Welcome to the class of
Web Information Retrieval !

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Outline

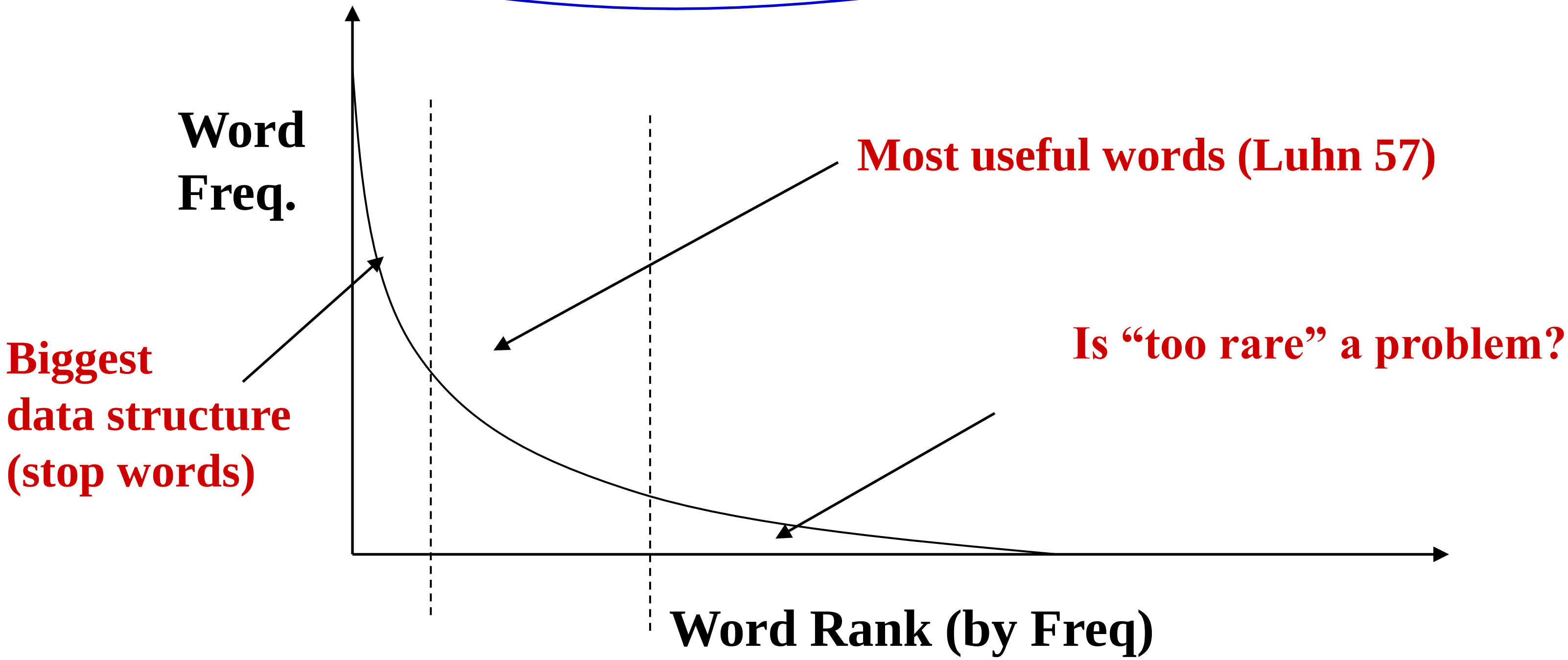
- What is IR?
- Basic IR procedure
  - Data acquisition
  - Indexing
  - Ranking
    - Term weighting
    - Ranking models
  - System evaluation

Term Weighting

- Not all terms are equally important
- How to select *important / good* keywords?
  - Simplest way: using middle-frequency words according to Zipf's law

Zipf's Law

- rank * frequency ≈ constant $F(w) = \frac{C}{r(w)^{\alpha}}$ $\alpha \approx 1, C \approx 0.1$



Generalized Zipf's law: $F(w) = \frac{C}{[r(w)+B]^{\alpha}}$ **Applicable in many domains**

Term weighting

- **TFIDF**

  tf = term frequency

  (the frequency of a term/keyword in a document)

  idf = inverse document frequency

  (the unevenness of term distribution in the corpus)

  weight(t,D) = tf(t,D) * idf(t)

- Some commonly used tf*idf schemes:

tf(t, D) = freq(t,D)	idf(t) = log(N/n + α)
tf(t, D) = log[freq(t,D)]	n = # docs containing t
tf(t, D) = log[freq(t,D)+1]	N = # docs in the corpus
tf(t, D) = freq(t,d) / Max[f(t,d)]	α = 1, 0.5, etc

- Sometimes, additional normalizations (e.g. length).

Ranking

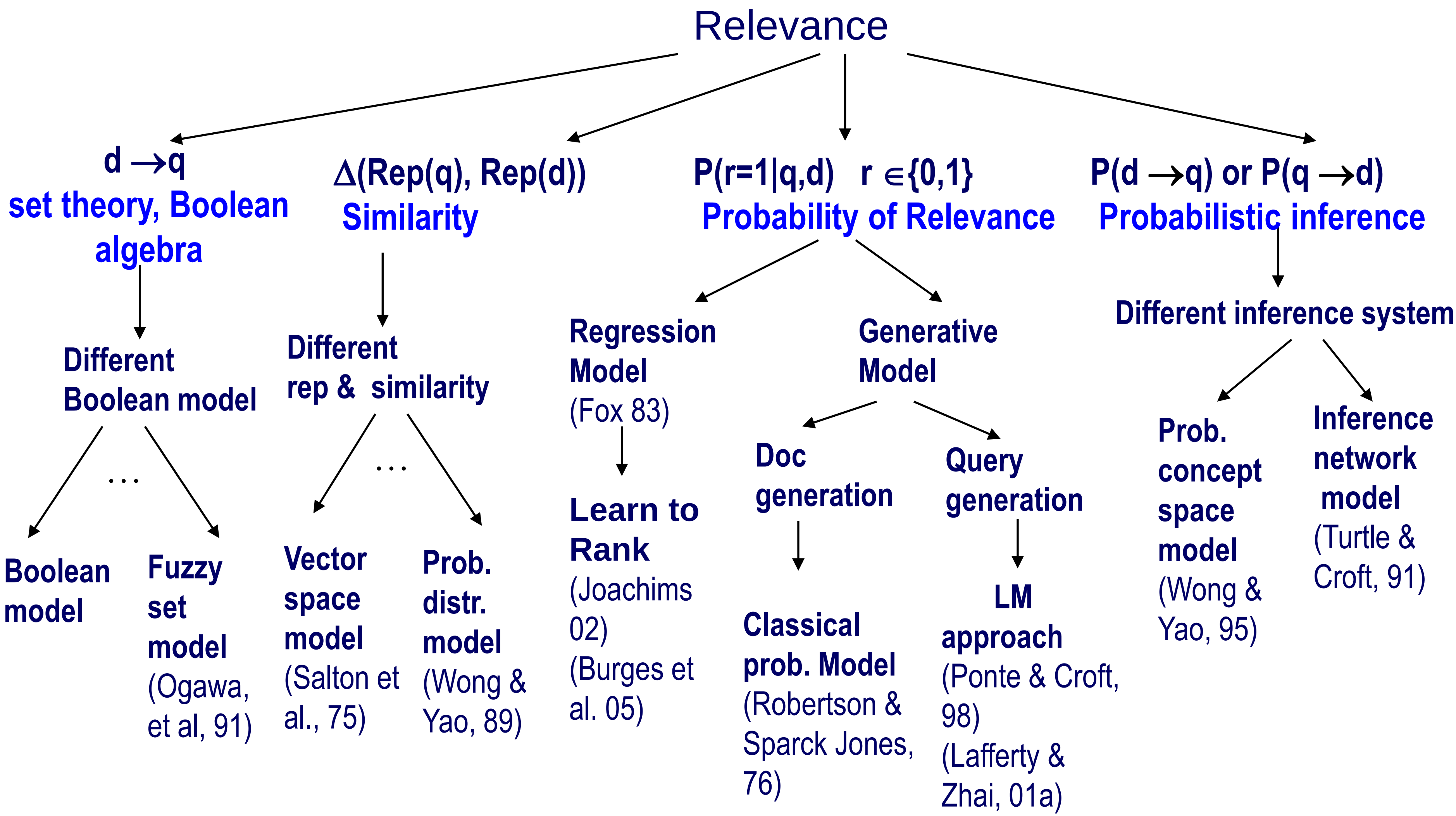
- The problems underlying ranking

  - How is a document/query represented with the selected keywords?

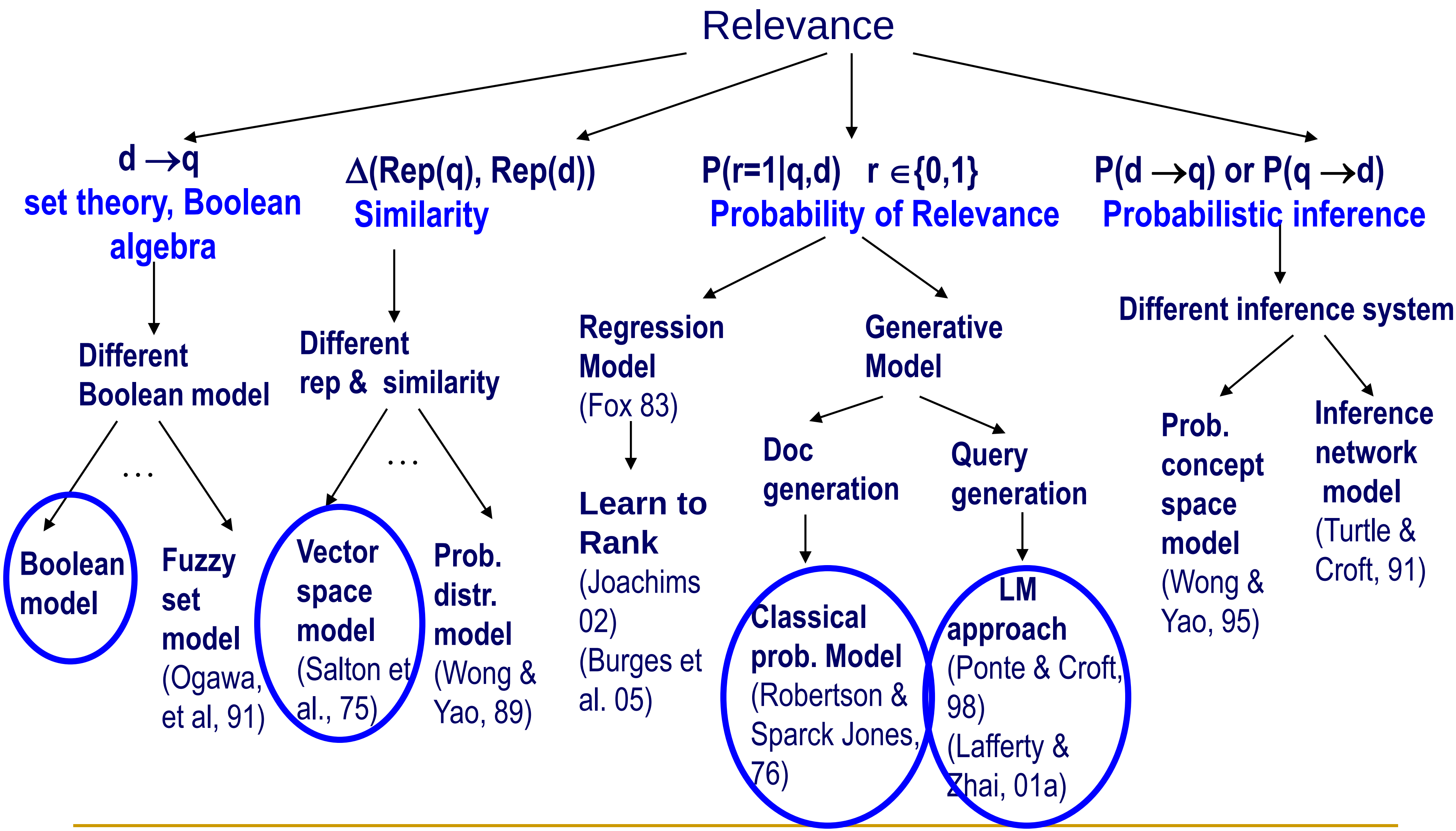
  - How are two representations compared?

  - (ordered) measure of relevance

Overview of Retrieval Models



Overview of Retrieval Models



Boolean model

- Boolean model

  - Document = Logical conjunction of keywords

  - Query = Boolean expression of keywords

  (AND, OR, NOT, with brackets)

  - $R(D, Q) = D \rightarrow Q$

- Example:

  $D = t_1 \wedge t_2 \wedge \dots \wedge t_n$ $Q = (t_1 \wedge t_2) \vee (t_3 \wedge \neg t_4)$

  We have $D \rightarrow Q$. Thus $R(D, Q) = 1$.

- Popular/earliest retrieval model because:
  - Easy to understand for simple queries.
  - Clean formalism.
  - Reasonably efficient implementations possible for normal queries.

Boolean Models – Problems

- Very rigid: AND means all; OR means any.
- Difficult to express complex user requests.
- Difficult to control the number of documents retrieved.
  - ***All*** matched documents will be returned.
- Difficult to rank output.
  - ***All*** matched documents logically satisfy the query.
- Difficult to perform relevance feedback.
  - If a document is identified by the user as relevant or irrelevant, how should the query be modified?

Extensions to Boolean model

- $D = \{\ldots, (t_i, a_i), \ldots\}$ i.e. keywords are weighted
- Interpretation:

  D is a member of class t_i to degree a_i.

  In terms of fuzzy sets:

  $\mu_{ti}(D) = a_i$
- Evaluation:

  $R(D, t_i) = \mu_{ti}(D)$

  $R(D, Q_1 \wedge Q_2) = \min(R(D, Q_1), R(D, Q_2))$.

  $R(D, Q_1 \vee Q_2) = \max(R(D, Q_1), R(D, Q_2))$.

  $R(D, \neg Q_1) = 1 - R(D, Q_1)$.

Vector space model

- Vector space = all the keywords encountered

  $<t_1, \quad t_2, \quad t_3, \ldots, t_n>$

  Dimension = n = |vocabulary|
- Document: a weighted vector

  $D =< a_1, a_2, a_3, \ldots, a_n>$

  a_i = weight of t_i in D
- Query: a weighted vector

  $Q =< b_1, b_2, b_3, \ldots, b_n>$

  b_i = weight of t_i in Q
- R(D,Q) = Similarity(D,Q)

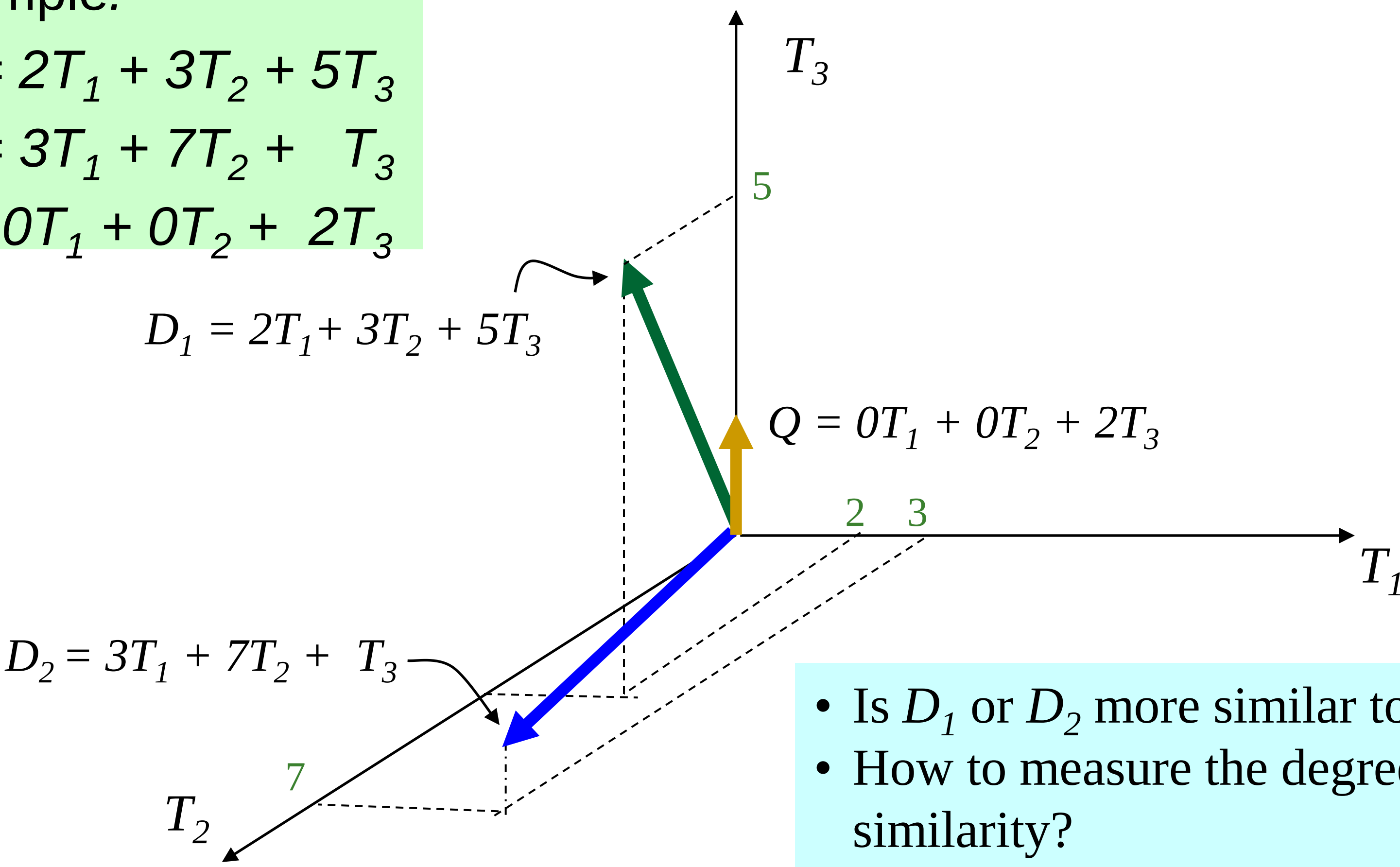
Graphic Representation

Example:

$D_1 = 2T_1 + 3T_2 + 5T_3$

$D_2 = 3T_1 + 7T_2 + T_3$

$Q = 0T_1 + 0T_2 + 2T_3$



- Is D_1 or D_2 more similar to Q?
- How to measure the degree of similarity?
  - Distance? Angle? Projection?

Similarity Measure - Inner Product

- Using vector inner product:

$$\mathrm{sim}(\boldsymbol{d}_j,\boldsymbol{q}) = \boldsymbol{d}_{\mathrm{j}}\bullet\boldsymbol{q} = \sum_{i=1}^{t} w_{ij} \cdot w_{iq}$$

w_{ij} -- the weight of term *i* in document *j*

w_{iq} -- the weight of term *i* in the query

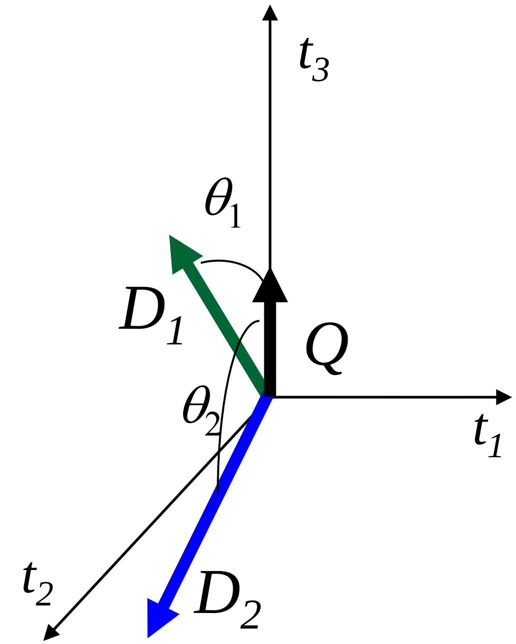
- For binary vectors, it's # of matched query terms in the document (size of intersection).
- For weighted term vectors, it's the sum of the products of the weights of the matched terms.

Properties of Inner Product

- The inner product is unbounded.
- Favors long documents with a large number of unique terms.
- Measures how many terms matched but not how many terms are *not* matched.

Cosine Similarity Measure

- Cosine similarity measures the cosine of the angle between two vectors.
- Inner product normalized by the vector lengths.



$$\text{CosSim}(\boldsymbol{d}_j, \boldsymbol{q}) = \frac{\vec{d_j} \cdot \vec{q}}{\left|\vec{d_j}\right| \cdot \left|\vec{q}\right|} = \frac{\sum_{i=1}^{t}(w_{ij} \cdot w_{iq})}{\sqrt{\sum_{i=1}^{t} w_{ij}^2 \cdot \sum_{i=1}^{t} w_{iq}^2}}$$

$D_1 = 2T_1 + 3T_2 + 5T_3$ CosSim(D_1, Q) = 10 / $\sqrt{(4+9+25)(0+0+4)}$ = 0.81
$D_2 = 3T_1 + 7T_2 + 1T_3$ CosSim(D_2, Q) = 2 / $\sqrt{(9+49+1)(0+0+4)}$ = 0.13
$Q = 0T_1 + 0T_2 + 2T_3$

D_1 is 6 times better than D_2 using cosine similarity but only 5 times better using inner product.

Typical VSM weighting formula

$$\sum_{t \in Q,D} \frac{1 + \ln(1 + \ln(tf))}{(1-s) + s\frac{dl}{avdl}} \times qtf \times \ln \frac{N+1}{df}$$

where s is an empirical parameter (usually 0.20), and

tf	is the term's frequency in document
qtf	is the term's frequency in query
N	is the total number of documents in the collection
df	is the number of documents that contain the term
dl	is the document length, and
$avdl$	is the average document length.

Comments on Vector Space Models

- Simple, mathematically based approach.
- Provides partial matching and ranked results.
- Tends to work quite well in practice despite obvious weaknesses.
- Allows efficient implementation for large document collections.

Problems with Vector Space Model

- Missing semantic information (e.g. word sense).
- Missing syntactic information (e.g. phrase structure, word order, proximity information).
- Assumption of term independence.

(*not only the problems of VSM, but The Flaws of Bag-of-Word models*)

- Lacks the control of a Boolean model (e.g., *requiring* a term to appear in a document).
  - Given a two-term query “A B”, may prefer a document containing A frequently but not B, over a document that contains both A and B, but both less frequently.

Probabilistic model

The Basic Question

- What is the probability that ***THIS*** document is relevant to ***THIS*** query?

Formally…

- 3 random variables:
  - query Q, document D, relevance $R \in \{0,1\}$
- Given a particular query q, a particular document d, $p(R=1|Q=q, D=d)$=?
- In fact, we only need to compare $P(R=1|Q, D_1)$ with $P(R=1|Q, D_2)$, i.e., rank documents

Probabilistic model: Generative models

- Basic idea
  - Define P(Q,D|R)
  - Compute O(R=1|Q,D) using Bayes' rule

$$O(R=1\mid Q,D)=\frac{P(R=1\mid Q,D)}{P(R=0\mid Q,D)}=\frac{P(Q,D\mid R=1)}{P(Q,D\mid R=0)}\boxed{\frac{P(R=1)}{P(R=0)}}$$

Ignored for ranking D

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Ignored for ranking D

- Special cases
  - Document "generation": P(Q,D|R)=P(D|Q,R)P(Q|R)
  - Query "generation": P(Q,D|R)=P(Q|D,R)P(D|R)

Document Generation

$$\frac{P(R=1|Q,D)}{P(R=0|Q,D)} \propto \frac{P(Q,D|R=1)}{P(Q,D|R=0)}$$

$$= \frac{P(D|Q,R=1)P(Q|R=1)}{P(D|Q,R=0)P(Q|R=0)}$$

$$\propto \frac{P(D|Q,R=1)}{P(D|Q,R=0)}$$

Model of relevant docs for Q

Model of non-relevant docs for Q

Assume independent attributes $A_1 \ldots A_k$ …. (generally we take terms as attributes)
Let $D = d_1 \ldots d_k$, where $d_k \in \{0,1\}$ is the value of attribute A_k (Similarly $Q = q_1 \ldots q_k$)

$$\frac{P(R=1|Q,D)}{P(R=0|Q,D)} \propto \prod_{i=1}^{k} \frac{P(A_i=d_i|Q,R=1)}{P(A_i=d_i|Q,R=0)}$$

$$\underline{\underline{rank}} \prod_{i=1}^{k} \frac{P(A_i=1|Q,R=1)}{1-P(A_i=1|Q,R=1)} \cdot \frac{1-P(A_i=1|Q,R=0)}{P(A_i=1|Q,R=0)}$$

odds transformation (strictly monotonic) $\frac{P}{1-P}$

$$\propto \sum_{i=1,q_i=1}^{k} \log \frac{p_i(1-q_i)}{(1-p_i)q_i}$$

Robertson-Sparck Jones Model

Note: Non-query terms are equally likely to appear in relevant and non-relevant docs

$p_i = P(A_i = 1|Q, R = 1)$: prob. that term A_i occurs in a relevant doc
$q_i = P(A_i = 1|Q, R = 0)$: prob. that term A_i occurs in a non-relevant doc

Robertson-Sparck Jones Model
(Robertson & Sparck Jones 76)

$$\log O(R=1|Q,D) \overset{Rank}{\approx} \sum_{i=1,q_i=1}^{k} \log \frac{p_i(1-q_i)}{q_i(1-p_i)} \qquad \text{(RSJ model)}$$

Two parameters for each term A_i:

$p_i = P(A_i = 1|Q, R = 1)$: prob. that term A_i occurs in a relevant doc

$q_i = P(A_i = 1|Q, R = 0)$: prob. that term A_i occurs in a non-relevant doc

How to estimate parameters (probabilities)?

Suppose we have relevance judgments,

$$\hat{p}_i = \frac{\#(rel.\ doc\ with\ A_i) + 0.5}{\#(rel.doc) + 1} \qquad \hat{q}_i = \frac{\#(nonrel.\ doc\ with\ A_i) + 0.5}{\#(nonrel.doc) + 1}$$

"+0.5" and "+1" can be justified by Bayesian estimation

RSJ Model: No Relevance Info
(Croft & Harper 79)

$$\log O(R=1|Q,D) \overset{Rank}{\approx} \sum_{i=1,q_i=1}^{k} \log \frac{p_i(1-q_i)}{q_i(1-p_i)} \qquad \text{(RSJ model)}$$

How to estimate parameters (probabilities)?

Suppose we do not have relevance judgments,

- We will assume p_i to be a constant
- Estimate q_i by assuming all documents to be non-relevant

$$\log O(R=1|Q,D) \overset{Rank}{\approx} \sum_{i=1,q_i=1}^{k} \log \frac{N-n_i+0.5}{n_i+0.5} \qquad IDF' = \log \frac{N-n_i}{n_i}$$

N: # documents in collection

n_i: # documents in which term A_i occurs

RSJ Model: Summary

- The most important classic prob. IR model
- Use only term presence/absence, thus also referred to as Binary Independence Model
- Essentially Naïve Bayes for doc ranking
- Most natural for relevance/pseudo feedback
- When without relevance judgments, the model parameters must be estimated in an ad hoc way
- Performance isn't as good as tuned VS model
- Many improvements …

Improvements -- BM25/Okapi Approximation

(Robertson et al. 94)

- Idea: Approximate $p(R=1|Q,D)$ with a simpler function that share similar properties
- Observations:

$$\log O(R=1|Q,D) \overset{Rank}{\approx} \sum_{i=1,q_i=1}^{k} \log \frac{p_i(1-q_i)}{q_i(1-p_i)}$$

  - $log\ O(R=1|Q,D)$ is a sum of term weights W_i
- Adding TF (d_i is not only binary value 0/1)
  - $W_i = 0$, $if\ TF_i = 0$
  - W_i increases monotonically with TF_i
  - W_i has an asymptotic limit

$$\boldsymbol{W_i = \frac{TF_i(k_1+1)}{k_1+TF_i} \log \frac{p_i(1-q_i)}{q_i(1-p_i)}}$$

- Adding document length
  - "Carefully" penalize long doc
- Adding query TF

The most famous ranking function in the doc generation branch – BM25 series

- Final: BM25 – achieving top performances in TREC

$$\sum_{T \in Q} w^{(1)} \frac{(k_1+1)tf}{K+tf} \frac{(k_3+1)qtf}{k_3+qtf} \qquad w^{(1)} = log\frac{(r+0.5)/(R-r+0.5)}{(n-r+0.5)/(N-n-R+r+0.5)}$$

$$K = k_1((1-b)+b\frac{|d|}{avdl})$$

		Are the documents relevant to the term?		
		1 = Yes (Relevant)	0 = No (Non-Relevant)	Collection-wide Incidence
Is the term present	1 = Yes (Present)	r	n - r	n
in the documents?	0 = No (Absent)	R - r	N – n – R + r	N - n
Total number of documents		R	N - R	N

- *tf* : the count of word *T* in the document *d*, *qtf* : the count of word *T* in the query *q*,
- |*d*|: the length of document *d*, *avdl* : the average document length of the collection,
- k_1(1.0 to 2.0), b (usually 0.75) and k_3 (0 to 1000) : constants.

Query Generation Model

$$O(R=1|Q,D) \propto \frac{P(Q,D|R=1)}{P(Q,D|R=0)}$$

$$= \frac{P(Q|D,R=1)P(D|R=1)}{P(Q|D,R=0)P(D|R=0)}$$

$$\propto \underline{P(Q|D,R=1)}\,\underline{\frac{P(D|R=1)}{P(D|R=0)}} \quad (Assume\ \ P(Q|D,R=0) \approx P(Q|R=0))$$

Query likelihood p(q| θ_d) **Document prior**

Assuming uniform prior, we have $O(R=1|Q,D) \propto P(Q|D,R=1)$

Now, the question is how to compute $P(Q|D,R=1)$ **?**

Generally involves two steps:

(1) estimate a language model based on D

(2) compute the query likelihood according to the estimated model

Leading to the so-called "Language Modeling Approach" …

What is a Statistical LM?

- A probability distribution over word sequences
  - p("*Today is Friday*") ≈ 0.001
  - p("*Today Friday is*") ≈ 0.0000000000001
  - p("*The eigenvalue is positive*") ≈ 0.00001
- Context-dependent!
- Can also be regarded as a probabilistic mechanism for "generating" text, thus also called a "generative" model

The Simplest Language Model (Unigram Model)

- Generate a piece of text by generating each word independently
- Thus, $p(w_1\ w_2\ ...\ w_n)=p(w_1)p(w_2)\ldots p(w_n)$
- Parameters: $\{p(w_i)\}$ $p(w_1)+\ldots+p(w_N)=1$
  - (N is voc. size)
- Essentially a multinomial distribution over words
- A piece of text can be regarded as a sample drawn according to this word distribution

Text Generation with Unigram LM

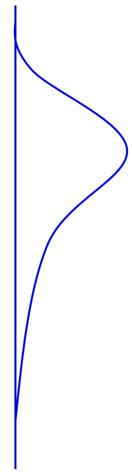
(Unigram) Language Model θ
p(w| θ)

Sampling

Document

Topic 1:
Text mining

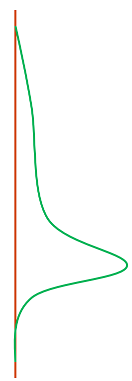
…
text 0.2
mining 0.1
association 0.01
clustering 0.02
…
food 0.00001
…



Text mining paper

Topic 2:
Health

…
food 0.25
nutrition 0.1
healthy 0.05
diet 0.02
…



Food nutrition paper

Estimation of Unigram LM

(Unigram) Language Model θ

$p(w|\theta)=?$

Estimation

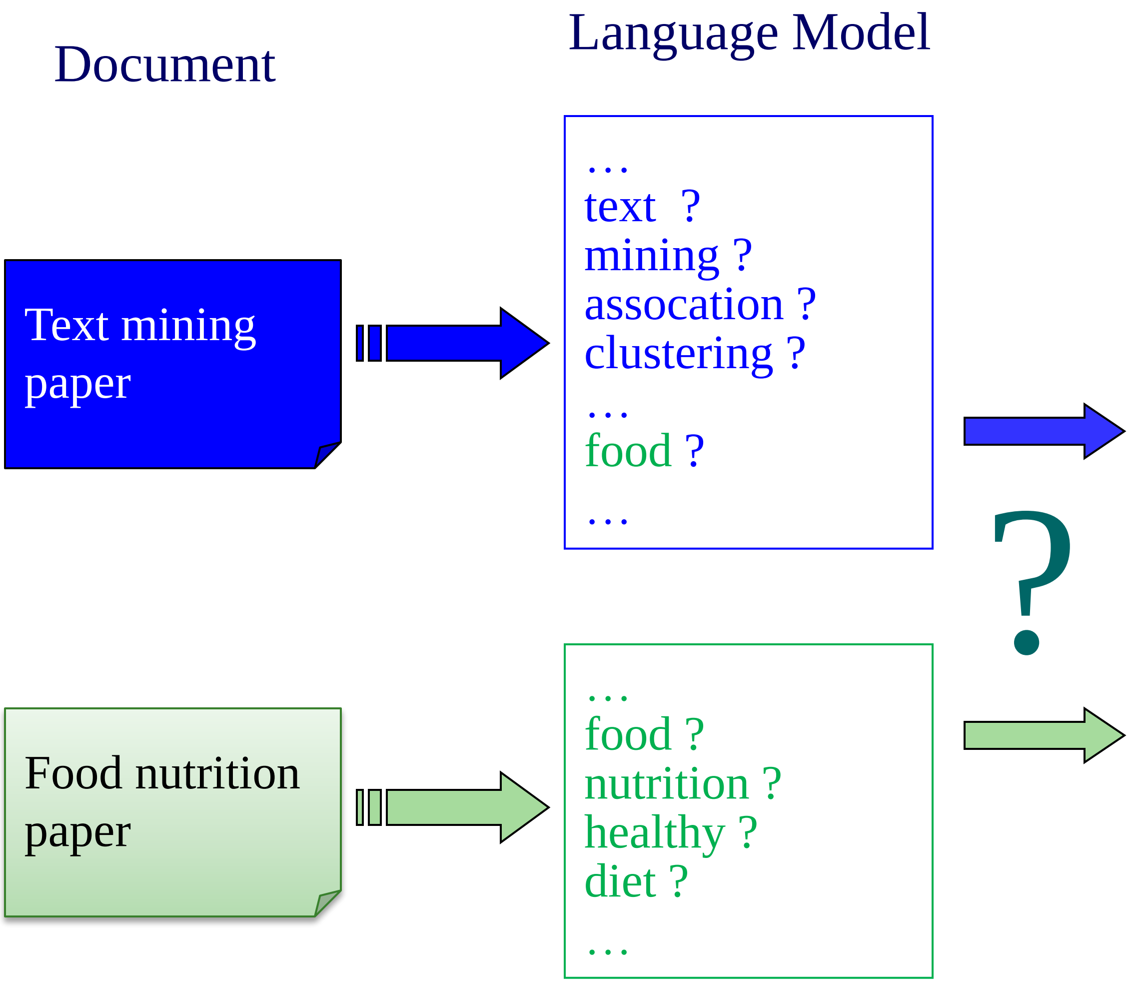
Document

	…
10/100	text ?
5/100	mining ?
3/100	association ?
3/100	database ?
	…
1/100	query ?
	…

text 10
mining 5
association 3
database 3
algorithm 2
…
query 1
efficient 1

A "text mining paper"
(total #words=100)

Language Models for Retrieval

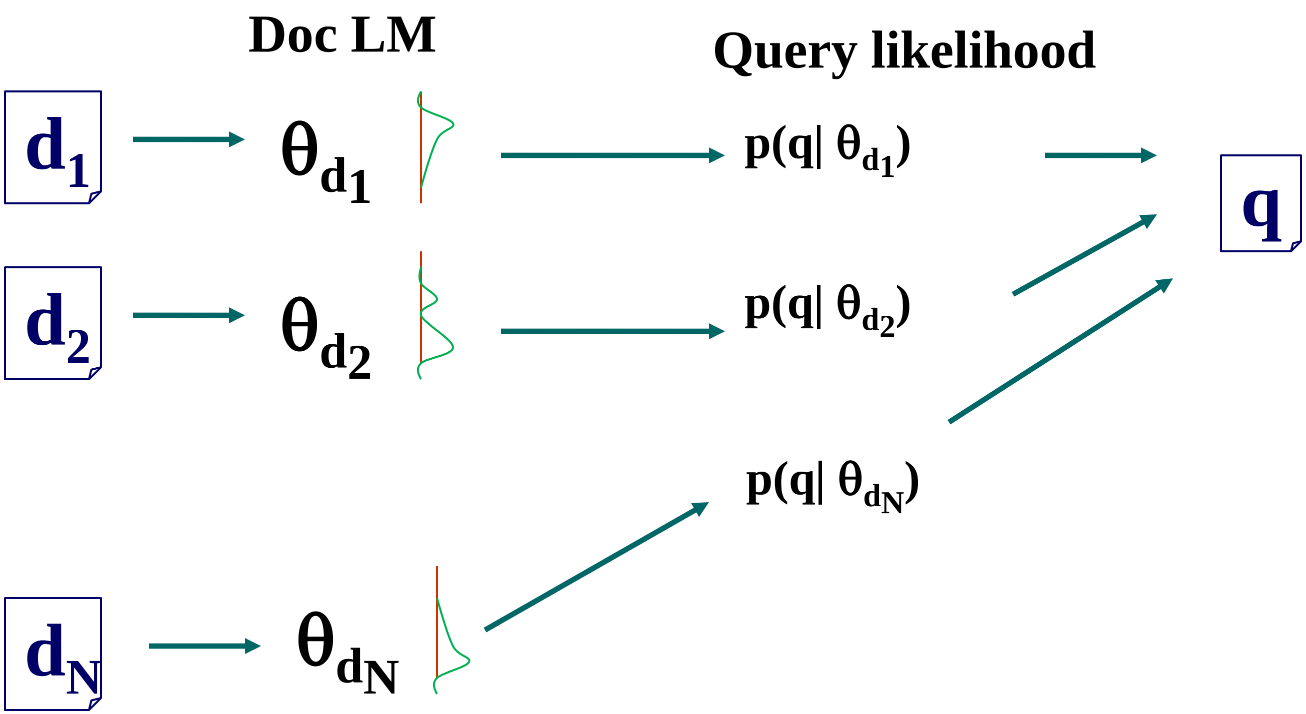


Query =
“data mining algorithms”

Which model would most likely have generated this query?

(Ponte & Croft 98)

Ranking Docs by Query Likelihood



- Document ranking based on *query likelihood*

$$\log p(q \mid d) = \sum_i \log \boxed{p(w_i \mid d)} \quad where,\ q = w_1 w_2 \ldots w_n$$

Document language model

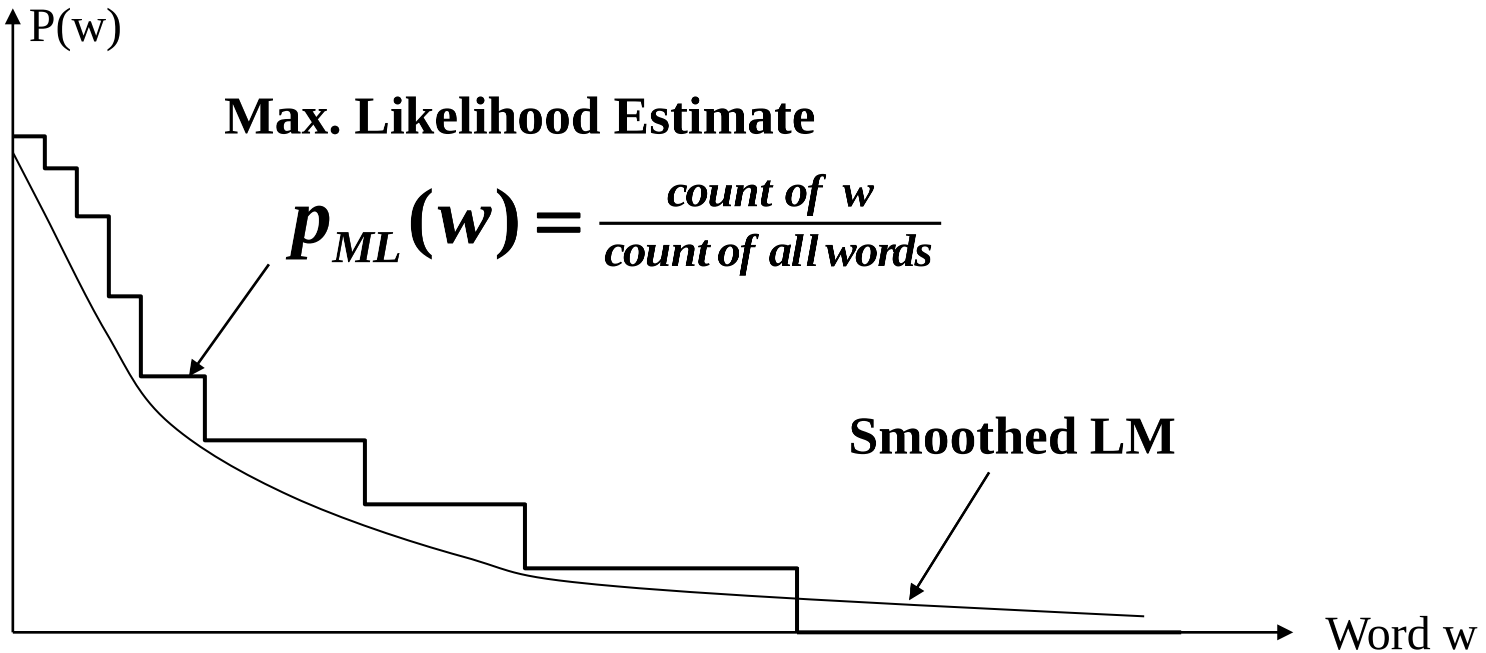
- Retrieval problem ≈ Estimation of $p(w_i|d)$

How to Estimate p(w|d)?

- Simplest solution: Maximum Likelihood Estimator
  - $P(w|d)$ = relative frequency of word w in d
  - What if a word doesn't appear in the text? $P(w|d)$ =0
- In general, what probability should we give a word that has not been observed?

→ "smoothing"

Language Model Smoothing (Illustration)



- All smoothing methods try to
  - Discount the probability of words seen in a document
  - Re-allocate the extra counts so that unseen words will have a non-zero count

For more information, ref. to: Lafferty, J. and Zhai, C., 2003.

Smoothing & TF-IDF Weighting

- A general smoothing schema: using a reference model

$$p(w|d) = \begin{cases} p_{seen}(w|d) & \text{if } w \text{ is seen in } d \\ \alpha_d\, p(w|C) & \text{otherwise} \end{cases}$$

Discounted ML estimate

Collection language model

- Plug in the general smoothing scheme to the query likelihood retrieval formula, we obtain

Doc length normalization
(long doc is expected to have a smaller α_d)

TF weighting

$$\log p(q|d) = \sum_{\substack{w_i \in d \\ w_i \in q}} [\log \frac{p_{seen}(w_i|d)}{\alpha_d\, p(w_i|C)}] + n \log \alpha_d + \boxed{\sum_i \log p(w_i|C)}$$

IDF weighting

Ignore for ranking

- Smoothing with *p(w|C)* ≈ TF-IDF + length norm.

Derivation of the Query Likelihood Retrieval Formula

Discounted ML estimate

Retrieval formula using the general smoothing scheme

$$p(w|d)=\begin{cases} p_{Seen}(w|d) & if\ \ w\ \ is\ \ seen\ in\ d \\ \alpha_d\, p(w|C) & otherwise \end{cases}$$

$$\alpha_d=\frac{1-\sum_{w\ is\ seen} p_{Seen}(w|d)}{\sum_{w\ is\ unseen} p(w|C)}$$

Reference language model

$$p(q|d)=\sum_{w\in V,c(w,q)>0} c(w,q)\log p(w|d)$$

$$=\sum_{\substack{w\in V,c(w,d)>0,\\ c(w,q)>0}} c(w,q)\log p_{Seen}(w|d)+\sum_{w\in V,c(w,q)>0,c(w,d)=0} c(w,q)\log \alpha_d p(w|C)$$

$$=\sum_{w\in V,c(w,d)>0} c(w,q)\log p_{Seen}(w|d)+\sum_{w\in V,c(w,q)>0} c(w,q)\log \alpha_d p(w|C)-\sum_{w\in V,c(w,q)>0,c(w,d)>0} c(w,q)\log \alpha_d p(w|C)$$

$$=\sum_{\substack{w\in V,c(w,d)>0\\ c(w,q)>0}} c(w,q)\log\frac{p_{Seen}(w|d)}{\alpha_d p(w|C)}+|q|\log\alpha_d+\sum_{w\in V,c(w,q)>0} c(w,q)logp(w|C)$$

Key rewriting step

Similar rewritings are very common when using LMs for IR…

APPENDIX

Homework

- *How many ways can you find to prevent your website being indexed by Search Engine?*

Submission deadline: by March 8.
on http://learn.tsinghua.edu.cn

Robots.txt

- Protocol for giving spiders (“robots”) limited access to a website, originally from 1994
  - www.robotstxt.org/orig.html
- Website announces its request on what can(not) be crawled
  - For a URL, create a file **`URL/robots.txt`**
  - This file specifies access restrictions
- Example: # robots.txt

```
User-agent: *
Disallow: /cyberworld/map/ # This is an infinite virtual URL space

# Cybermapper knows where to go.
User-agent: cybermapper
Disallow:
```