

Information Retrieval and Web Search Engines

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- Boolean retrieval:
 - Documents: Sets of words (index terms)
 - Queries: Propositional formulas
 - Result: The set of documents satisfying the query formula

- Example:

Document₁ = {step, mankind, man}

Document₂ = {step, China, taikonaut}

Document₃ = {step, China, mountaineer}

Query = "step AND ((China AND taikonaut) OR man)"

Result = { $Document_1$, $Document_2$ }



I. Fuzzy retrieval model

- 2. Coordination level matching
- 3. Vector space retrieval model
- 4. Recap of probability theory





• Observation:

Not all index terms representing a document are equally important, or equally characteristic

- Are there any synonyms to the document's terms?
- Does a term occur more than once in the document?
- Can we assign weights to terms in documents?
- Idea:

Improve Boolean retrieval! Describe documents by **fuzzy sets** of terms!

- No binary set membership, but graded membership!
- Advantage: Fuzzy (i.e. ordered!) results sets



• Fuzzy sets:

{step, China, mountaineer}

{step/0.4, China/0.9, mountaineer/0.8}

- Open Problems:
 - How to deal with fuzzy logic?
 - Where to get membership degrees from?





- Developed by Lotfi Zadeh in 1965
- Possible truth values are not just "false" (0) and "true" (1) but any number between 0 and 1
- Designed to deal with classes whose boundaries are not well defined The class "tall person"







- How to translate Boolean operators into fuzzy logic?
 - Propositional logic should be a special case
 - Fuzzy operators should have "nice" properties: commutativity, associativity, monotony, continuity, …
- Zadeh's original operators:
 - Let $\mu(A)$ denote the truth value of the variable A
 - Conjunction:

 $\mu(A \wedge B) = \min\{\mu(A), \mu(B)\}$

- **Disjunction**:

 $\mu(A \lor B) = \max\{\mu(A), \mu(B)\}$

- Negation:

 $\mu(\neg A) = I - \mu(A)$



- Document = {step/0.4, China/0.9, mountaineer/0.8}
- Query = "(step BUT NOT China) OR mountaineer"

Document's degree of query satisfaction is 0.8



- Zadeh operators indeed have "nice" properties
- But sometimes, they behave strange:

 $Document_1 = \{step/0.4, China/0.4\}$ $Document_2 = \{step/0.3, China/1\}$

Query = "step AND China"

Result = { $Document_1/0.4$, $Document_2/0.3$ }



• All documents lying on the green line are satisfying the query equally well (degree 0.7):





- Second problem: Where to get fuzzy membership degrees for index terms from?
- Obvious solution:
 - A lot of work ...



• Better solution:

 Take crisp bag of words representation of documents, and convert it to a fuzzy set representation



- Approach by Ogawa et al. (1991):
 - Idea: Extend each document's crisp sets of terms
 - Each document gets assigned:
 - Its crisp terms (use fuzzy degree I)
 - Additional terms being similar to these crisp terms (use degree ≤ 1)

{step, China, mountaineer}



{step/1, China/1, mountaineer/1, alpinist/0.8, Asia/0.4}

- I. Use the Jaccard index to get a notion of term similarity
- 2. Compute fuzzy membership degree for each term-document pair using this similarity



- Jaccard index:
 - Measures which terms co-occur in the document collection
 - The Jaccard index c(t, u) of the term pair (t, u) is

#documents containing **both** term *t* and term *u*

#documents containing at least one of term t and term u

- Also known as term-term correlation coefficient, although it is not a correlation in the usual sense
 - A usual correlation coefficient would be high, if most documents do not contain any of the two terms



- Jaccard index:
 - Document₁ = {step, man, mankind}
 - Document₂ = {step, man, China}
 - Document₃ = {step, mankind}

c(t, u)	step	man	mankind	China
step	I	0.67	0.67	0.33
man		I	0.33	0.5
mankind			I	0
China				I

#documents containing **both** term *t* and term *u*

#documents containing **at least one** of term *t* and term *u*



- Ogawa et al. (1991) compute the fuzzy index terms as follows:
 - The fuzzy membership degree of term t with respect to document D (represented as crisp set of terms) is

$$W(D, t) = I - \prod_{u \in D} (I - c(t, u))$$

- I c(t, u) is the fraction of documents containing one of term t and term u but not both
- $-t \in D$ implies W(D, t) = I
- Idea: Give terms a high fuzzy membership degree that usually occur together with the other document terms; those terms will capture the document's topic best



- Document₁ = {step, man, mankind}
- Document₂ = {step, man, China}
- Document₃ = {step, mankind}

W(D, t)	step	man	mankind	China
Document	I	I	1	0.67
Document ₂	I	1	0.78	I
Document ₃	I	0.78	1	0.33

c(t, u)	step	man	mankind	China
step	I	0.67	0.67	0.33
man		I .	0.33	0.5
mankind			I	0
China				I

 $W(D,t) = I - \prod_{u \in D} (I - c(t,u))$

Fuzzy Retrieval Model

- Cons:
 - Computation of fuzzy membership weights usually is difficult
 - Main problem: All weights must be within [0, 1]
 - Lack of intuitive query processing
 - But: There are many other ways to define fuzzy conjunction and disjunction (using t-norms and t-conorms)
- Pros:
 - Supports non-binary assignment of index terms to documents
 - It is possible to find relevant documents that do not satisfy the query in a strict Boolean sense
 - Ranked result sets





• Fuzzy Logic is all about degrees of truth



 Degree of truth is absolutely true (1), absolutely false(0), or some intermediate truth

Fuzzy logic vs Probability

- Lotfi Zadeh argues that fuzzy logic is different from probability theory
- Zadeh defines **Possibility theory**; Fuzzy alternative to Probability
- Fuzzy logic and probability refer to different kinds of uncertainty

Fuzzy logic: deals with imprecision of facts and produce fuzzy statements (e.g. rather tall)

 Probability theory: deals with chances of something happening, but produces precise statements (e.g. tall, not tall)



Fuzzy logic vs Probability

- Possibility is different from probability!
- Zadeh's own example:

"Hans ate X eggs for breakfast"

X	I	2	3	4	5	6	7	8
Possibility	I	I	I	I	0.8	0.6	0.4	0.2
Probability	0.1	0.8	0.1	0	0	0	0	0

The possibility of an event doesn't mean its probablility.



- I. Fuzzy retrieval model
- 2. Coordination level matching
- 3. Vector space retrieval model
- 4. Recap of probability theory



Bag-of-Words Queries

• Propositional formulas are mathematically handy, but often hard to use for querying

"step AND ((China AND taikonaut) OR man)"

- Alternative: **Bag-of-words queries**
 - Queries are represented as a bag of words ("virtual documents")
 - Luhn's idea:

Let the user **sketch the document** she/he is looking for!



- Advantage: Comparing queries to documents gets simpler!
- Many successful retrieval models are based on bag-of-words queries!

Coordination Level Matching

- Coordination level matching (CLM) is a straightforward approach to bag-of-words queries
 - Idea: Documents whose index records have n different terms in common with the query are more relevant than documents with n - I different terms held in common
- The coordination level (also called "size of overlap") between a query Q and a document D is the number of terms they have in common
- How to answer a query?
 - I. Sort the document collection by coordination level
 - 2. Return the head of this sorted list to the user (say, the best 20 documents)



- Document₁ = {step, man, mankind}
 Document₂ = {step, man, China}
 Document₃ = {step, mankind}
- Query₁ = {man, mankind}
 Result:
 - I. Document₁ (2)
 - 2. Document₂, Document₃ (1)
- Query₂ = {China, man, mankind}
 Result:
 - I. Document₁, Document₂ (2)
 - 2. Document₃ (I)



- I. Fuzzy retrieval model
- 2. Coordination level matching
- 3. Vector space retrieval mode!
- 4. Recap of probability theory





- Spatial structure of libraries: Topically related books are standing side by side
- Can we transfer this principle to information retrieval?



Doc

Doc₆

Doc₂

Doc₄

Doc

Query Doc₃

• Idea:

Represent documents and queries as points in an **abstract semantic space**

- Measure **similarity** by **proximity**



- The vector space model was proposed by Gerard Salton (Salton, 1975)
- Documents and queries are represented as point in *n*-dimensional real vector space Rⁿ, where *n* is the size of the index vocabulary

 Usually, *n* is very large: 500,000 terms (at least)
- Each index term spans its own dimension
- Obvious first choice:
 Represent documents by its incidence vectors



• Document₁ = {step, China/3} Document₂ = {step/2, China} Document₃ = {step}





- How to define similarity/proximity?
- A metric on a set X is a function $d: X \times X \to \mathbb{R}$ having the following properties:
 - $d(x, y) \ge 0$, for any $x, y \in X$
 - -d(x, y) = 0 iff x = y, for any $x, y \in X$
 - d(x, y) = d(y, x), for any $x, y \in X$
 - $d(x, z) \le d(x, y) + d(y, z), \text{ for any } x, y, z \in X$
- (non-negativity)(identity)(symmetry)(triangle inequality)

• Example: Euclidean distance

$$d(x_1,\ldots,x_n;y_1,\ldots,y_n) = \sqrt{\sum_{i=1}^n (x_i,\ldots,x_n;y_i)}$$

$$\sqrt{\sum_{i=1}^n (x_i - y_i)^2}$$



• **Geometric meaning** of Euclidean distance:





- A similarity measure on a set X is a function $s : X \times X \rightarrow [0, 1]$ where
 - s(x, y) = 1 means that x and y are maximally similar

- s(x, y) = 0 means that x and y are **maximally dissimilar**

- There is no general agreement on what additional properties a similarity measure should possess
- Example: Cosine similarity in vector spaces

 $s(x, y) = cos(\alpha)$

- $-\alpha$ is the angle between these two vectors:
 - The vector pointing from the origin to x
 - The vector pointing from the origin to y



• **Geometric meaning** of cosine similarity:





• How to **compute the angle** α between two vectors?

$$\cos(\alpha) = \frac{x \cdot y}{\|x\| \cdot \|y\|}$$

• "." denotes the **dot product** (aka scalar product), i.e.

$$x \cdot y = \sum_{i=1}^{n} x_i \cdot y_i$$

• " $\|\cdot\|$ " denotes the **Euclidean norm** (aka ℓ^2 -norm), i.e.

$$\|x\| = \sqrt{\sum_{i=1}^n x_i^2}$$

Recap: Coordination Level Matching

- Let's assume term vectors only contain binary term occurrences
- Then, the scalar product of the query vector x and a document vector y is the coordination level of x and y

$$x \cdot y = \sum_{i=1}^{n} x_i \cdot y_i$$

The "Right" Measure

- Be careful!
 - The choice of distance or similarity measure always depends on the current application!
- Different measures often behave similar, but not always ...
 - Low Euclidean distance implies high cosine similarity, the converse is not true





- Cosine similarity does not depend on the length of document and query vectors
- But using other measures, this might make a difference ...





- There are many ways to **normalize** the vector representation of documents and queries
- Most popular:
 - Divide each coordinate by the vector's length,
 i.e. normalize to length 1:

- Divide each coordinate by the vector's largest coordinate:

X

 $\|x\|$

X

- Divide each coordinate by the sum the vector's coordinates: X





Normalization to unit vectors,
 i.e. vectors of length/norm I, is a special case:



- All documents and queries are located on the unit sphere
- The rank ordering produced for a query is the same for Euclidean distance and cosine similarity



- Often, longer documents cover a topic more in-depth
- Therefore, accounting for document length might be reasonable
 - There are several strategies how this can be done
 - Straightforward:
 - I. Compute query result on normalized documents and query
 - 2. Give long documents a small boost proportional to their length (maybe you should apply a dampening factor to account for extremely large documents)
 - More advanced:
 - Measure the effect of document length on relevance within your current document collection
 - Adjust the ranking according to these insights

Vector Representation

- Are there any more advanced ways of representing documents in vector space than just copying their bag of words representation?
- Of course!
- Luhn's observation (1961):
 Repetition of words is an indication of emphasis
 - We are already exploiting this by using the bag of words model!
 - The number of occurrences of a term in a document or query is called its "term frequency"
 - Notation:

tf(d, t) is the term frequency of term t in document d



- Discrimination:
 - Not every term in a collection is equally important
 - For example, the term "psychology" might be highly discriminating in a computer science corpus; in a psychology corpus, it doesn't carry much information
 - Denote the discriminative power of a term t by disc(t)
 - There are many ways to formalize discriminative power ...
- General term weighting framework:
 - Higher term frequency \Rightarrow Higher term weight
 - Higher discriminative power \Rightarrow Higher term weight
- Term weight should be proportional to tf(d, t) · disc(t)



- Karen Spärck Jones observed that, from a discrimination point of view, what we'd really like to know is a term's specificity (Spärck Jones, 1972):
 - In how many documents a given term is contained?
 - The term specificity is negatively correlated with this number!
 - The more specific a term is, the larger its discriminative power is





- The number of documents containing a given term t is called t's **document frequency**, denoted by **df(t)**
- Karen Spärck Jones proposed the TF-IDF term weighting scheme:
 - Define the weight of term t in document d as:

 $tf(d, t) \cdot \frac{1}{df(t)}$

– "IDF" = "inverse document frequency"



- Spärck Jones: The relationship between specificity and inverse document frequency is **logarithmic!**
- This leads to today's most common form of TF-IDF, as proposed by Robertson and Spärck Jones (1976):

$$tf(d, t) \cdot \log\left(\frac{N+0.5}{df(t)+0.5}\right)$$

- -N is the number documents in the collection
- "+ 0.5" accounts for very frequent and very rare terms
- "N / df(t)" normalizes with respect to the collection size

Term Discrimination

- A different approach to defining disc(t) is motivated by looking at the document collection's structure
 - Let s be some similarity measure between documents
 - Let C be a collection and let N be its size
 - Define s_{avg} to be the average similarity across all documents: $s_{avg} = \frac{1}{N^2} \sum_{d \ e \in C} s(d, e)$
 - Define $s_{avg, t}$ to be the average similarity across all documents, after removing the vectors' dimension corresponding to term t
 - Then, a measure for term t's discriminative power is

$$s_{avg} - s_{avg, t}$$



$$s_{avg} - s_{avg, t}$$

- Underlying idea:
 - Removing a highly discriminative term will lead to large changes in average document similarity
 - Removing a non-discriminative term will not change the average document similarity significantly
- Computation of average similarity is expensive but can be speeded up by heuristics
 - For example, use average similarity to the average document instead of average similarity over all document pairs (linear runtime, instead of quadratic)



 Salton et al. (1983) analyzed the retrieval effectiveness of Boolean retrieval, fuzzy retrieval, and vector space retrieval

Collection	MEDLARS	ISI	INSPEC	CACM
#documents	1033	1460	12684	3204
#queries	30	35	77	52
Boolean	0.21	0.11	0.12	0.18
Fuzzy	0.24	0.10	0.13	0.16
Vector space	0.55	0.16	0.23	0.30

- The table shows average precision using fixed recall, this will be explained in detail in one of the next lectures
- Rule of thumb: The larger the number,
 the more relevant documents have been retrieved

Vector Space Model: Pros

- Pros:
 - Simple and clear
 - Intuitive querying yields high usability
 - Founded on "real" document rankings, not based on result sets
 - Highly customizable and adaptable to specific collections:
 - Distance/similarity functions
 - Normalization schemes
 - Methods for term weighting
 - High retrieval quality
 - Relevance feedback possible (will be covered soon...)



Vector Space Model: Cons

• Cons:

- High-dimensional vector spaces,
 specialized algorithms are required (next lectures...)
- Relies on implicit assumptions, which do not hold in general:
 - Cluster hypothesis:
 - "Closely associated documents tend to be relevant with respect to the same queries"
 - Independence/orthogonality assumption:
 "Whether a term occurs in a document, is independent of other terms occurring in the same document"





Detour

- Libraries and classical IR:
 - Manually define a list of suitable index terms
 - Manually assign a list of index terms to each document
 - Rationale:

"Effectiveness is more important than efficiency."

- Modern IR and Web search:
 - Automatically assign index terms to documents
 - Every word in the document is an index term!
 - Rationale:

"Efficiency is more important than effectiveness."



• The situation around 1960:





Detour

- Research question:
 - How can we speed up and simplify the manual indexing process, without sacrificing quality?





- The Cranfield II research project (1963–1966):
 - Investigate 29 novel indexing languages
 - Most of them artificial and highly controlled
 - But also: Simple and "natural" ones
 - Find methods to evaluate IR systems

- Surprising result:
 - Automatic indexing is (at least) as good as careful manual indexing







Cyril Cleverdon (1914–1997)

"This conclusion is so **controversial** and so **unexpected** that it is bound to throw **considerable doubt on the methods** which have been used. [...]

A **complete recheck** has failed to reveal any discrepancies. [...]

There is no other course except to attempt to explain the **results which seem to offend against every canon** on which we were trained as librarians."

• SMART:

System for the Mechanical Analysis and Retrieval of Text

- Information retrieval system developed at Cornell University in the **1960s**
- Research group led by Gerard Salton (born Gerhard Anton Sahlmann)
- "Gerry Salton was information retrieval" (from: In memoriam: Gerald Salton, March 8, 1927–August 28, 1995)
- SMART has been the first implementation of the vector space model and relevance feedback











• Early hardware: **IBM 7094**



• "A basic machine operating cycle of 2 microseconds"





- System was under development until the mid-1990s (up to version 11)
- The latest user interface:
 - # indexes the document collection
 - \$ smart index.doc spec.file < doc_loc</pre>
 - # shows statistics on dictionaries, inverted files, etc
 - \$ smprint -s spec.data rel_header file.above
 - # index the query collection
 - \$ smart index.query spec.file < query</pre>
 - # automatic retrieval run
 - \$ smart retrieve spec.atc





- Early versions of SMART have been evaluated on many **test collections**:
 - ADI: Publications from information science reviews
 - CACM: Computer science
 - Cranfield collection: Publications from aeronautic reviews
 - CISI: Library science
 - Medlars collection: Publications from medical reviews
 - Time magazine collection: Archives of the generalist review *Time* in 1963



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- Soon, we will discuss **probabilistic retrieval models**
- To prepare for this, we will have a quick look at some fundamental concepts needed:
 - Probability
 - Statistical independence
 - Conditional probability
 - Bayes' theorem





- **Probability** is the likelihood or chance that something is the case or will happen
- Usually, used to describe the results of well-defined random experiments
- Example: Let's play the following game:
 - Roll a 6-sided dice
 - Then, roll it again
 - If you roll at least 9 in total or if your second roll is 1, you win
 - Otherwise, you lose





- Would you play this game,
 if it costs you 10€ and you can win 20€?
- What can happen?
 - $-6 \cdot 6 = 36$ different **events**

Winning: At least 9 in total or second roll is 1

	I	2	3	4	5	6
1	2	3	4	5	6	7
2	3	4	5	6	7	8
3	4	5	6	7	8	9
4	5	6	7	8	9	10
5	6	7	8	9	10	11
6	7	8	9	10	11	12



• What's the probability of rolling at least 9 in total?

Answer: 10/36 ≈ 0.28

• What's the probability of getting I in the second roll?

Answer: 1/6 ≈ 0.17

• What's the probability of winning?

Answer: 16/36 ≈ 0.44

	I	2	3	4	5	6
I	2	3	4	5	6	7
2	3	4	5	6	7	8
3	4	5	6	7	8	9
4	5	6	7	8	9	10
5	6	7	8	9	10	11
6	7	8	9	10	11	12

Statistical Independence

- Two events are **independent**, intuitively means that the occurrence of one event makes it neither more nor less probable that the other occurs
- Standard definition: Events A and B are independent, if and only if $Pr(A \text{ and } B) = Pr(A) \cdot Pr(B)$
- Questions:
 - Are "3 in the first roll" and "4 in the second roll" independent?
 Answer: Yes
 - Are "10 in total" and "5 in the second roll" independent?
 Answer: No
 - Are "12 in total" and "5 in the first roll" independent?
 Answer: No



Conditional probability is the probability of some \bullet event A, given the occurrence of some other event B

$$\Pr(A|B) = rac{\Pr(A \text{ and } B)}{\Pr(B)}$$

 What's the probability of winning the game, given I got 4 in the first roll? Answer: 3/36 / 1/6 = 1/2

• What's the probability of having had 4 in the first roll, given I won the game?

Answer: $3/36 / 16/36 = 3/16 \approx 0.19$

	I	2	3	4	5	6
I -	2	3	4	5	6	7
2	3	4	5	6	7	8
3	4	5	6	7	8	9
4	5	6	7	8	9	10
5	6	7	8	9	10	П
6	7	8	9	10	П	12



- After Thomas Bayes (1702–1761)
- It says:

$$\Pr(A|B) = \frac{\Pr(A)}{\Pr(B)} \cdot \Pr(B|A)$$



- What's the probability of having had 4 in the first roll, given I won the game?
 - Pr(win | 4 in first roll) = 1/2
 - Pr(win) = 16/36
 - Pr(4 in first roll) = 1/6

Answer: $(1/6 / 16/36) \cdot 1/2 = 3/16 \approx 0.19$



$$\Pr(A|B) = \frac{\Pr(A)}{\Pr(B)} \cdot \Pr(B|A)$$

- Pr(A) is called the prior probability of A
- Pr(A|B) is called **posterior** probability of A
- Idea underlying these names: Pr(A) gets "updated" to Pr(A|B) after we observed B



• Probabilistic retrieval models

