles and practical issues, while at the same time preparing students to use computers effectively for applications in computer science …" (cos 126 description)

Frequencies:

science 2; knowledge 0; principles 1; engineering 1

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## Generalize Simple Model: The Vector Model

- Have a *lexicon* (aka *dictionary*) of all terms appearing in the collection of documents
  - *m* terms in all, number 1, …, *m*
- Document: an *m*-dimensional vector
  - $i^{th}$ entry of the vector is a real-valued *weight* (importance of ) term *i* in the document
- Query: an *m*-dimensional vector
  - The $i^{th}$ entry of the vector is a real-valued *weight* (importance of ) term *i* in the query

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## Vector Model: Satisfying & Ranking

- Satisfying:
  - Each document is scored as to the degree it satisfies query (higher better)
  - there is no inherent notion of satisfying
  - typically doc satisfies query if score is > threshold
- Ranking:
  - Documents are returned in sorted list decreasing by score:
    - Include only highest *n* documents, some *n?*

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## Where get dictionary of *t* terms?

- Pre-determined dictionary.
  - How sure get all terms?
- Build lexicon when collect documents
  - What if collection dynamic: add terms?

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## How compute score

Calculate a vector function of the document vector and the query vector

Choices:

1. distance between the vectors:

$$\text{Dist}(\boldsymbol{d},\boldsymbol{q}) = \sqrt{(\Sigma_{i=1}^{t}(\boldsymbol{d}_i - \boldsymbol{q}_i)^2)}$$

- Is *dissimilarity* measure
- Not normalized: Dist ranges [0, inf.)
- Fix: use $e^{-\text{Dist}}$ with range (0,1]
- Is it the right sense of difference?

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## How compute score, continued

2. angle between the vectors:

Dot product: $\boldsymbol{d}\bullet\boldsymbol{q} = \Sigma_{i=1}^{t}(\boldsymbol{d}_i * \boldsymbol{q}_i)$

- Is *similarity* measure
- Not normalized: dot product ranges (-inf., inf.)
- Fix: use normalized dot product, range [-1,1]

  $(\boldsymbol{d}\bullet\boldsymbol{q}) / (|\boldsymbol{d}|*|\boldsymbol{q}|)$ where $|\boldsymbol{v}| = \sqrt{\Sigma_{i=1}^{t}(\boldsymbol{v}_i^2)}$ the length of $\boldsymbol{v}$
- In practice vector components are non-negative so range is [0,1]
- This most commonly used function for score

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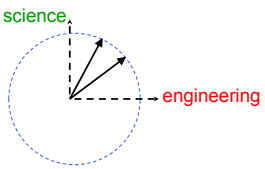
## Normalizing vectors

- If use unit vectors, $\boldsymbol{d} / |\boldsymbol{d}|$ and $\boldsymbol{v} / |\boldsymbol{v}|$ some of issues go away

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## The Simple Model as a Vector Model

- Document: an *m*-dimensional vector
  - $i^{th}$ entry of the vector is the number of times term *i* appears in the document
- Query: an *m*-dimensional vector
  - The $i^{th}$ entry of the vector is 1 if term *i* in the query, 0 otherwise
- Vector function: dot product

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## How compute weights $d_i$ and $q_i$?

First:

observations about this model?

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## Vector model: Observations

- Have matrix of terms by documents
  ⇒Can use linear algebra
- Queries and documents are the same
  ⇒Can compare documents same way
  - Clustering documents
- Document with only some of query terms can score higher than document with all query terms

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## How compute weights

- Vector model *could* have weights assigned by human intervention
  - may add meta-information
  - User setting query weights might make sense
    - User decides importance of terms in own search
  - Humans setting document weights?
    - Who? Billions+ of documents
- Return to model of documents as bag of words – calculate weights
  - Function mapping bag of words to vector

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## Summary weight calculation

- General notation:
  - $w_{jd}$ is the weight of term *j* in document *d*
  - $freq_{jd}$ is the # of times term *j* appears in doc *d*
  - $n_j$ = # docs containing term j
  - *N* = number of docs in collection
- Classic *tf-idf* definition of weight, normalized:

$$u_{jd} = freq_{jd} * log(N/ n_j)$$

$$w_{jd} = \frac{u_{jd}}{(\Sigma_{i=1}^{t}(u_{id}^2))^{1/2}}$$

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## Weight of query components?

- Set of terms, ***some choices***:
  1. $w_{jq}$ = 0 or 1
  2. $w_{jq} = freq_{jq} * log(N/ n_j)$
     $= 0 \text{ or } log(N/ n_j)$
- Bag of terms
  - Analyze like document
    Some queries are prose expressions of ***information need***

*Do we want idf term in both document weights and query weights?*

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## Vector Model example

**Doc 1**: "Computers have brought the world to our fingertips. We will try to understand at a basic level the science -- old and new -- underlying this new Computational Universe. Our quest takes us on a broad sweep of scientific knowledge and related technologies… Ultimately, this study makes us look anew at ourselves -- our genome; language; music; "knowledge"; and, above all, the mystery of our intelligence. (cos 116 description)

Frequencies:

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Frequencies:

science 2; knowledge 0; principles 1; engineering 1

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## Vector model example cont.

- Consider the 5 100-level and 200-level COS courses as the collection (109, 217, 226)
- Only other appearance of our 4 words is "science" once in 109 description.
- idf:
  science ln(5/3) = .51
  engineering, principles, knowledge:
  ln(5/1) = 1.6

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## Term by Doc. Table: $freq_{jd}$ * $log(N/ n_j)$

| | Doc 1 | Doc 2 |
|---|---|---|
| science | .51 | 1.02 |
| engineering | | 1.6 |
| principles | | 1.6 |
| knowledge | 3.2 | |

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## Unnormalized dot product for query: *science*, *engineering*, *knowledge*, *principles* using 0/1 query vector

- Doc 1: 3.71
- Doc 2: 4.22

- If documents have about same vector length, this right ratio for normalized (cosine) score

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## Additional ways to calculate document weights

- Dampen frequency effect:
  $w_{jd} = 1 + log(freq_{jd})$ *if* $freq_{jd} > 0$; *0 otherwise*
- *Use smoothing term to dampen effect:*
  $W_{jd} = a + (1-a)\ freq_{jd} / max_p(freq_{pd})$
  - *a is typically .4 or .5*
  - *Can multiply second term by idf*
- *Effects for long documents (Section 6.4.4)*

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## Classic IR models - Taxonomy

Well-specified models:

✓Boolean
✓Vector

- Probabilistic
  – based on probabilistic model of words in documents

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# Extending classic information retrieval for today's possibilities

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# Ranking

- What intuitive criteria?

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# Enhanced document model

- First model: set of terms
  - term in/not in document
- Next: bag of terms
  - know frequency of terms in document
- Now: sequence of terms + additional properties of terms
  - sequence gives you where term in doc
    - derive relative position of multiple query terms
  - Special use? (e.g. in title, font, … )
    - most require "mark-up": tags, meta-data, etc.

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# HTML mark-up example

<h2> <font color="#A52A2A"> Communication </font></h2>
This course will be essentially ``paperless". All assignments will be posted <i>only</i> on the course Web site. ``Handouts" and copies of any transparencies used in class will be posted on the course Web site as well. Important announcements on all aspects of the course will be made on the <a href="announce.html"> Announcements</a> page. <b>Students are responsible for monitoring the postings under ``Announcements". </b> Schedule changes will be made on the on-line <a href="schedule.html"> schedule page</a>. and announced under ``Announcements". The only paper we will exchange is your solutions to the problem sets, which we will grade and hand back, the exam questions and your responses, and your project reports.

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# yields

Communication

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# Enhanced document model: restate

"sequence of terms + properties of terms"

⇓ WHY?

"set of (term, properties) pairs"

Properties:

- for each distinct term
  - Frequency of term in doc
    - Vector model of classic IR
- for individual occurrence of each term
  - Where in doc.
  - properties of use

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## Model

- Document: set of (term,properties) pairs
- Query: sequence of terms
  - Can make more complicated
- Satisfying: AND model
  - relax if no document contains all?
- Ranking: wide open function
  - info beyond documents and query ?

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## Data Structure for Collection

- for each document, keep list of:
  - terms appearing
    - aggregate properties of term
      e.g. frequency
    - positions at which each term occurs
      - attributes for each occurrence of term
- keep summary information for documents

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## Data Structure for Collection: Invert

- for each term, keep list of:
  - documents in which it appears
    - positions at which it occurs in each doc.
      - attributes for each occurrence
- keep summary information for documents
- keep summary information for terms

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## Inverted Index for Collection

- for each term, keep POSTINGS LIST of:
  - each document in which it appears
    - each position at which it occurs in doc. — POSTING
      - attributes for each occurrence
- Core structure used by query evaluation and document ranking algorithms

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## Index structure

$term_1$:(doc ID (position, attributes)
(position, attributes),
…
(position, attributes) )
(doc ID (position, attributes)
(position, attributes),
…
(position, attributes) )
…
$term_2$:(doc ID (position, attributes)
(position, attributes),
…
(position, attributes) )
…

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## Models have seen

| Model | Document | Query | Satisfy |
|---|---|---|---|
| Boolean | set of terms | Boolean expression over terms | evaluate boolean expression |
| Vector<br>dictionary of *t* terms | *t*-dimensional vector | *t*-dimensional vector | vector measure of similarity<br>Doc.s ranked by score |
| Extended | set of pairs (term, properties) | sequence of terms | Boolean AND<br>Doc.s ranked; flexible scoring algorithm |

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