Notes on Vector Retrieval

Compiled by D. Gueorguiev, 10/18/2025, following Sebastian Bruch’s *“Foundations of Vector Retrieval”*

# Introductory Notes

A diagram of a number

AI-generated content may be incorrect.Let us consider a text document in English. Strip the document of grammar and word order and we end up with *a set* of words a.k.a. “bag of words” (BoW).

Figure: Vector representation of a piece of text by adopting BoW approach: a text document, when stripped of grammar and word order, is represented by a vector where each coordinate represents a term in our vocabulary and its value records the frequency of that term or represent some function of the frequency. The resulting vectors are *sparse* – that is , they have few non-zero coordinates.

Transformer-based models ([5], [6]) brought about vector representations that beyond the elementary formation above. The resulting vector representation is referred to as an *embedding*, instead of a “feature vector”, though the underlying concept is the same – an object is encoded as a real -dimensional vector, a point in .

Question: how the embedding of a text document differs from its representation as a frequency-based feature vector?

In the lexical BoW representation if a coordinate is non-zero, that implies that the corresponding term is present in the document and its value indicates its frequence-based feature. In the embedding representation our embedding algorithm *learns* to turn coordinates on or off and when a coordinate is turned on , its value must predict the significance of the corresponding term based on semantics and contextual information. For example, the absent synonyms of a present term may get a non-zero value, and terms that offer little discriminative power in the given context become 0 or close to it.

This idea has been explored by many recent embedding models such as those discussed in [7], [8], [9], [10], [11], [12], [13], and [14].

Similarity in vector space must imply similarity between objects. So, as we engineer features to be extracted from an object or design a protocol to learn a model to produce embeddings of data, we must choose the dimensionality of the target space (a subset of ) along with a distance function . Together, these define an inner product of metric space.

Consider the lexical representation of a text document where d is the size of the English vocabulary

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# Appendix

## Notes on SparTerm model for Learning Term-based Sparse Representation for Fast Text Retrieval

Text retrieval in response to natural language query is a core task for information retrieval systems. A popular approach to this problem adopts a two-stage pipeline, where as a first stage an initial set of documents is retrieved from the document collection by a fast retriever, and then further re-ranked by more suitable re-ranker models.

For the first-stage retrieval, neural dense representations outperform sparse methods in many NLP tasks, but this is not necessarily true in scenarios that emphasize long document retrieval and exact matching.

Moreover, for extremely large candidate collection, the dense method struggles with the efficiency vs accuracy tradeoff.

The paper proposing SparTerm model and related algorithm is [7].

Question: Can we transfer the deep knowledge of the pretrained language model (PLM) to **Term**-based **Spa**rse representations, aiming to improve the representation capacity of BoW while keeping its advantages?

The proposed SparTerm comprises an importance predictor to predict the importance for each term in the vocabulary, and a gating controller to control the term activation. These two modules cooperatively ensure the sparsity and flexibility of the final text representation, which unifies the term-weighting and expansion in the same framework.

## 2-Poisson model

2-Poisson model is a statistical model used primarily in information retrieval to represent term frequencies in documents. It assumes that the frequency of a term in a document follows a mixture of two Poisson distributions – one for “elite” or highly relevant documents, and second one for “non-elite” documents capturing the different patterns in word occurrence. This model was developed to improve upon simpler methods by considering factors like within-document frequency, document length and within-query frequency.

### Definitions and assumptions

**Elite vs Non-elite terms**: the model is based on the “eliteness hypothesis” which suggests some documents are more “elite” for a given term. The model splits a document collection into two groups for a given term.

**Elite documents**: these documents have a higher mean rate () for the term’s occurrences, meaning the term appears more frequently and is more central to the document’s content

**Non-elite documents**: these documents have a lower mean rate () for the term’s occurrences, where the term appears randomly, like linguistic “glue” words or stop words.

**Mixture model**: a document is treated as a mixture of the two distributions, with parameters representing the means of each Poisson distribution and the probability of the document being in the “elite” category.

**Parameter estimation**: the model’s parameters (two means and the mixing probability) are often estimated using the Expectation-Maximization (EM) algorithm for each term in a collection.

**Document length**: Although technical the model can be used without it, it often assumes that the document length is constant. Variations have been developed to explicitly condition on document length making it a bivariate model.

## Simple Approximations to the 2-Poisson Model for Probabilistic Weighted Retrieval

This Appendix Section is a summary of the results and discussion in [16].

## Jaccard index and Jaccard distance

The *Jaccard index* is a statistic used for gauging the similarity and the lack of diversity of sample. It is defined as the ratio of two sizes (areas or volumes), the intersection size divided by the union size also called *intersection over union*.

Thus, the Jaccard index is defined as the size of the intersection divided by the size of the union of the sample sets

Obviously, . If no elements are common, then obviously . If clearly .

The *Jaccard distance* measures dissimilarity between sample sets and is complementary to the Jaccard index. It is obtained as:

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