Information Retrieval

Index Construction



Previous lessons

- Boolean indexing and search
- Term-document matrix
- Inverted index
- Documents
- Tokenization
- Token processing: stopping, normalization, stemming, lemmatization
- Handling phrases: bigram index, positional index



This lesson

Index construction

Data structures

Indexing strategies

Distributed indexing

Forward Index Inverted Index ID Document/Term Document/Term ID 1 — Cat Cat — 1 3 6 2 — Dog — 2 5 3 — Cat Fish — 4 4 — Fish — 4 5 — Dog — 6 — Cat



Indexes

- Indexes are data structures designed to make search faster
- Text search engines use a particular form of search: ranking
 - documents are retrieved in sorted order according to a score computing using the document representation, the query, and a ranking algorithm
- * Requires specific data structure: most common is the inverted index
 - general name for a class of structures
 - "inverted" because documents are associated with words, rather than words with documents



Abstract Model of Ranking

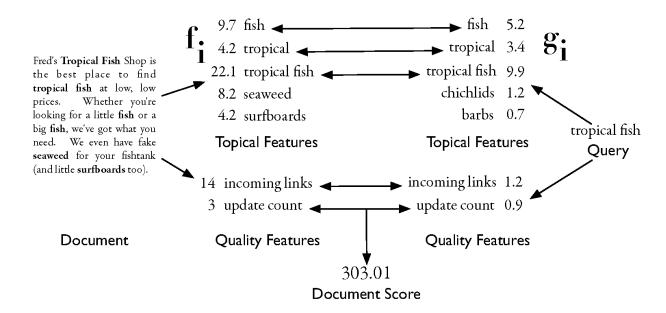
9.7 fish tropical fish 4.2 tropical Fred's Tropical Fish Shop is Query 22.1 tropical fish the best place to find tropical fish at low, low 8.2 seaweed Whether you're prices. 4.2 surfboards looking for a little fish or a big fish, we've got what you Topical Features **►** 24.5 need. We even have fake Ranking Function seaweed for your fishtank **Document Score** (and little surfboards too). 14 incoming links 3 days since last update Quality Features Document



More Concrete Model

$$R(Q, D) = \sum_{i} g_i(Q) f_i(D)$$

 f_i is a document feature function g_i is a query feature function





Inverted Index

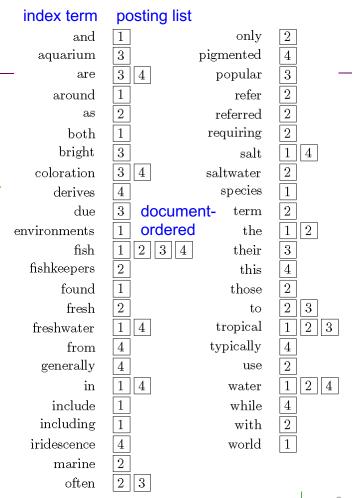
- Each index term is associated with an inverted list
 - Contains lists of documents, or lists of word occurrences in documents, and other information
 - Each entry is called a posting
 - The part of the posting that refers to a specific document or location is called a pointer
 - Each document in the collection is given a unique number
 - Lists are usually document-ordered (sorted by document number)



Simple Inverted Index

- S_1 Tropical fish include fish found in tropical environments around the world, including both freshwater and salt water species.
- S_2 Fishkeepers often use the term tropical fish to refer only those requiring fresh water, with saltwater tropical fish referred to as marine fish.
- S_3 Tropical fish are popular aquarium fish, due to their often bright coloration.
- S_4 In freshwater fish, this coloration typically derives from iridescence, while salt water fish are generally pigmented.

Collection



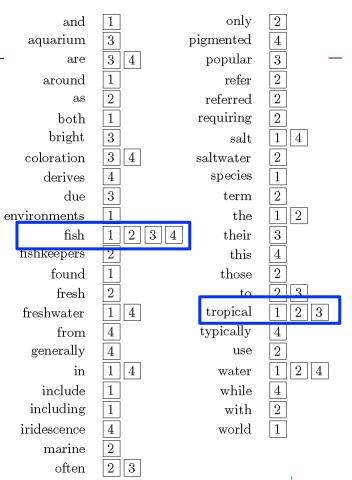


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Query:

- Tropical Fish



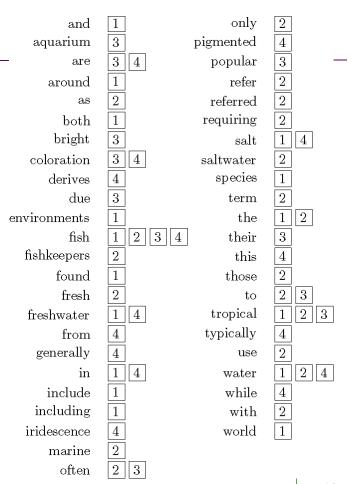


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Issue

- does not record the number of times each word appears
- no reason to prefer any of these sentences over any other



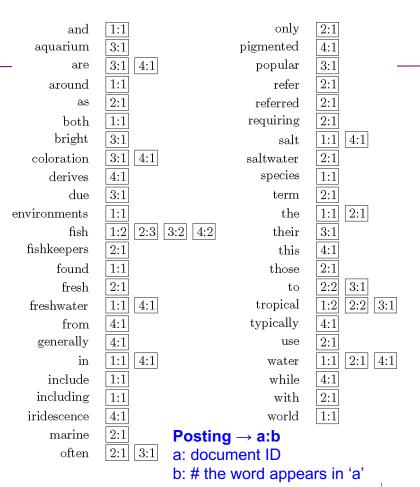


Inverted Index with counts

- S_1 Tropical fish include fish found in tropical environments around the world, including both freshwater and salt water species.
- S_2 Fishkeepers often use the term tropical fish to refer only those requiring fresh water, with saltwater tropical fish referred to as marine fish.
- S_3 Tropical fish are popular aquarium fish, due to their often bright coloration.
- S_4 In freshwater fish, this coloration typically derives from iridescence, while salt water fish are generally pigmented.

Query:

- tropical fish
- S2 should be preferred over \$1 and
 S3
- Supports better ranking algorithms





Inverted Index with positions

- Tropical fish include fish found in tropical environments around the world, including both freshwater and salt water species.
- Fishkeepers often use the term tropical fish to refer only those requiring fresh water, with saltwater tropical fish referred to as marine fish.
- Tropical fish are popular aquarium fish, due to their often bright coloration.
- In freshwater fish, this coloration typically derives from iri-vironments descence, while salt water fish are generally pigmented.

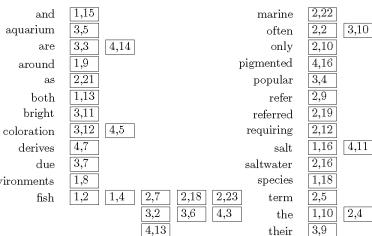
Query:

tropical fish



Supports proximity matches

one posting per word occurrence



2,1 this 1,5 those 1,14 4,2 tropical 4,8 typically

from 4,15 generally 1,6 4,1 include including

fishkeepers

freshwater

iridescence

found

fresh

Posting → a:b a: document ID

b: the word position in 'a'



4,4

2,11

2,8

1,1

4,6

2,3

1,17

4,10

2,15

1,11

to

use

water

while

with

world

2,20

2,14

3,8

2,6

4,12

Fields and Extents

- Document structure is useful in the search.
 - field restrictions
 - e.g., date, from:
 - some fields are more important
 - e.g., title, headings

* Options:

- separate index (set of inverted lists) for each field type
 - e.g., one for title and one for body
 - Problem: General search must read multiple indexes
- use extent lists



Extent Lists

- An extent is a contiguous region of a document
 - represent extents using word positions
 - record all extents for each field in an inverted list

- The title in document 1 starts from a word in position 1 and ends before position 3
 - fish in the title of document 1

extent list



Other Issues

- Precomputed scores in inverted list
 - e.g., list for "fish" [(1:3.6), (3:2.2)], where 3.6 is total feature value for document 1
 - improves speed but reduces flexibility
 - Phrase information is lost here
- Score-ordered lists (not document-ordered)
 - only for indexes with precomputed scores
 - query processing engine can focus only on the top part of each inverted list,
 where the highest-scoring documents are recorded
 - very efficient for single-word queries

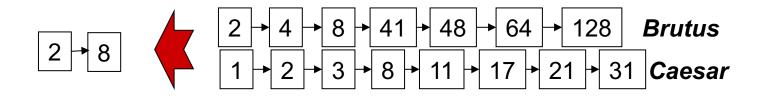


Faster postings merges: Skip pointers/Skip lists



Recall basic merge

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



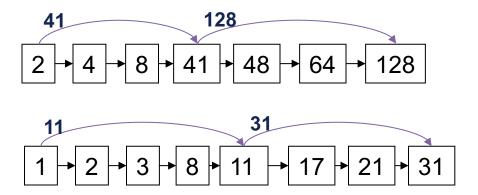
- If the list lengths are m and n, the merge takes O(m+n) operations.
- Can we do better?



Augment postings with skip pointers (at indexing time)

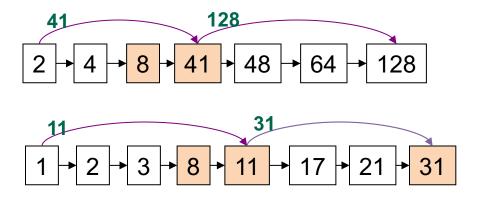
* Mhh5

- To skip postings that will not figure in the search results.





Query processing with skip pointers



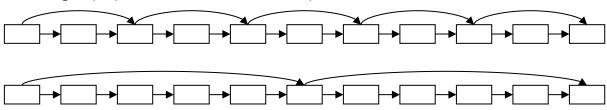
- Suppose we've stepped through the lists until we process 8 on each list.
 - · We match it and advance.
- We then have 41 and 11 on the lower. 11 is smaller.
- But the skip successor of 11 on the lower list is 31, so we can skip ahead past the intervening postings.



Placing skips

Tradeoff:

- More skips \rightarrow shorter skip spans \Rightarrow more likely to skip.
 - But lots of comparisons to skip pointers.
- Fewer skips → few pointer comparison,
 - but then long skip spans ⇒ few successful skips.



Simple heuristic:

- for postings of length L, use \sqrt{L} evenly-spaced skip pointers.
- Easy if the index is relatively static; harder if L keeps changing because of updates.



Postings intersection with skip pointers

```
INTERSECTWITHSKIPS(p_1, p_2)
 1 answer \leftarrow \langle \rangle
 2 while p_1 \neq \text{NIL} and p_2 \neq \text{NIL}
 3 do if docID(p_1) = docID(p_2)
            then ADD(answer, docID(p_1))
                  p_1 \leftarrow next(p_1)
                  p_2 \leftarrow next(p_2)
            else if docID(p_1) < docID(p_2)
                     then if hasSkip(p_1) and (docID(skip(p_1)) \leq docID(p_2))
                              then while hasSkip(p_1) and (docID(skip(p_1)) \leq docID(p_2))
 9
                                    do p_1 \leftarrow skip(p_1)
10
                              else p_1 \leftarrow next(p_1)
11
                     else if hasSkip(p_2) and (docID(skip(p_2)) \leq docID(p_1))
12
                              then while hasSkip(p_2) and (docID(skip(p_2)) \leq docID(p_1))
13
                                    do p_2 \leftarrow skip(p_2)
14
15
                              else p_2 \leftarrow next(p_2)
     return answer
```

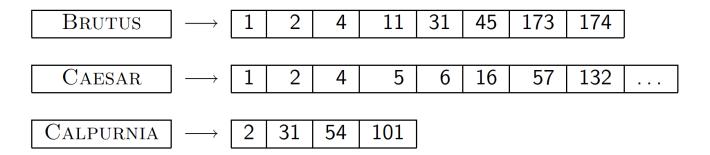


Index Construction



Dictionary data structures for inverted indexes

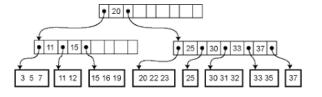
- The dictionary data structure stores the term vocabulary, document frequency, pointers to each postings list ...
 - in what data structure?

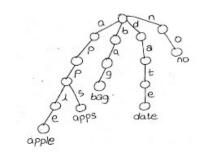




Dictionary data structures

- Sorted array:
 - Binary search if can be kept in memory
 - High overhead for additions
- Hashing
 - Fast look-up
 - Collisions
- Binary tree (BST), B-Tree, B+Tree, Trie, ...
 - Maintain balance always log look-up time
 - Can insert and delete
- Some IR systems use trees, some hashes

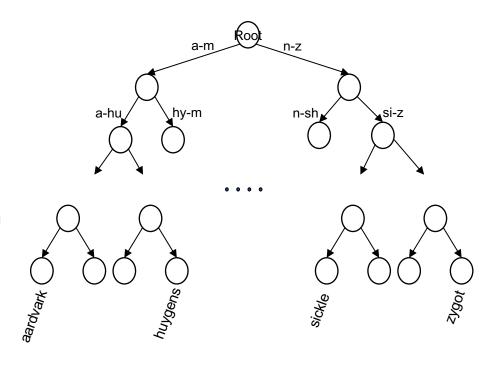






Balanced BST

- ❖ BST requires O(log₂ n) time in the average case
 - needs O(n) time in the worst case, when the unbalanced tree resembles a linked list (degenerate tree)
- To keep the BST balanced we need to verify balance for each insert and delete
- BST is balanced if:
 - the difference between left and right branches is 0 or 1
 - all sub-tree are balanced

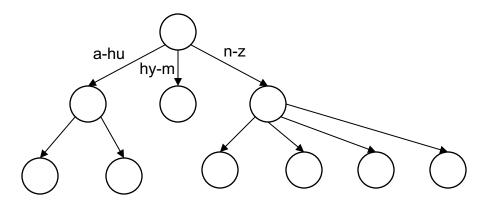




Tree: B-tree

Definition:

- Every internal node has several children in the interval [a,b] where a, b are appropriate natural numbers, e.g., [2,4].



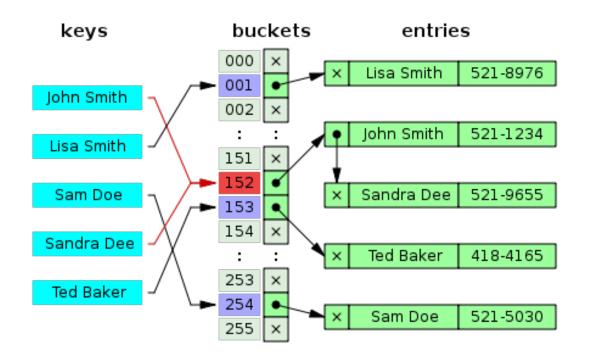


Trees

- Simplest: binary tree
- More usual: B-trees
- Trees require ordering of strings
- Pros:
 - Solves the prefix problem
 - e.g., terms starting with "univ"
- Cons:
 - BST are slower: O(log₂ N)
 - and this requires balanced tree
 - Rebalancing trees is expensive
 - but B-trees mitigate the rebalancing problem



Hash Table



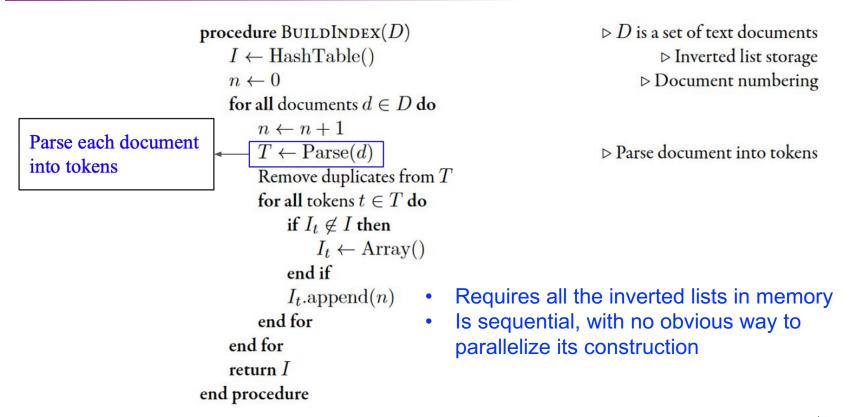


Hashes

- Each vocabulary term is hashed to an integer
- Pros:
 - Lookup is faster than for a tree: O(1)
- Cons:
 - No prefix search
 - No easy way to find minor variants:
 - judgment/judgement
 - If vocabulary keeps growing, need to occasionally do the expensive operation of rehashing everything



Index construction – A simple approach





Index construction

- Many design decisions in information retrieval are based on the characteristics of hardware
 - Access to data in memory is much faster than on disk
 - Disk seeks / latency (with mechanical drives)
 - Disk I/O is block-based
 - Reading one large chunk of data to memory is faster than reading many small chunks
 - Servers used in IR systems now typically have tens or hundreds GB of main memory
 - Available disk space is several orders of magnitude larger



Dataset example: Reuters RCV1 collection

- Contains one year of Reuters newswire
 - between August 20, 1996 and August 19,1997
- Typical document:

Extreme conditions create rare Antarctic clouds

Tue Aug 1, 2006 3:20am ET



Email This Article | Print This Article | Reprints

SYDNEY (Reuters) - Rare, mother-of-pearl colored clouds caused by extreme weather conditions above Antarctica are a possible indication of global warming, Australian scientists said on Tuesday.

Known as nacreous clouds, the spectacular formations showing delicate wisps of colors were photographed in the sky over an Australian meteorological base at Mawson Station on July 25.



Reuters RCV1 statistics

symbol	statistic	value
Ν	documents	800,000
L	avg. # tokens per doc	200
M	terms (= word types)	400,000
	avg. # bytes per token (incl. spaces/punct.)	6
	avg. # bytes per token (without spaces/punct.)	4.5
	avg. # bytes per term	7.5
T	non-positional postings	100,000,000



Recall index construction

Documents are parsed to extract words and these are saved with the Document ID

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	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 2
was	2
ambitious	2



Indexer steps: Sort

After all documents have been parsed, the inverted file is sorted by terms.

We focus on this sort step.
We have 100M items to sort.

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	2
let	2
it	2
be	2
with	2
caesar	2
the	2
noble	2
brutus	2
hath	2
told	2
you	2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2
caesar	2
was	2
ambitious	2

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

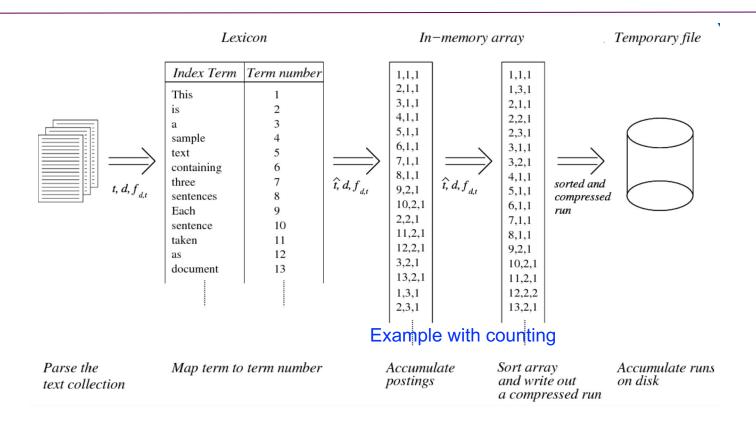


Sort-based index construction

- * As we build the index, we parse docs one at a time
 - The final postings for any term are incomplete until the end
- At 12 bytes per non-positional postings entry (termID, docID, freq), demands a lot of space for large collections
 - T = 100,000,000 in the case of RCV1 (1.2GB)
 - So ... we can do this in memory, but typical collections are much larger.
- How can we construct an index for very large collections?
 - Taking into account hardware constraints . . .
 - Memory, disk, speed, etc.
- We need to store intermediate results on disk
 - BSBI: Blocked sort-based Indexing
 - SPIMI: Single-pass in-memory indexing



BSBI: Blocked Sort-Based Indexing





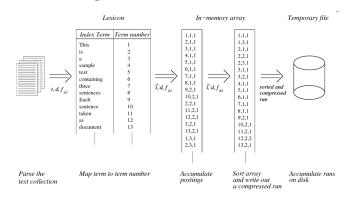
BSBI: Blocked Sort-Based Indexing

Basic idea of algorithm:

- Accumulate postings for each block, sort, write to disk
- Then merge the blocks into one long sorted order

Terms represented by TermID instead of strings

- Unique serial number (int)
- Build mapping
 - One-pass, while processing the collection
 - Two-pass approach: compile vocabulary, then construct inverted index
- Dictionary kept in memory





SPIMI: Single-Pass In-Memory Indexing

- BSBI has excellent scaling properties, but it needs a data structure for mapping terms to termIDs.
 - For very large collections, this data structure does not fit into memory.
- A more scalable alternative is single-pass in-memory indexing (SPIMI),
 - SPIMI uses terms instead of termIDs
 - writes each block's dictionary to disk, and then
 - starts a new dictionary for the next block
 - SPIMI can index collections of any size as long as there is enough disk space available.



SPIMI: Single-Pass In-Memory Indexing

* Key idea 1:

- Generate separate dictionaries for each block
- no need to maintain term-termID mapping across blocks

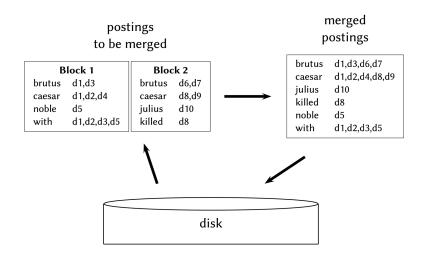
* Key idea 2:

- Don't sort during indexing, instead sort when writing blocks to disk. Accumulate postings in postings lists as they occur
- With these two ideas, we can generate a complete inverted index for each block
- These separate indexes can then be merged into one big index



How to merge the sorted runs?

- Can do binary merges
 - For 10 blocks, merge tree
 will have 4 layers (log₂10)
- During each layer, read into memory runs in blocks of 10M, merge, write back



- It is more efficient to do a n-way merge, where you are reading from all blocks simultaneously
 - Reading chunks of each block into memory and then write out an output chunk



SPIMI-Invert

Merging of blocks is analogous in BSBI and SPIMI.

```
SPIMI-INVERT(token_stream)
     output\_file = NewFile()
    dictionary = NewHash()
    while (free memory available)
     do token \leftarrow next(token\_stream)
        if term(token) ∉ dictionary
          then postings_list = ADDToDictionary (dictionary, term(token))
          else postings_list = GETPOSTINGSLIST(dictionary, term(token))
      -if full(postings_list)
          then postings list - DOUBLEPOSTINGSLIST (dictionary term (token))
        ADDToPostingsList(postings_list, doclD(token))
10
11
     sorted\_terms \leftarrow SortTerms(dictionary)
     WRITEBLOCKTODISK(sorted_terms, dictionary, output_file)
13
     return output_file
```

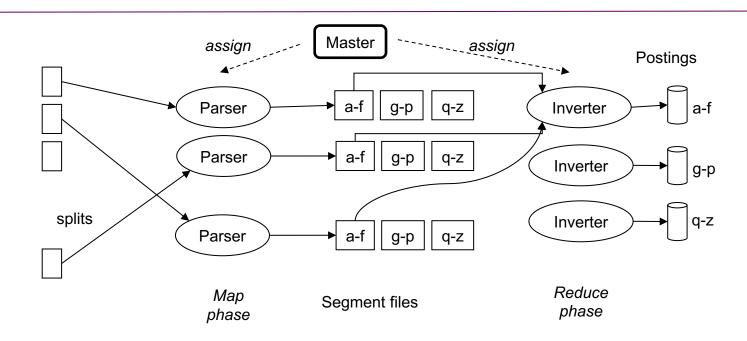


Distributed indexing

- Distributed processing is driven by the need to index and analyze huge amounts of data
 - For large-scale indexing (e.g. web-scale)
- Quite common in some NoSQL databases
 - E.g., MongoDB, Cassandra
- Large numbers of inexpensive servers used rather than larger, more expensive machines
 - How do we exploit such a pool of machines?



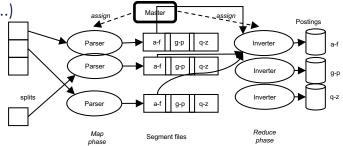
Data flow





MapReduce

- MapReduce is a distributed programming tool designed for indexing and analysis tasks:
 - Map (parallel document processing)
 - Count the terms in each document (tokenize, stem, ...)
 - Produces (document, count) pairs
 - Shuffle
 - Send all pairs for the same term to the same reducer
 - Reduce (parallel term processing)
 - Build the postings file
- Fault-tolerant:
 - If a machine fails to complete, that task is restarted
- The Mapper or Reducer is called multiple times on the same input, the output will always be the same





MapReduce

- Index construction was just one phase.
- Another phase: transforming a term-partitioned index into a document-partitioned index.
 - Term-partitioned: one machine handles a subrange of terms
 - Document-partitioned: one machine handles a subrange of documents
- Most search engines use a document-partitioned index ... better load balancing, etc.



Schema for index construction in MapReduce

- Schema of map and reduce functions
 - map: input \rightarrow list(k, v)
 - reduce: (k,list(v)) → output

MapReduce includes a shuffle/combining stage between map and reduce

map:

collection → list(termID, docID)

```
d1 : Caesar came, Caesar conquered.
d2 : Caesar died.

→
< Caesar,d1>, <came,d1>, < Caesar,d1>, <conquered,d1>, < Caesar,d2>, <died,d2>
```

* reduce:



Dynamic indexing

- Up to now, we have assumed that collections are static
- They rarely are:
 - Documents come in over time and need to be inserted
 - Documents are deleted and modified
- This means that the dictionary and postings lists have to be modified:
 - Postings updates for terms already in the dictionary
 - New terms added to the dictionary



Simplest approach

- Maintain "big" main index
- New docs go into "small" auxiliary index
- Search across both, merge results
- Deletions
 - Invalidation bit-vector for deleted docs
 - Filter docs output on a search result by this invalidation bit-vector
- Periodically, re-index into one main index



Issues with main and auxiliary indexes

The problem of frequent merges

- We touch stuff a lot
- Poor performance during the merge

* Actually:

- Merging the auxiliary index into the main index is efficient if we keep a separate file for each postings list.
- Merge is the same as a simple append.
- But then we would need a lot of files inefficient for O/S.

In reality:

 Use a scheme somewhere in between (e.g., split very large postings lists, collect postings lists of length 1 in one file, etc.)



Logarithmic merge

- Maintain a series of indexes, each twice as large as the previous one
- ❖ Keep smallest (Z₀) in memory
- \star Larger ones (I_0 , I_1 , ...) on disk
- \star If Z_0 gets too big (> n), write to disk as I_0
- \diamond or merge with I_0 (if I_0 already exists) to form Z_1
- \diamond Either write merged Z_1 to disk as I_1 (if no I_1)
- ❖ Or merge with I₁ to form Z₂
- ***** ...



```
LMERGEADDTOKEN (indexes, Z_0, token)
  1 Z_0 \leftarrow \text{MERGE}(Z_0, \{token\})
  2 if |Z_0| = n
          then for i \leftarrow 0 to \infty
                 do if I_i \in indexes
  5
                         then Z_{i+1} \leftarrow \text{MERGE}(I_i, Z_i)
                                 (Z_{i+1}) is a temporary index on disk.)
  6
                                indexes \leftarrow indexes - \{I_i\}
                         else I_i \leftarrow Z_i (Z_i becomes the permanent index I_i.)
                                indexes \leftarrow indexes \cup \{I_i\}
 10
                                Break
                 Z_0 \leftarrow \emptyset
 11
```

LogarithmicMerge()

- 1 $Z_0 \leftarrow \emptyset$ (Z_0 is the in-memory index.)
- 2 indexes $\leftarrow \emptyset$
- 3 **while** true
- 4 **do** LMERGEADDTOKEN(indexes, Z_0 , GETNEXTTOKEN())



Logarithmic merge

- Main and Auxiliary index
 - Index construction time is $O(T^2)$ as each posting is touched in each merge
- Logarithmic merge
 - Each posting is merged O(log T) times, so complexity is O(T log T)
- So logarithmic merge is much more efficient for index construction
 - But query processing now requires the merging of O(log T) indexes
 - Whereas it is O(1) if you just have a main and auxiliary index



Further issues with multiple indexes

- Collection-wide statistics are hard to maintain
- E.g., when we spoke of spell-correction: which of several corrected alternatives do we present to the user?
 - We said, pick the one with the most hits
- How do we maintain the top ones with multiple indexes and invalidation bit vectors?
 - One possibility: ignore everything but the main index for such ordering
- Will see more such statistics used in results ranking



Dynamic indexing at search engines

- All the large search engines now do dynamic indexing
- Their indices have frequent incremental changes
 - News items, blogs, new topical web pages
- But (sometimes/typically) they also periodically reconstruct the index from scratch
 - Query processing is then switched to the new index, and the old index is then deleted



Other sorts of indexes

- Positional indexes
 - Same sort of sorting problem ... just larger
- Building character n-gram indexes:
 - As text is parsed, enumerate n-grams.
 - For each n-gram, need pointers to all dictionary terms containing it the "postings".
 - Note that the same "postings entry" will arise repeatedly in parsing the docs need efficient hashing to keep track of this.
 - E.g., that the trigram uou occurs in the term deciduous will be discovered on each text occurrence of deciduous
 - Only need to process each term once



Summary

Index construction

Data structures

Indexing strategies

Distributed indexing

Forward Index **Inverted Index** Document/Term Document/Term ID ID Cat Cat 1 Dog Dog Cat Fish Fish Dog Cat

