

CS-4051 Information Retrieval

Lecture # 1

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Indexing

Course Outline

- Text Pre-processing
- Text Statistics
- Retrieval Models
- Evaluation (Precision, Recall, NDCG, F Measure, MAP etc)
- □ Normalized Discounted Cumulative Gain (NDCG) mean Average Precision (mAP)
 - Text Compression
 - Index Compression
 - Web Retrieval
 - Web Crawling and Link Analysis
 - Page Rank
 - Clustering
 - Classification

Course Textbook

 [MRS] Introduction to Information Retrieval by Manning, Raghavan, and Schütze - available free online.

Reading Material

References Books

- (MG) Managing Gigabytes, by I. Witten, A. Moffat, and T. Bell.
- (IRAH) Information Retrieval: Algorithms and Heuristics, by D. Grossman and O. Frieder.
- (MIR) Modern Information Retrieval, by R. Baeza-Yates and B. Ribeiro-Neto.
- (FSNLP) Foundations of Statistical Natural Language Processing, by C. Manning and H. Schütze.
- (SE) Search Engines: Information Retrieval in Practice, by B. Croft, D. Metzler, and T. Strohman.
- (IRIE) Information Retrieval: Implementing and Evaluating Search Engines, by S. Büttcher, C. Clarke, and G. Cormack.

Grading Criteria

- Assignments + Class Exercises (10%)
- Quizzes (10%)
- Project and research paper (10+5%)
- Midterm Exam (25%)
- Final Exam (40%)
- Grading scheme is Absolute under application of CS department's grading policies
- Minimum requirement to pass this course is to obtain at least 50% absolute marks

Course Policy

- All assignments and homework must be done individually, until specified as a group task.
- Quizzes will be announced / unannounced.
- No makeup for missed quiz or assignment.
- Late Submissions of assignments will not be accepted.
- Minimum 80% attendance is required for appearing in the Final exams.

Plagiarism Policy

- -1 absolute from final grade
- Final grade is lowered
- F in course

Projects

- In a group of 3
- Each milestone contains absolute weightage
- Milestone 1: (1 abs) Week 2
 - Select a topic and group members (1 abs)
- Milestone 2: (2 abs) Week 5
 - Submit summary of 25 to 30 relevant research papers (You can write Literature Review as well)
- Milestone 3: (2 abs) Week 6
 - Propose your own methodology (can be algorithm and/or flowchart)

Projects

- Milestone 4: (5 abs) Week 9
 - Implementation and Presentation
- Milestone 5: (2 abs) Week 10
 - First rough draft of the research paper
- Milestone 3: (8 abs) Before Final Exam
 - Final draft of the research paper

Project Ideas

- 1. Information Retrieval System for Web Pages
- 2. Information Retrieval Using the Natural Language Modeling
- 3. Constructing a pandemic information retrieval system
- 4. Deep Reinforcement Learning for Information Retrieval
- 5. Medical information retrieval systems
- 6. information retrieval systems for e-Health care
- 7. Fuzzy based machine learning models for Information Retrieval
- 8. Neural ranking models for information retrieval
- 9. Relevance matching and semantic matching for information retrieval

Project Ideas

- 10. Reinforcement Learning for Information Retrieval
- 1. Neural Information Retrieval
- .2. Storage Cost of Private Information Retrieval
- 13. Information Leakage in Private Information Retrieval Systems
- .4. Arabic Information Retrieval
- 15. privacy-aware personalized information retrieval
- .6. information retrieval augmentation for language models
- 17. Cognitive biases in Information Retrieval



Introduction to Information Retrieval

Introducing Information Retrieval and Web Search

Information Retrieval

- Information Retrieval (IR) is finding material (usually documents) of an unstructured nature (usually text) that satisfies an information need from within large collections (usually stored on computers).
 - These days we frequently think first of web search, but there are many other cases:
 - E-mail search
 - Searching your laptop
 - Corporate knowledge bases
 - Legal information retrieval

IR vs Databases

	Databases	IR
Data	Structured	Unstructured
Fields	Clear semantics (SSN, age)	No fields (other than text)
Queries	Defined (relational algebra, SQL)	Free text ("natural language"), Boolean
Recoverability	Critical (concurrency control, recovery, atomic operations)	Downplayed, though still an issue
Matching	Exact (results are always "correct")	Imprecise (need to measure effectiveness)

IR vs. databases: Structured vs unstructured data

 Structured data tends to refer to information in "tables"

Employe	Manage	Salary
Smit	Jones	5000
Chan	Smit	6000
Iv ^g	Smit	5000
V	h	0

Typically allows numerical range and exact match (for text) queries, e.g.,

Salary < 60000 AND Manager = Smith.

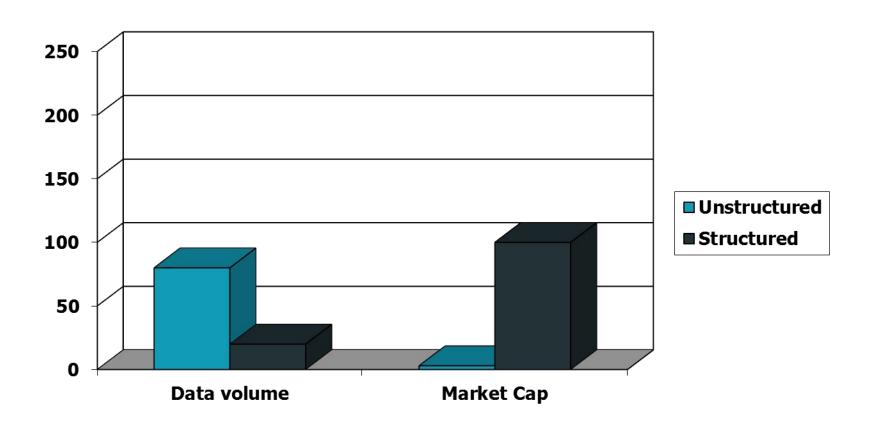
Unstructured data

- Typically refers to free text
- Allows
 - Keyword queries including operators
 - More sophisticated "concept" queries e.g.,
 - find all web pages dealing with drug abuse
- Classic model for searching text documents
 - Boolean
 - Probabilistic
 - Vector Space

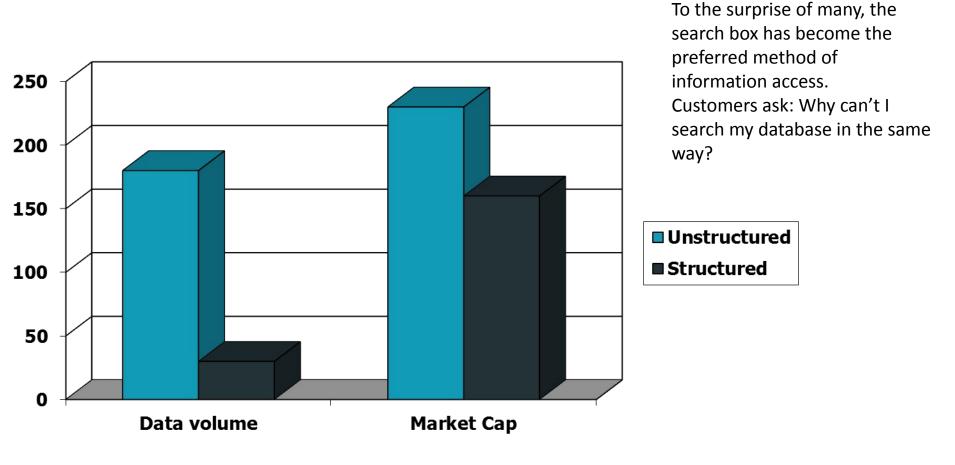
Semi-structured data

- In fact almost no data is "unstructured"
- E.g., this slide has distinctly identified zones such as the *Title* and *Bullets*
 - ... to say nothing of linguistic structure
- Facilitates "semi-structured" search such as
 - Title contains <u>data</u> AND <u>Bullets</u> contain <u>search</u>
- Or even
 - Title is about <u>Object Oriented Programming</u> AND Author something like <u>stro*rup</u>
 - where * is the wild-card operator

Unstructured (text) vs. structured (database) data in the mid-nineties



Unstructured (text) vs. structured (database) data today

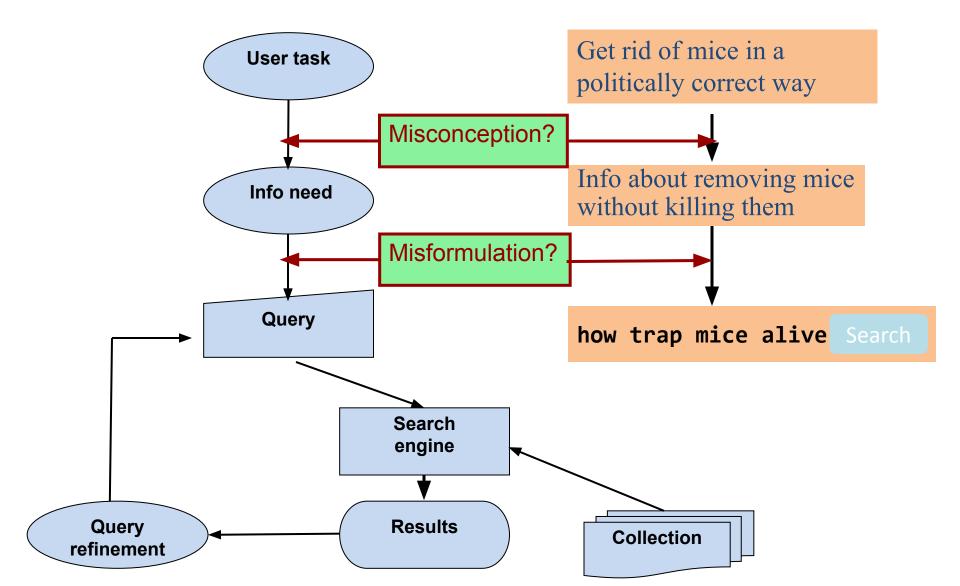


Basic assumptions of Information Retrieval

- Collection: A set of documents
 - Assume it is a static collection for the moment

 Goal: Retrieve documents with information that is relevant to the user's information need and helps the user complete a task

The classic search model



Matching Text

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- Comparing the query text to the document text and determining what is a good match, is the core issue of information retrieval
- Exact matching of words is not enough
 - Many different ways to write the same thing in a "natural language" like English
 - e.g., does a news story containing the text "bank director in Boston steals funds" match the query?
 - Some stories will be better matches than others

Exact vs. Best match

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Exact-match

- o query specifies precise retrieval criteria
- every document either matches or fails to match query
- result is a set of documents
- Unordered in pure exact match

Best-match

- Query describes good or "best" matching document
- Every document matches query to some degree
- Result is ranked list of documents

How good are the retrieved docs?

- Precision: Fraction of retrieved docs that are relevant to the user's information need
- Recall: Fraction of relevant docs in collection that are retrieved

 More precise definitions and measurements to follow later

Unstructured data in 1620

- Which plays of Shakespeare contain the words
 Brutus AND Caesar but NOT Calpurnia?
- One could grep all of Shakespeare's plays for Brutus and Caesar, then strip out lines containing Calpurnia?
- Why is that not the answer?
 - Slow (for large corpora)
 - <u>NOT</u> Calpurnia is non-trivial
 - Other operations (e.g., find the word *Romans* near countrymen) not feasible
 - Ranked retrieval (best documents to return)
 - Later lectures

Grep is line-oriented; IR is document oriented. Grep (global regular expression print) Shakespeare wrote 38 plays



Term-document incidence matrices

	Antony and Cleopatra	Julius Caesar	The Tempest	Hamlet	Othello	Macbeth
Antony	1	1	0	0	0	1
Brutus	1	1	0	1	0	0
Caesar	1	1	0	1	1	1
Calpurnia	0	1	0	0	0	0
Cleopatra	1	0	0	0	0	0
mercy	1	0	1	1	1	1
worser	1	0	1	1	1	0

Brutus AND **Caesar** BUT NOT **Calpurnia**

1 if play contains word, 0 otherwise

Incidence vectors

- So we have a 0/1 vector for each term.
- To answer query: take the vectors for Brutus, Caesar and Calpurnia (complemented) \Box bitwise AND.
 - 110100 *AND*
 - 110111 *AND*
 - **-** 101111 =
 - **100100**

	Antony and Cleopatra	Julius Caesar	The Tempest	Hamlet	Othello	Macbeth	
Antony	1	1	0	0	0	1	
Brutus	1	1	0	1	0	0	
Caesar	1	1	0	1	1	1	
Calpurnia	0	1	0	0	0	0	
Cleopatra	1	0	0	0	0	0	
mercy	1	0	1	1	1	1	
worser	1	0	1	1	1	0	

Answers to query

Antony and Cleopatra, Act III, Scene ii

Agrippa [Aside to DOMITIUS ENOBARBUS]: Why, Enobarbus,

When Antony found Julius *Caesar* dead, He cried almost to roaring; and he wept When at Philippi he found *Brutus* slain.

Hamlet, Act III, Scene ii

Lord Polonius: I did enact Julius Caesar I was killed i' the

Capitol; Brutus killed me.

Wikimedia commons picture of Shake





Bigger collections

- Consider N = 1 million documents, each with about 1000 words.
- Avg 6 bytes/word including spaces/punctuation
 - 6GB of data in the documents.
- Say there are M = 500K
 distinct terms among these.

```
1000 x 1,000,000 = 1,000,000,000
1,000,000,000 x 6 = 6,000,000,000
```

```
1,000,000 x 500,000
1,000,000 x 1000
```

500,000 - 1,000 ------499,000

1,000,000,000

Can't build the matrix

500K x 1M matrix has half-a-trillion 0's and 1's.

• But it has no more than one billion 1's.



matrix is extremely sparse.

- What's a better representation?
 - We only record the 1 positions.

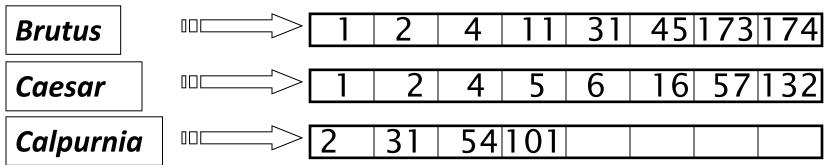


The Inverted Index

The key data structure underlying modern IR

Inverted index

- For each term t, we must store a list of all documents that contain t.
 - Identify each doc by a docID, a document serial number
- Can we used fixed-size arrays for this?



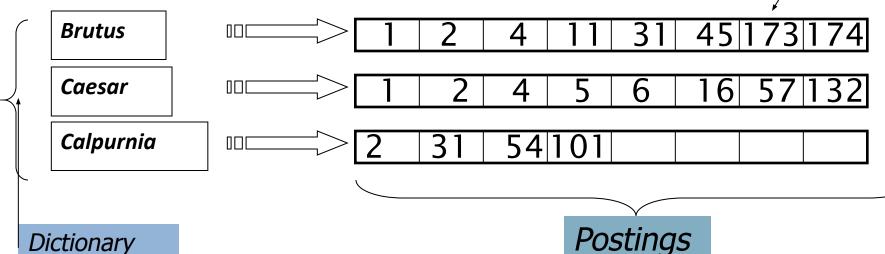
What happens if the word *Caesar* is added to document 14?

Inverted index

- We need variable-size postings lists
 - On disk, a continuous run of postings is normal and best
 - In memory, can use linked lists or variable length arrays

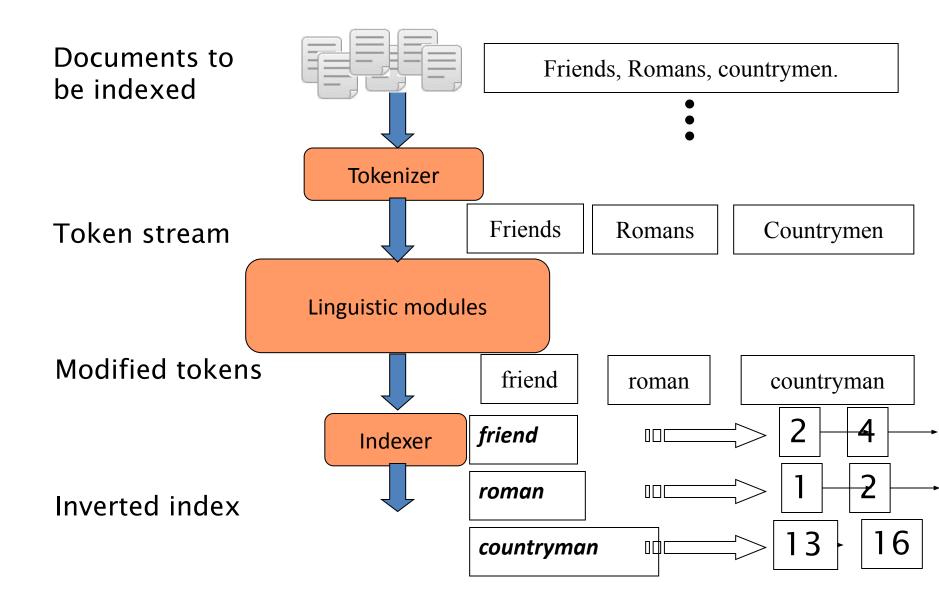
 Posting

Some tradeoffs in size/ease of insertion



Sorted by docID (more later on why).

Inverted index construction



Initial stages of text processing

- Tokenization
 - Cut character sequence into word tokens
 - Deal with "John's", a state-of-the-art solution
- Normalization
 - Map text and query term to same form
 - You want U.S.A. and USA to match
- Stemming
 - We may wish different forms of a root to match
 - authorize, authorization
- Stop words
 - We may omit very common words (or not)
 - the, a, to, of

Indexer steps: Token sequence

• Sequence of (Modified token, Document ID) pairs.

Doc 1

I did enact Julius Caesar I was killed i' the Capitol; Brutus killed me. Doc

2

So let it be with
Caesar. The noble
Brutus hath told you
Caesar was ambitious

Term	docID
I	1
did	1
enact	1
julius	1
caesar	1
I	1
was	1
killed	1
i'	1
the	1
capitol	1
brutus	1
killed	1
me	1
so	
let	2
it	2
be	2
with	2
caesar	2
the	2
noble	2
brutus	2
hath	2
told	2
you	2
caesar	2 2 2 2 2 2 2 2 2 2 2 2 2
was	2
ambitious	2

Indexer steps: Sort

- Sort by terms
 - And then docID

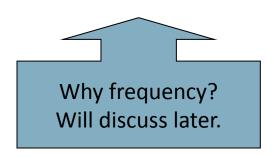


Term	docID
1	1
did	1
enact	1
julius	1
caesar	1
L	1
was	1
killed	1
i'	1
the	1
capitol	1
brutus	1
killed	1
me	1 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2
so	2
let	2
it	2
be	2
with	2
caesar	2
the	2
noble	2
brutus	2
hath	2
told	2
you	2
caesar	2
was	2
ambitious	2

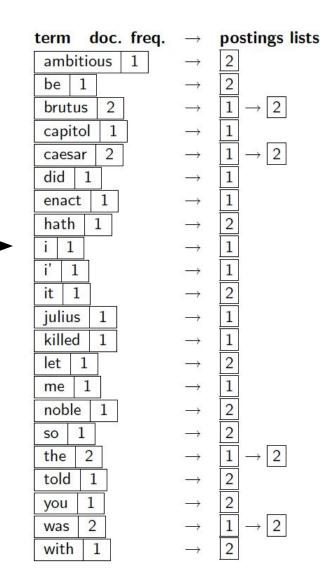
Term	docID
ambitious	2
be	2 2 1
brutus	1
brutus	2
capitol	1
caesar	1 2 2 1 1
caesar	2
caesar	2
did	1
enact	
hath	1
1	1
	1
;'	1
it	2
julius	1
killed	
killed	1
let	2
me	1
noble	2
so	2
the	1
the	2
told	2 1 2 2 1 2 2 2 1 2 2 2
you	2
was	1
was	2
with	2

Indexer steps: Dictionary & Postings

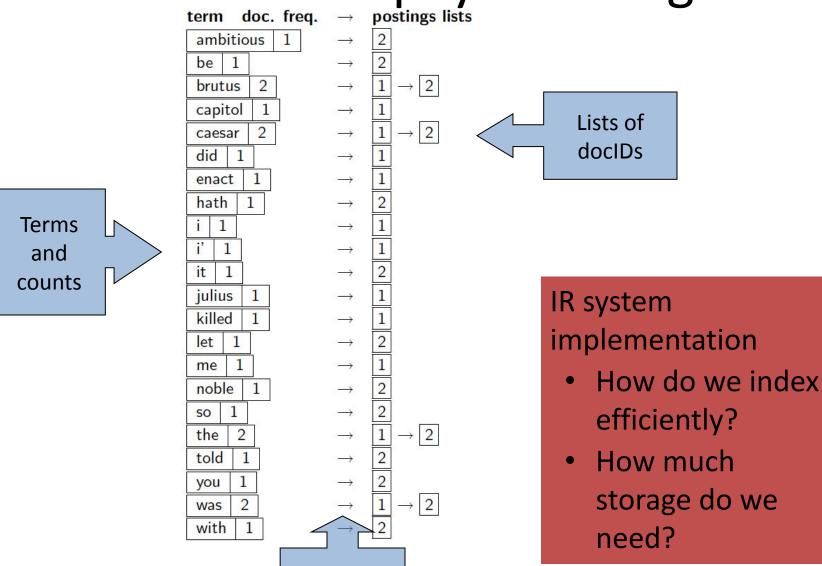
- Multiple term entries in a single document are merged.
- Split into Dictionary and Postings
- Doc. frequency information is added.



Term	docID
ambitious	2
be	2
brutus	1
brutus	2 1 2 1
capitol	1
caesar	1
caesar	2
caesar	2
did	1
enact	1
hath	1
1	1
	1
i'	1
it	2
julius	1
killed	1
killed	1
let	2
me	1
noble	2 1 2 2
so	2
the	1 2 2 2 1 2 2
the	2
told	2
you	2
was	1
was	2
with	2



Where do we pay in storage?



Pointers

If we have a corpus of 1 million documents, each of length 1,000 words, and a total vocabulary size of 500,000, what is the approximate maximum size of the postings and the size of the (non-sparse) co-occurrence matrix (which contains a 1 in row *i* and column *j* if word *i* occurs in document *j* and a 0 otherwise), respectively?

- A. 10⁹ and 5×10¹¹
- **B.** Both 10⁹
- C. 10³ and 5×10¹¹
- D.Both 5×10¹¹

Inverted Index

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Answer: Option A: 10^9 and 5×10^{11}

If no word is repeated twice in a document, then the postings can at most reach a size of $1,000\times10^6=10^9$, whereas the co-occurrence matrix has 500,000 rows and 10^6 columns, yielding a total size of 5×10^{11} elements.



Query processing with an inverted index



The index we just built

How do we process a query?



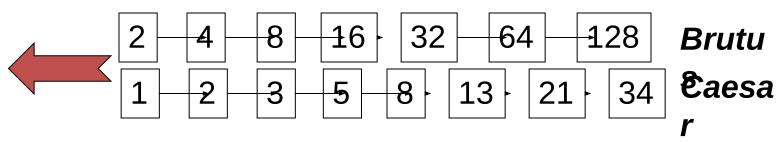
– Later - what kinds of queries can we process?

Query processing: AND

Consider processing the query:

Brutus AND **Caesar**

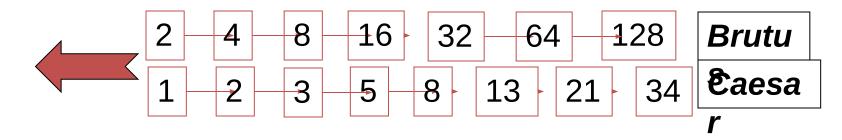
- Locate Brutus in the Dictionary;
 - Retrieve its postings.
- Locate *Caesar* in the Dictionary;
 - Retrieve its postings.
- "Merge" the two postings (intersect the document sets):



Sec. 1.3

The merge

 Walk through the two postings simultaneously, in time linear in the total number of postings entries



Query processing: Merge

If the length of two postings lists are *x* and *y*, then what is the tightest upper bound on the running time of merging the postings lists in an OR query in this manner?

```
A.O(\max\{x,y\})
B.O(xy)
```

$$C.O(x+y)$$

 $D.O(\min\{x,y\})$

Query processing: Merge

Answer: Option C: O(x+y)

The merge takes O(x+y) time because in the best or worst case scenario you have to go through the entire postings list for each term (therefore it is also o(x+y) for best case).

If the list lengths are x and y, the merge takes O(x+y) operations.

<u>Crucial</u>: postings sorted by docID.

Intersecting two postings lists (a "merge" algorithm)

```
INTERSECT(p_1, p_2)
      answer \leftarrow \langle \rangle
       while p_1 \neq \text{NIL} and p_2 \neq \text{NIL}
       do if docID(p_1) = docID(p_2)
              then ADD(answer, doclD(p_1))
                      p_1 \leftarrow next(p_1)
                      p_2 \leftarrow next(p_2)
  6
               else if doclD(p_1) < doclD(p_2)
                         then p_1 \leftarrow next(p_1)
                         else p_2 \leftarrow next(p_2)
       return answer
```



The Boolean Retrieval Model & Extended Boolean Models

Boolean queries: Exact match

- The Boolean retrieval model is being able to ask a query that is a Boolean expression:
 - Boolean Queries are queries using AND, OR and NOT to join query terms
 - Views each document as a <u>set</u> of words
 - Is precise: document matches condition or not.
 - Perhaps the simplest model to build an IR system on
- Primary commercial retrieval tool for 3 decades.
- Many search systems you still use are Boolean:
 - Email, library catalog, Mac OS X Spotlight

Example: WestLaw http://www.westlaw.com/

- Largest commercial (paying subscribers) legal search service (started 1975; ranking added 1992; new federated search added 2010)
- Tens of terabytes of data; ~700,000 users
- Majority of users still use boolean queries
- Example query:
 - What is the statute of limitations in cases involving the federal tort claims act?
 - LIMIT! /3 STATUTE ACTION /S FEDERAL /2 TORT /3 CLAIM
 - /3 = within 3 words, /S = in same sentence

Choosing Search Terms

- ROOT EXPANDER (!) To search for words with multiple endings, use the root expander (!) at the end of the root of the word. For example, type *object!* to retrieve object, objected, objection, and objecting.
- UNIVERSAL CHARACTER (*) To search words with variable characters, use the universal character (*). For example, type withdr*w to retrieve withdraw and withdrew.
- SEARCH EXACTLY AS TYPED (#) To search for a word exactly as you typed it, use the pound symbol (#) at the beginning of the word. For example, type #damage to retrieve damage but not damages. The pound symbol will turn off plurals and equivalents.
- PHRASE (" ") To search for a phrase, use quotation marks (" "). For example, type "res ipsa loquitur" to retrieve the

Choosing Connectors

GRAMMATICAL CONNECTORS

- /p the search terms must appear in the same paragraph (hearsay /p utterance)
- +p the first search term must precede the second term in the same paragraph (exception +p non-liability)
- Is the search terms must appear in the same sentence (design /s defect)
 - +s the first search term must precede the second term in the same sentence (attorney +s fee)

NUMERICAL CONNECTORS

- In the search terms must appear within n terms of each other, where n is a number from 1 to 255 (personal /3 jurisdiction)
- +n the first search term must precede the second term by n terms, where n is a number from 1 to 255 (capital +3 gain)
- ORDER OF BOOLEAN TERMS AND CONNECTORS PROCESSING Westlaw processes the connectors in your query in the following order: ", space (OR), +n, /n, +s, /s, +p, /p, &, %

Example: WestLaw http://www.westlaw.com/

- Another example query:
 - Requirements for disabled people to be able to access a workplace
 - disabl! /p access! /s work-site work-place (employment /3 place
- Note that SPACE is disjunction, not conjunction!
- Long, precise queries; proximity operators; incrementally developed; not like web search
- Many professional searchers still like Boolean search
 - You know exactly what you are getting
- But that doesn't mean it actually works better....

Exercise: WestLaw

 Exercise: Write a query using Westlaw syntax which would find any of the words professor, teacher, or lecturer in the same sentence with a form of the verb explain.

SOLUTION. Query = professor teacher lecturer /s explain!

Boolean queries: More general merges

- Exercise: Adapt the merge for the queries:
- a. Brutus AND NOT Caesar
- b. **Brutus** OR NOT **Caesar**

• Can we still run through the merge in time O(x+y)? What can we achieve?

Sec. 1.3

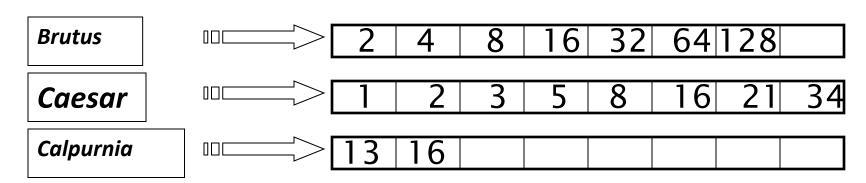
Merging

What about an arbitrary Boolean formula? (Brutus OR Caesar) AND NOT (Antony OR Cleopatra)

- Can we always merge in "linear" time?
 - Linear in what?
- Can we do better?

Query optimization

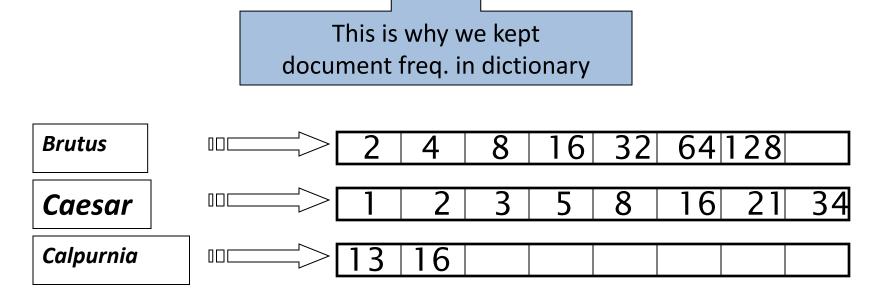
- What is the best order for query processing?
- Consider a query that is an AND of n terms.
- For each of the n terms, get its postings, then AND them together.



Query: Brutus AND Calpurnia AND Caesar

Query optimization example

- Process in order of increasing freq:
 - start with smallest set, then keep cutting further.



Execute the query as (*Calpurnia AND Brutus*) AND *Caesar*.

More general optimization

- e.g., (madding OR crowd) AND (ignoble OR strife)
- Get doc. freq.'s for all terms.
- Estimate the size of each *OR* by the sum of its doc. freq.'s (conservative).
- Process in increasing order of OR sizes.

Exercise

 Recommend a query processing order for

(tangerine OR trees) AND (marmalade OR skies) AND (kaleidoscope OR eyes)

Which two terms should we process first?

Term	Freq
eyes	213312
kaleidoscope	87009
marmalade	107913
skies	271658
tangerine	46653
trees	316812

Query processing exercises

- Exercise: If the query is friends AND romans AND (NOT countrymen), how could we use the freq of countrymen?
- Exercise: Extend the merge to an arbitrary
 Boolean query. Can we always guarantee
 execution in time linear in the total postings size?
- Hint: Begin with the case of a Boolean formula query: in this, each query term appears only once in the query.

Exercise

- Try the search feature at http://www.rhymezone.com/shakespeare/
- Write down five search features you think it could do better



Phrase queries and positional indexes

Phrase queries

- We want to be able to answer queries such as "stanford university" as a phrase
- Thus the sentence "I went to university at Stanford" is not a match.
 - The concept of phrase queries has proven easily understood by users; one of the few "advanced search" ideas that works
 - Many more queries are implicit phrase queries
- For this, it no longer suffices to store only
 <term : docs> entries

A first attempt: Biword indexes

- Index every consecutive pair of terms in the text as a phrase
- For example the text "Friends, Romans,
 Countrymen" would generate the biwords
 - friends romans
 - romans countrymen
- Each of these biwords is now a dictionary term
- Two-word phrase query-processing is now immediate.

Longer phrase queries

- Longer phrases can be processed by breaking them down
- *stanford university palo alto* can be broken into the Boolean query on biwords:

stanford university AND university palo AND palo alto

Without the docs, we cannot verify that the docs matching the above Boolean query do contain the phrase.

Can have false positives!

Issues for biword indexes

- False positives, as noted before
- Index blowup due to bigger dictionary
 - Infeasible for more than biwords, big even for them

 Biword indexes are not the standard solution (for all biwords) but can be part of a compound strategy

500. 2. 1

Solution 2: Positional indexes

• In the postings, store, for each *term* the position(s) in which tokens of it appear:

```
<term, number of docs containing term; doc1: position1, position2 ...; doc2: position1, position2 ...; etc.>
```

Positional index example

```
<be: 993427;
1: 7, 18, 33, 72, 86, 231;
2: 3, 149;
4: 17, 191, 291, 430, 434;
5: 363, 367, ...>
Which of docs 1,2,4,5
could contain "to be
or not to be"?
```

- For phrase queries, we use a merge algorithm recursively at the document level
- But we now need to deal with more than just equality

Processing a phrase query

- Extract inverted index entries for each distinct term: *to, be, or, not.*
- Merge their doc:position lists to enumerate all positions with "to be or not to be".
 - **to**:
 - 2:1,17,74,222,551; 4:8,16,190,429,433; 7:13,23,191; ...
 - be:
 - 1:17,19; 4:17,191,291,430,434; 5:14,19,101; ...
- Same general method for proximity searches

Sec. 2.4.2

Proximity queries

- LIMIT! /3 STATUTE /3 FEDERAL /2 TORT
 - Again, here, /k means "within k words of".
- Clearly, positional indexes can be used for such queries; biword indexes cannot.

Positional index size

- A positional index expands postings storage substantially
 - Even though indices can be compressed
- Nevertheless, a positional index is now standardly used because of the power and usefulness of phrase and proximity queries ... whether used explicitly or implicitly in a ranking retrieval system.

Positional index size

- Need an entry for each occurrence, not just once per document
- Index size depends on average document size
 - Average web page has <1000 terms</p>
 - SEC filings, books, even some epic poems ... easily 100,000 terms
- Consider a term with frequency 0.1%

Document size	Postings	Positional postings
1000	1	1
100,000	1	100

Sec. 2.4.2

Rules of thumb

 A positional index is 2–4 as large as a non-positional index

 Positional index size 35–50% of volume of original text

 Caveat: all of this holds for "English-like" languages

Combination schemes

- These two approaches can be profitably combined
 - For particular phrases ("Michael Jackson", "Britney Spears") it is inefficient to keep on merging positional postings lists
 - Even more so for phrases like "The Who"
- Williams et al. (2004) evaluate a more sophisticated mixed indexing scheme
 - A typical web query mixture was executed in ¼ of the time of using just a positional index
 - It required 26% more space than having a positional index alone

Class Exercise

- Considering the documents given below create an inverted index
- **Doc 1** new home sales forecasts
- Doc 2 Home sales rise in july
- **Doc 3** Increase in home sales in July
- Doc 4 july new home sales rise
- Doc 5 July top sale rise

Note: apply necessary pre-processing