

# Informatics 1: Data & Analysis

## Lecture 16: Vector Spaces for Information Retrieval

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Semester 2 Week 8



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The performance of an information retrieval system can be evaluated in terms of its **recall** and **precision**. Informally, precision is the fraction of returned results that are relevant to the query. In contrast, recall is:

- The proportion of all relevant results that are actually returned.
- The total number of returned results that are relevant to the query.
- How many results are returned overall.

The fictional app **Book Beats!!** suggests a list of music tracks related to the content of a chosen book. This is an information retrieval task. Which performance measure matters most for this app?

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The coursework assignment has now been online for some time. It's due for submission next Thursday.

Your tutorial meeting next week is a chance to discuss the assignment, ask questions, and get help. So:

- Start the assignment well before your tutorial (i.e., now)
- Take your work so far to the tutorial.
- Tell your tutor about questions where you are having problems, and areas you find difficult.

There is a web page with general information about coursework, assessment and feedback in the School of Informatics. Please read it.

<http://www.inf.ed.ac.uk/teaching/coursework.html>

This also links to the School policy on late coursework and extension requests. Please read that too.

## Late Submissions

Normally, you will not be allowed to submit coursework late. Coursework submitted after the deadline set will receive a mark of 0%.

If you have a good reason to need to submit late then do the following:

- Read the [extension requests web page](#) carefully.
- Request an extension identifying the affected course and assignment.
- Submit your request via the [ITO contact form](#).

## Data Retrieval

- The information retrieval problem
- The vector space model for retrieving and ranking

## Statistical Analysis of Data

- Data scales and summary statistics
- Hypothesis testing and correlation
- $\chi^2$  tests and collocations      also *chi-squared*, pronounced “kye-squared”

# Summary from Tuesday

## Information Retrieval Task

A clearly defined task for which effective implementations have wide application in a range of domains:

Given a query and a large collection of documents, find the documents in the collection that are relevant to the query.

## Evaluation of Information Retrieval

The two measures of **precision** and **recall** can be used to evaluate performance of any information retrieval system.

Both matter: which is more important depends on the application domain.

There is often a direct trade-off between precision and recall: some implementations can be tuned to improve one while lowering the other.

$F_\alpha$  — the **F-score** — is a weighted combination of the two measures.

# Possible Query Types for Information Retrieval

We consider just simple keyword queries, where we ask an IR system to:

- Find documents containing one or more of  $\{word_1, word_2, \dots, word_n\}$

More sophisticated systems might support queries like:

- Find documents containing all of  $\{word_1, word_2, \dots, word_n\}$ ;
- Find documents containing as many of  $\{word_1, word_2, \dots, word_n\}$  as possible.

Other systems go beyond these into more complex queries: using boolean operations, searching for whole phrases, words similar to the keywords, regular expression matches, *etc.*

...and, ultimately, *Question Answering* systems like Watson

# Models for Information Retrieval

If we look for every document containing some words of the query then this may result in a large number of documents of widely varying relevance.

At this point we might want to refine retrieval beyond simple selection/rejection and introduce some notion of *ranking*.

Introducing more refined queries, and in particular ranking the results, requires a **model** of the documents being retrieved.

There are many such models. One of the simplest is the *bag-of-words model*. We focus on this and a refinement, the *vector space model*.

This model is the basis of many IR applications; it originated in the work of Gerard Salton and others in the 1970's, and is still actively developed.



# Assessing Word Significance

Suppose we have a document collection  $D_1, D_2, \dots, D_N$  and a word  $w$  that appears in document  $D_i$ . How much does this tell us about  $D_i$ ?

## Absolute term frequency

$f_i(w)$                       The number of times word  $w$  appears in document  $D_i$

## Relative term frequency

$f_i(w)/\text{size}(D_i)$                       Appearances of  $w$ , scaled by the size of  $D_i$

## Inverse Document Frequency

$\log(N/N_w)$                       Word  $w$  appears in  $N_w$  documents out of  $N$

## Term Frequency - Inverse Document Frequency (tf-idf)

$f_i(w) \log(N/N_w)$                       Absolute frequency of  $w$  in  $D_i$ , weighted by idf

The value of **tf-idf** indicates how important word  $w$  is in document  $D_i$ .

# Calculating tf-idf

Suppose we have 400 documents. One of them, Document D, has 3000 words; in which “Scotland” appears 28 times and “forestry” just 12 times.

Overall “Scotland” appears in 250 of the documents and “forestry” in 78.

$$\text{tf-idf}(\text{Scotland}, D) = 28 \times \log\left(\frac{400}{250}\right) = 28 \times 0.204 = 5.72$$

$$\text{tf-idf}(\text{forestry}, D) = 12 \times \log\left(\frac{400}{78}\right) = 12 \times 0.710 = 8.52$$

Although “Scotland” appears more often in D than “forestry”, it is the appearance of “forestry” that is a more significant feature of the document.

A word that appears in very few documents will have a high tf-idf; a word that is in many documents will get a lower tf-idf; a word that is in every document will have a tf-idf of zero.

Base 10 logarithm is standard; but other bases work too

# Creator of Inverse Document Frequency

## General idea

Why not add some weight for a word that turns up distinctively more in this document than it does in others?

## Specific proposal

Use this:

$$\text{tf-idf} = f_i(w) \log \left( \frac{N}{N_w} \right) .$$



Karen Spärck-Jones

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You can put your own web pages on the School of Informatics server

## Short Guide

File **index.html** in DICE directory **/public/homepages/s1576543/web** will appear on the web at

**<http://homepages.inf.ed.ac.uk/s1576543/index.html>**

## Longer Guide

**<http://computing.help.inf.ed.ac.uk/homepages>**

# The Vector Space Model

Treat documents as vectors in a high-dimensional space, with one dimension for every distinct word.

This can give us a ranking among retrieved documents:

- Each document is a vector;
- Treat the query (a very short document) as a vector too;
- Match documents to the query by the *angle* between the vectors.
- Rank documents more highly the more nearly they point in the same direction as the query.

Operating the model does not, in fact, require a strong understanding of higher-dimensional vector spaces: all we do is manipulate fixed-length lists of integers.

Various programming languages provide a **vector** datatype for fixed-length homogeneous sequences

# The Vector for a Document

Suppose that  $w_1, w_2, \dots, w_n$  are all the different words occurring in a collection of documents  $D_1, D_2, \dots, D_k$ .

We model each document  $D_i$  by an  $n$ -dimensional vector

$$(c_{i1}, c_{i2}, \dots, c_{ij}, \dots, c_{in})$$

where  $c_{ij}$  is the number of times word  $w_j$  occurs in document  $D_i$ .

In the same way we model the query as a vector  $(q_1, \dots, q_n)$  by considering it as a document itself:  $q_j$  counts how many times word  $w_j$  occurs in the query.

# Example

Consider a small document containing only the phrase

Sun, sun, sun, here it comes [Harrison, 1969]

from a document collection which contains only the words “comes”, “here”, “it”, “sun” and “today”.

The five-dimensional vector for the document is (1, 1, 1, 3, 0):

comes	here	it	sun	today
1	1	1	3	0

The matching vector for a query phrase “sun today” is (0, 0, 0, 1, 1):

comes	here	it	sun	today
0	0	0	1	1

# Document Matrix

For an information retrieval system based on the vector space model, frequency information for words in a document collection is usually precompiled into a *document matrix*:

- Each column represents a word that appears the document collection;
- Each row represents a single document in the collection;
- Each matrix entry is the frequency of that word in that document.

This is a **model** in that it captures some aspects of the documents in the collection — enough to carry out certain queries or comparisons — but ignores others.

This general idea of a *model* is key to many areas of science and engineering

# Example Document Matrix

	$w_1$	$w_2$	$w_3$	$\dots$	$w_n$
$D_1$	14	6	1	$\dots$	0
$D_2$	0	1	3	$\dots$	1
$D_3$	0	1	0	$\dots$	2
$\vdots$	$\vdots$	$\vdots$	$\vdots$	$\ddots$	$\vdots$
$D_K$	4	7	0	$\dots$	5

Note that each row of the document matrix is the appropriate vector for the corresponding document.

The following paper is frequently cited as the origin of the vector space model.



G. Salton.

*A Vector Space Model for Information Retrieval.*

Communications of the ACM, 1975.

OR: Journal of the American Society for Information Science, 1975.

OR: None of the above.

This paper was never written. It does not exist. The citation is a virus whose habitat is academic bibliographies.

This paper explains the story.



D. Dubin.

*The most influential paper Gerard Salton never wrote.*

Library Trends 52(4):748–764, 2004

<http://is.gd/salton>

# Similarity of Vectors

Now that we have documents modelled as vectors, we can rank them by how closely they align with the query, also modelled as a vector.

A simple measure of how well these match is the **angle** between them as (high-dimensional) vectors: smaller angle means more similarity.

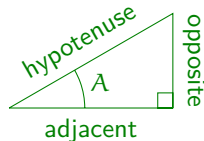
Using angle makes this measure independent of document size: a larger document is modelled by a longer vector, but in the same direction.

It turns out to be computationally simpler to calculate the **cosine** of that angle; this is more efficient, and gives exactly the same ranking.

# Cosines (Some Things You Already Know)

The *cosine* of an angle  $A$  is

$$\cos(A) = \frac{\text{adjacent}}{\text{hypotenuse}}$$



for a right-angled triangle with angle  $A$ .

Some particular values of cosine:

$$\cos(0) = 1$$

$$\cos(90^\circ) = 0$$

$$\cos(180^\circ) = -1$$

The cosine of the angle between two vectors will be 1 if they are **parallel**, 0 if they are **orthogonal** (at right-angles), and  $-1$  if they are **antiparallel**.

# Scalar Product of Vectors

Suppose we have two  $n$ -dimensional vectors  $\vec{x}$  and  $\vec{y}$ :

$$\vec{x} = (x_1, \dots, x_n)$$

$$\vec{y} = (y_1, \dots, y_n)$$

We calculate the cosine of the angle between them as follows:

$$\cos(\vec{x}, \vec{y}) = \frac{\vec{x} \cdot \vec{y}}{|\vec{x}||\vec{y}|} = \frac{x_1y_1 + x_2y_2 + \dots + x_ny_n}{\sqrt{(x_1^2 + x_2^2 + \dots + x_n^2)}\sqrt{(y_1^2 + y_2^2 + \dots + y_n^2)}}$$

Here  $\vec{x} \cdot \vec{y}$  is the *scalar product* or *dot product* of the vectors  $\vec{x}$  and  $\vec{y}$ , with  $|\vec{x}|$  and  $|\vec{y}|$  the length or *norm* of vectors  $\vec{x}$  and  $\vec{y}$ , respectively.

# Scalar Product of Vectors

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We calculate the cosine of the angle between them as follows:

$$\cos(\vec{x}, \vec{y}) = \frac{\vec{x} \cdot \vec{y}}{|\vec{x}||\vec{y}|} = \frac{\sum_{i=1}^n x_i y_i}{\sqrt{\sum_{i=1}^n x_i^2} \sqrt{\sum_{i=1}^n y_i^2}}$$

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## Example

Matching the document “Sun, sun, sun, here it comes” against the query “sun today” we have:

$$\vec{x} = (1, 1, 1, 3, 0)$$

$$\vec{y} = (0, 0, 0, 1, 1)$$

For this we can calculate:

$$\vec{x} \cdot \vec{y} = 0 + 0 + 0 + 3 + 0 = 3$$

$$|\vec{x}| = \sqrt{1 + 1 + 1 + 9 + 0} = \sqrt{12}$$

$$|\vec{y}| = \sqrt{0 + 0 + 0 + 1 + 1} = \sqrt{2}$$

$$\cos(\vec{x}, \vec{y}) = \frac{3}{\sqrt{12} \times \sqrt{2}} = \frac{3}{\sqrt{24}} = 0.61$$

to two significant figures. (The actual angle between the vectors is  $52^\circ$ .)

# Ranking Documents

Suppose  $\vec{q}$  is a query vector, with document vectors  $\vec{D}_1, \vec{D}_2, \dots, \vec{D}_K$  making up the document matrix.

We calculate the K cosine similarity values:

$$\cos(\vec{q}, \vec{D}_1) \quad \cos(\vec{q}, \vec{D}_2) \quad \dots \quad \cos(\vec{q}, \vec{D}_K)$$

We can then sort these: rating documents with the highest cosine against  $\vec{q}$  as the best match (smallest angle), and those with the lowest cosine values the least suitable (largest angle).

Because all document vectors are positive — no word occurs a negative number of times — the cosine similarity values will all be between 0 and 1.

# Discussion

The cosine similarity measure, as presented here, has some evident limitations. For example:

- It only uses the frequency of individual words, not their position or ordering in relation to each other.
- It treats equally all words in the document collection, including both very common “stop” words and very uncommon words unrelated to the search. (Refinements like tf-idf can help here.)
- It does not make any connection between closely related words, like “sun”, “sunny” and “sunshine”.

Nonetheless, more refined variations of cosine and other similar measurements based on the vector space model continue to be popular and effective in information retrieval, text mining, and clustering analysis.

The cosine measure for a document  $D$  against query  $q$  is always a value between 0 and 1. Larger values mean the document is a better choice.

This is because:

- Larger values mean that the document vector is longer.
- Values close to 1 mean the document vector points in a similar direction to the query vector.
- Higher values mean the document vector points more directly towards the query vector.

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# Some Other Issues Around Information Retrieval

Precision and recall, as defined in this course, only evaluate a fixed set of documents returned, without taking into account any ranking. More sophisticated measures such as *precision at a cutoff* address this.

We have not considered the efficient implementation of the search for documents matching a query (or, indeed, any kind of implementation at all). One method is an *inverted index* which indexes documents in a collection by recording every occurrence of each individual word.

Information retrieval and ranking methods may also make use of information beyond the document itself. This might be metadata on the source and history of a document, or how other documents reference it (citations). For example, Google's *pagerank* algorithm selects and ranks web pages based on their own content and the content (and ranking) of all pages which link to them.

It is named after its creator, Larry Page

## 1. Tutorial

Complete the tutorial exercise on [Information Retrieval](#). Question 1 relates to Tuesday's lecture, Question 2 uses material from today.

## 2. Coursework

Continue working on the coursework assignment. Make sure you have started all three questions in time for your tutorial: bring along your written solutions so far, with a list of any problems you have found.