## **Query Operations**

Berlin Chen 2003

#### Reference:

1. Modern Information Retrieval, chapter 5

#### Introduction

- Users have no detailed knowledge of
  - The collection makeup
  - The retrieval environment

Difficult to formulate queries

- Scenario of (Web) IR
  - 1. An initial (naive) query posed to retrieve relevant docs
  - 2. Docs retrieved are examined for relevance and a new improved query formulation is constructed and posed again

Expand the original query with new terms (query expansion) and rewight the terms in the expanded query (term weighting)

## **Query Reformulation**

- Approaches through query expansion (QE) and terming weighting
  - Feedback information from the user
    - · Relevance feedback
      - With vector, probabilistic models et al.
  - Information derived from the set of documents initially retrieved (called local set of documents)
    - Local analysis
      - Local clustering, local context analysis
  - Global information derived from document collection
    - Global analysis
      - Similar thesaurus or statistical thesaurus

#### Relevance Feedback

- User (or Automatic) Relevance Feedback
  - The most popular query reformation strategy
- Process for user relevance feedback
  - A list of retrieved docs is presented
  - User or system exam them (e.g. the top 10 or 20 docs) and marked the relevant ones
  - Important terms are selected from the docs marked as relevant, and the importance of them are enhanced in the new query formulation

relevant docs

query

irrelevant docs

#### User Relevance Feedback

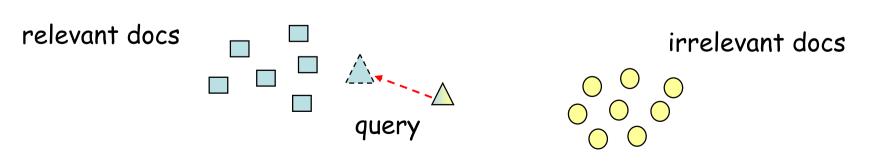
#### Advantages

- Shield users from details of query reformulation
  - User only have to provide a relevance judgment on docs
- Break down the whole searching task into a sequence of small steps
- Provide a controlled process designed to emphasize some terms (relevant ones) and de-emphasize others (non-relevant ones)

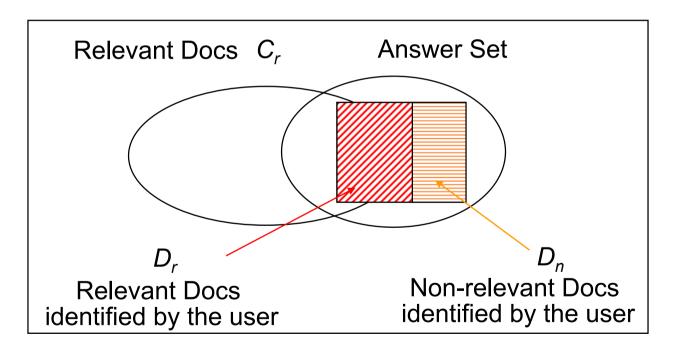
For **automatic relevance feedback**, the whole process is done in an implicit manner

#### Assumptions

- Relevant docs have term-weight vectors that resemble each other
- Non-relevant docs have term-weight vectors which are dissimilar from the ones for the relevant docs
- The reformulated query gets to closer to the termweight vector space of relevant docs



## Terminology



Doc Collection with size *N* 

#### · Optimal Condition

– The complete set of relevant docs  $C_r$  to a given query q is known in advance

$$\vec{q}_{opt} = \frac{1}{|C_r|} \sum_{\forall \vec{d}_i \in C_r} \vec{d}_i - \frac{1}{N - |C_r|} \sum_{\forall \vec{d}_j \notin C_r} \vec{d}_j$$

- Problem: the complete set of relevant docs  $C_r$  are not known a priori
  - Solution: formulate an initial query and incrementally change the initial query vector based on the known relevant/non-relevant docs
    - User or automatic judgments

#### · In Practice

1. Standard\_Rocchio

Rocchio 1965

2. Ide\_Regular

$$\vec{q}_{m} = \alpha \cdot \vec{q} + \beta \cdot \sum_{\forall \vec{d}_{i} \in Dr} \vec{d}_{i} - \gamma \cdot \sum_{\forall \vec{d}_{i} \in Dn} \vec{d}_{j}$$

initial/original query

3. Ide Dec Hi

The highest ranked non-relevant doc

$$\vec{q}_{m} = \alpha \cdot \vec{q} + \beta \cdot \sum_{\vec{l} = D} \vec{d}_{i} - \gamma \cdot \max_{non-relevant} (\vec{d}_{j})$$

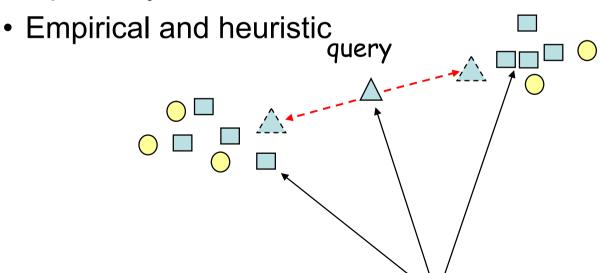
#### Some Observations

- Similar results were achieved for the above three approach (Dec-Hi slightly better in the past)
- Usually, constant  $\beta$  is bigger than  $\gamma$  (why?)

#### • In Practice (cont.)

- More about the constants
  - Rocchio, 1971:  $\alpha$  =1
  - Ide, 1971:  $\alpha = \beta = \gamma = 1$
  - Positive feedback strategy:  $\gamma = 0$

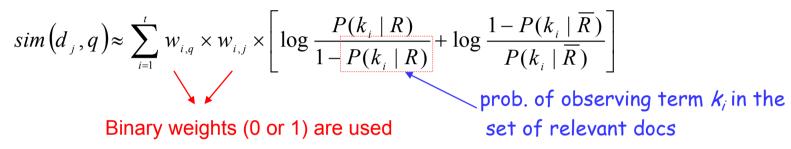
- Advantages
  - Simple, good results
    - Modified term weights are computed directly from the retrieved docs
- Disadvantages
  - No optimality criterion



## Term Reweighting for the Probabilistic Model

Roberston & Sparck Jones 1976

#### Similarity Measure



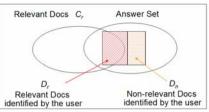
- Initial Search (with some assumptions)
  - $P(k_i | R) = 0.5$  : is constant for all indexing terms

$$P(k_i | \overline{R}) = \frac{n_i}{N} \text{ :approx. by doc freq. of index terms}$$

$$\implies sim \left(d_j, q\right) \approx \sum_{i=1}^t w_{i,q} \times w_{i,j} \times \left[\log \frac{0.5}{1 - 0.5} + \log \frac{1 - \frac{n_i}{N}}{\frac{n_i}{N}}\right]$$

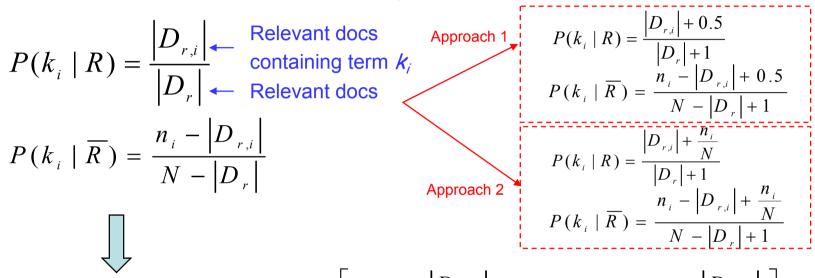
$$= \sum_{i=1}^{t} w_{i,q} \times w_{i,j} \times \log \frac{N - n_i}{n_i}$$

# Term Reweighting for the Probabilistic Model



oc Collection with size N

#### Relevance feedback (term reweighting alone)



$$sim \ \left(d_{j}, q\right) \approx \sum_{i=1}^{t} w_{i,q} \times w_{i,j} \times \left[\log \frac{\frac{\left|D_{r,i}\right|}{\left|D_{r}\right|}}{1 - \frac{\left|D_{r,i}\right|}{\left|D_{r}\right|}} + \log \frac{1 - \frac{n_{i} - \left|D_{r,i}\right|}{N - \left|D_{r,i}\right|}}{\frac{n_{i} - \left|D_{r,i}\right|}{N - \left|D_{r}\right|}}\right]$$

$$= \sum_{i=1}^{t} w_{i,q} \times w_{i,j} \times \log \left[ \frac{|D_{r,i}|}{|D_{r}| - |D_{r,i}|} \cdot \frac{N - |D_{r}| - n_{i} + |D_{r,i}|}{n_{i} - |D_{r,i}|} \right]$$

## Term Reweighting for the Probabilistic Model

#### Advantages

- Feedback process is directly related to the derivation of new weights for query terms
- The term reweighting is optimal under the assumptions of term independence and binary doc indexing

#### Disadvantages

- Document term weights are not taken into considered
- Weights of terms in previous query formulations are disregarded
- No query expansion is used
  - The same set of index terms in the original query is reweighted over and over again

## A Variant of Probabilistic Term Reweighting

Croft 1983

http://ciir.cs.umass.edu/

#### · Differences

- Distinct initial search assumptions
- Within-document frequency weight included
- Initial search (assumptions)

$$sim(d_j,q) \propto \sum_{i=1}^t w_{i,q} w_{i,j} F_{i,j,q}$$

$$F_{i,j,q} = (C + idf_i)\bar{f}_{i,j} \qquad \bar{f}_{i,j} = K + (1 + K)\frac{f_{i,j}}{\max(f_{i,j})}$$

Inversed document frequency ~ To

~ Term frequency

(normalized within document frequency)

C and K are adjusted with respect to the doc collection

## A Variant of Probabilistic Term Reweighting

#### Relevance feedback

$$F_{i,j,q} = (C + \log \frac{P(k_i | R)}{1 - P(k_i | R)} + \log \frac{1 - P(k_i | R)}{P(k_i | \overline{R})}) \overline{f}_{i,j}$$

$$P(k_{i} | R) = \frac{|D_{r,i}| + 0.5}{|D_{r}| + 1}$$

$$P(k_{i} | \overline{R}) = \frac{n_{i} - |D_{r,i}| + 0.5}{N - |D_{r}| + 1}$$

## A Variant of Probabilistic Term Reweighting

#### Advantages

- The within-doc frequencies are considered
- A normalized version of these frequencies is adopted
- Constants C and K are introduced for greater flexibility

#### Disadvantages

- More complex formulation
- No query expansion (just reweighting of index terms)

## Evaluation of relevance feedback Strategies

- Recall-precision figures of user reference feedback is unrealistic
  - Since the user has seen the docs during reference feedback
    - A significant part of the improvement results from the high ranker ranks assigned to the set R of docs

$$\vec{q}_{m} = \alpha \cdot \vec{q} + \frac{\beta}{|D_{r}|} \cdot \sum_{\forall \vec{d}_{i} \in Dr} \vec{d}_{i} - \frac{\gamma}{|D_{n}|} \cdot \sum_{\forall \vec{d}_{j} \in Dn} \vec{d}_{j}$$

$$\vec{p}_{n} = \alpha \cdot \vec{q} + \frac{\beta}{|D_{r}|} \cdot \sum_{\forall \vec{d}_{i} \in Dr} \vec{d}_{i} - \frac{\gamma}{|D_{n}|} \cdot \sum_{\forall \vec{d}_{j} \in Dn} \vec{d}_{j}$$

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 The real gains in retrieval performance should be measured based on the docs not seen by the user yet

## Evaluation of relevance feedback Strategies

- Recall-precision figures relative to the residual collection
  - Residual collection
    - The set of all docs minus the set of feedback docs provided by the user
  - Evaluate the retrieval performance of the modified query  $\overrightarrow{q}_m$  considering only the residual collection
  - The recall-precision figures for  $\overrightarrow{q}_m$  tend to be lower than the figures for the original query  $\overrightarrow{q}$ 
    - It's OK! If we just want to compare the performance of different relevance feedback strategies

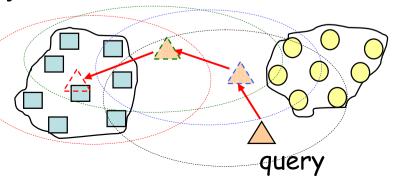
## Automatic Local/Global Analysis

- Recall in user relevance feedback cycles
  - Top ranked docs separated into two classes
    - Relevant docs
    - Non-relevant docs
  - Terms in known relevant docs help describe a larger cluster of relevant docs
    - From a "clustering" perspective

Attar and Fraenkel 1977

 Description of larger cluster of relevant docs is built iteratively with assistance from the user

relevant docs



irrelevant docs

## Automatic Local/Global Analysis

- Alternative approach: automatically obtain the description for a large cluster of relevant docs
  - Identify terms which are related to the query terms
    - Synonyms
    - Stemming variations
    - Terms are close each other in context

```
陳水扁 總統 李登輝 總統府 秘書長 陳師孟 一邊一國…
連戰 宋楚瑜 國民黨 一個中國 …
```

## Automatic Local/Global Analysis

- Two strategies
  - Global analysis
    - All docs in collection are used to determine a global thesaurus-like structure for QE
  - Local analysis
    - Similar to relevance feedback but without user interference
    - Docs retrieved at query time are used to determine terms for QE
    - Local clustering, local context analysis

## QE through Local Clustering

- QE through Clustering
  - Build global structures such as association matrices to quantify term correlations
  - Use the correlated terms for QE
  - But not always effective in general collections

```
陳水扁 總統 呂秀蓮 綠色矽島 勇哥 吳淑珍 ···
陳水扁 視察 阿里山 小火車
```

- QE through Local Clustering
  - Operate solely on the docs retrieved for the query
  - Not suitable for Web search: time consuming
  - Suitable for intranets
    - Especially, as the assistance for search information in specialized doc collections like medical doc collections

## QE through Local Clustering

#### Definition

- Stem
  - V(s): a non-empty subset of words which are grammatical variants of each other
    - E.g. {polish, polishing, polished}
  - A canonical form s of V(s) is called a stem
    - -e.g., s=polish
- For a given query
  - Local doc set D<sub>i</sub>: the set of documents retrieved
  - local vocabulary  $V_l$ : the set of all distinct words (stems) in the local document set
  - $S_{l}$  the set of all distinct stem derived from  $V_{l}$

#### Association clusters

Consider the co-occurrence of stems (terms) inside docs

#### Metric Clusters

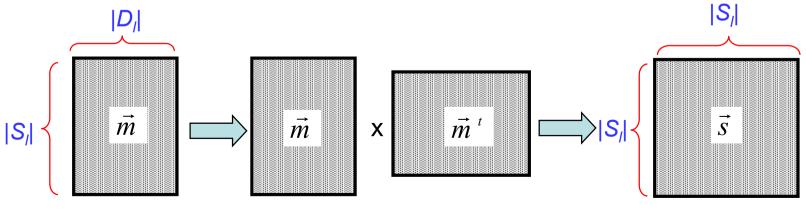
Consider the distance between two terms in a doc

#### Scalar Clusters

- Consider the neighborhoods of two terms
  - Do they have similar neighborhoods?

#### Association clusters

- Based on the co-occurrence of stems (terms) inside docs
  - Assumption: stems co-occurring frequently inside docs have a synonymity association
- An association matrix with  $|S_i|$  rows and  $|D_i|$  columns
  - Each entry  $f_{s_i,j}$  the frequency of a stem  $s_i$  in a doc  $d_j$



stem-doc matrix

stem-stem association matrix

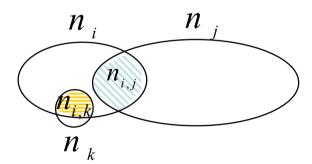
#### Association clusters

 Each entry In the stem-stem association matrix stands for the correlation factor between two stems

$$c_{u,v} = \sum_{d_j \in D_l} f_{s_{u,j}} \times f_{s_{v,j}}$$

- The unnormalized form

$$S_{u,v} = C_{u,v}$$



The normalized form ( ranged from 0 to 1 )

$$S_{u,v} = \frac{C_{u,v}}{C_{u,u} + C_{v,v} - C_{u,v}}$$

Tanimoto coefficient

#### Association clusters

- The u-th row in the association matrix stands all the associations for the stem  $s_{ij}$
- A local association cluster  $S_{\nu}(m)$ 
  - Defined as a set of stems  $s_v$  ( $v \neq u$ ) with their respective values  $s_{u,v}$  being the top m ones in the u-th row of the association matrix
- Given a query, only the association clusters of query terms are calculated
  - The stems (terms) belong to the association clusters are selected and added the query formulation

#### Association clusters

- Other measures for term association
  - Dice coefficient

$$S_{u,v} = \frac{2 \times c_{u,v}}{c_{u,u} + c_{v,v}}$$

Mutual information

$$s_{u,v} = MI(k_u, k_v) = \log \frac{P(k_u, k_v)}{P(k_u)P(k_v)} = \log \frac{\frac{n_{u,v}}{N}}{\frac{n_u}{N} \times \frac{n_v}{N}}$$

#### · Metric Clusters

 Take into consideration the distance between two terms in a doc while computing their correlation factor

$$c_{u,v} = \sum_{k_i \in V(s_u)} \sum_{k_j \in V(s_v)} \frac{1}{r(k_i, k_j)}$$
no. of words between  $k_i$  and  $k_j$  in the same doc  $r(k_i, k_j) = \infty$  if  $k_i$  and  $k_j$  are in distinct docs

- The entry of **local stem-stem metric correlation** matrix  $\vec{s}$  can be expressed as
  - The unnormalized form

$$S_{u,v} = C_{u,v}$$

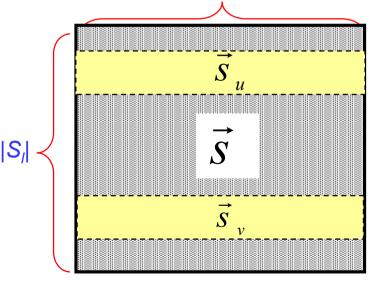
The normalized form

$$S_{u,v} = \frac{C_{u,v}}{|V(S_u)| \times |V(S_v)|}$$

The local association clusters of stems can be similarly defined

#### · Scalar Clusters

- Idea: two stems (terms) with similar neighborhoods have some synonymity relationship
- Derive the synonymity relationship between two stems by comparing the sets  $S_u(m)$  and  $S_v(m)$

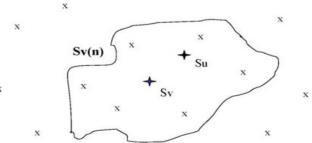


$$S_{u,v} = \frac{\vec{S}_{u} \cdot \vec{S}_{v}}{|\vec{S}_{u}| \times |\vec{S}_{u}|}$$

Derive a new scalar association matrix

## QE through Local Clustering

- Iterative Search Formulation
  - "**neighbor**": a stem  $s_u$  belongs to a cluster associated to another term  $s_v$  is said to be a neighbor of  $s_v$ 
    - Not necessarily synonyms in the grammatrical sense
  - Stems belonging to clusters associated to the query stems (terms) can be used to expand the original query



## QE through Local Clustering

- Iterative Search Formulation
  - Query expansion
    - For each stem  $s_v \in q$ , select m neighbors stems from the cluster  $S_v(m)$  and add them to the query
    - The additional neighbor stems will retrieve new relevant docs
  - The impact of normalized or unnormalized clusters
    - Unnormalized: group stems with high frequency
    - Normalized: group rare stems
    - Union of them provides a better representation of stem (term) correlations

## **Local Context Analysis**

Local Analysis

Calculation of term correlations at query time

- Based on the set of docs retrieved for the original query
- Based on term (stem) correlation inside docs
- Terms are neighbors of each query terms are used to expand the query
- Global Analysis

Pre-calculation of term correlations

- Based on the whole doc collection
- The thesaurus for term relationships are built by considering small contexts (e.g. passages) and phrase structures instead of the context of the whole doc
- Terms closest to the whole query are selected for query expansion

Local context analysis combines features

from both

## **Local Context Analysis**

Xu and Croft 1996

- Operations of local context analysis
  - Document concepts: Noun groups from retrieved docs as the units for QE instead of single keywords
  - Concepts selected from the top ranked passages (instead of docs) based on their co-occurrence with the whole set of query terms (no stemming)

## QE through Local Context Analysis

- The operations can be further described in three steps
  - Retrieve the top n ranked passages using the original query (a doc is segmented into several passages)
  - For each concept c in the top ranked passages, the similarity sim(q,c) between the whole query q and the concept c is computed using a variant of tf-idf ranking
  - The top m ranked concepts are added to the original query q
    - Each concept is assigned a weight 1-0.9x i/m (i: the position in rank)
    - Original query terms are stressed by a weight of 2

# QE through Local Context Analysis

The similarity between a concept and a query

$$sim (q,c) = \prod_{k_i \in q} \left( \delta + \frac{\log (f(c,k_i) \times idf_c)}{\log n} \right)_{infrequent terms}^{idf_i}$$

Set to 0.1 to avoid zero

$$f\left(c\,,\,k_{\,i}\,\right) = \sum_{i\,,\,j}^{n} pf_{\,i\,,\,j} \times pf_{\,c\,,\,j}$$
 the no. of top ranked passages considered

$$idf_c = \max\left(1, \frac{\log_{10} N/np_c}{5}\right)$$
 the no. of passages in the collection

$$idf_i = \max\left(1, \frac{\log_{10} N/np_i}{5}\right)$$
 the no. of passages containing concept c

Qiu and Frei 1993

- Belongs to Global Analysis
- How to construct the similarity thesaurus
  - Term to term relationships rather than term co-occurrences are considered
- How to select term for query expansion
  - Terms for query expansion are selected based on their similarity to the whole query rather the similarities to individual terms

N\_doc

 $\vec{k}_{u} = (w_{u,1}, w_{u,2}, ..., w_{u,N})$   $\vec{k}_{v} = (w_{v,1}, w_{v,2}, ..., w_{v,N})$ 

t terms

Docs are interpreted as indexing elements here

- Doc frequency within the term vector
- •Inverse term frequency

term-doc matrix

#### **Definition**

- $-f_{u,i}$ : the frequency of term  $k_u$  in document  $d_i$
- $-t_i$ : the number of distinct index terms in document  $d_i$
- Inverse term frequency

$$itf_j = log_j \frac{t}{t_j}$$
 (doc containing more distinct terms is less important)

 The weight associated with each entry in the term-doc matrix

$$w_{u,j} = \frac{\left(0.5 + 0.5 \frac{f_{u,j}}{\max_{j} f_{u,j}}\right) \times itf_{j}}{\sqrt{\sum_{l=1}^{N} \left[\left(0.5 + 0.5 \frac{f_{u,l}}{\max_{l} f_{u,l}}\right) \times itf_{l}\right]^{2}}} \text{ Let term vector have a unit norm}$$
the doc  $d_{j}$  to a term  $k_{u}$ 

• The relationship between two terms  $k_u$  and  $k_v$ 

$$c_{u,v} = \vec{k}_u \cdot \vec{k}_v = \sum_{\forall d_j} w_{u,j} \times w_{v,j}$$
 is just a cosine measure ranged from 0 to 1

- The vector representations are normalized
- The computation is computationally expensive
  - There may be several hundred thousands of docs

Concept-based QE

- Steps for QE based on a similarity thesaurus
  - 1. Represent the query in the term-concept space

$$\vec{q} = \sum_{k=0}^{\infty} w_{u,q} \times \vec{k}_{u}$$

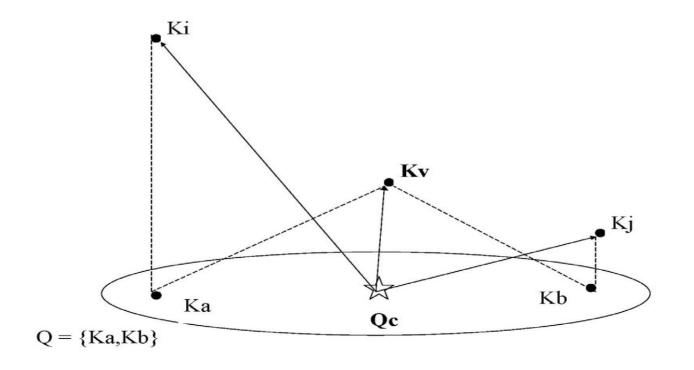
2.Based on the global thesaurus, compute a similarity between the each term  $k_v$  and the whole query q

$$sim(q, k_v) = \left(\sum_{k_u \in q} w_{u,q} \times \vec{k}_u\right) \cdot \vec{k}_v = \sum_{k_u \in q} w_{u,q} \times c_{u,v}$$

- 3. Expand the query with the top r ranked terms according to  $sim(q,k_v)$ 
  - The weight assigned to the expansion term

$$w_{v,q'} = \frac{sim(q, k_v)}{\sum_{k_u \in q} w_{u,q}} = \frac{\sum_{k_u \in q} w_{u,q} \times c_{u,v}}{\sum_{k_u \in q} w_{u,q}}$$

• The term  $k_{\nu}$  selected for query expansion might be quite close to the whole query while its distances to individual query terms are larger



- The similarity between query and doc measured in the term-concept space
  - Doc is first represented in the term-concept space

$$\vec{d}_{j} = \sum_{k_{v} \in d_{j}} w_{v,j} \times \vec{k}_{v}$$

- Similarity measure

$$sim (q, d_j) \propto \sum_{k_v \in d_j} \sum_{k_u \in q} w_{v,j} \times w_{u,q} \times c_{u,v}$$

- Analogous to the formula for query-doc similarity in the generalized vector space model
  - Differences
    - » Weight computation
    - » Only the top *r* ranked terms are used here

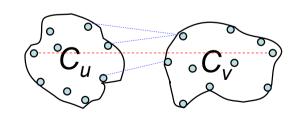
- Belongs to Global Analysis
- Global thesaurus is composed of classes which group correlated terms in the context of the whole collection

- Such correlated terms can then be used to expand the original user query
  - The terms selected must be low frequency terms
    - With high discrimination values

- However, it is difficult to cluster low frequency terms
  - To circumvent this problem, we cluster docs into classes instead and use the low frequency terms in these docs to define our thesaurus classes
  - This algorithm must produce small and tight clusters
    - Depend on the cluster algorithm

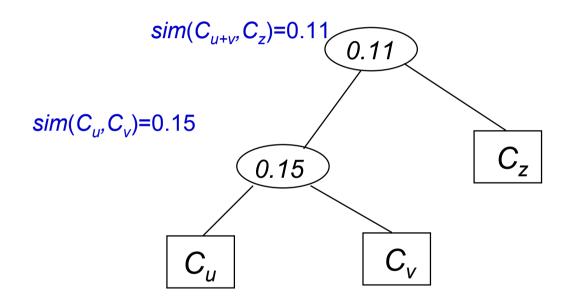
## Complete Link Algorithm

- Place each doc in a distinct cluster
- Compute the similarity between all pairs of clusters
- Determine the pair of clusters  $[C_u, C_v]$  with the highest inter-cluster similarity (using the cosine formula)
- Merge the clusters  $C_u$  and  $C_v$
- Verify a stop criterion. If this criterion is not met then go back to step 2
- Return a hierarchy of clusters
- Similarity between two clusters is defined as
  - The minimum of similarities between all pairs of inter-cluster docs



Cosine formula of the vector model is used

Example: hierarchy of three clusters



- Higher level clusters represent a looser grouping
  - Similarities decrease as moving up in the hierarchy

- Given the doc cluster hierarchy for the whole collection, the terms that compose each class of the global thesaurus are selected as follows
  - Three parameters obtained from the user
    - TC: Threshold class
    - NDC: Number of docs in class
    - MIDF: Minimum inverse doc frequency

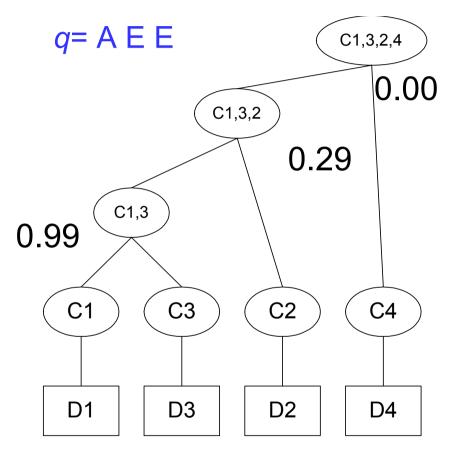
- Use the parameter TC as threshold value for determining the doc clusters that will be used to generate thesaurus classes
  - It has to be surpassed by  $sim(C_u, C_v)$  if the docs in the clusters  $C_u$  and  $C_v$  are to be selected as sources of terms for a thesaurus class
- Use the parameter NDC as a limit on the size of clusters (number of docs) to be considered
  - A low value of NDC might restrict the selection to the smaller clusters

- Consider the set of docs in each doc cluster preselected above
  - Only the lower frequency terms are used as sources of terms for the thesaurus classes
  - The parameter MIDF defines the minimum value of inverse doc frequency for any term which is selected to participate in a thesaurus class
- Given the thesaurus classes have been built, they can be to query expansion

## Example

idf E = 0.60

```
Doc1 = D, D, A, B, C, A, B, C
Doc2 = E, C, E, A, A, D
Doc3 = D. C. B. B. D. A. B. C. A
Doc4 = A
sim(1,3) = 0.99
sim(1,2) = 0.40
                     cosine formula
sim(2,3) = 0.29
                    with tf-idf weighting
sim(4,1) = 0.00
sim(4,2) = 0.00
sim(4,3) = 0.00
idf A = 0.0
idf B = 0.3
idf C = 0.12
idf D = 0.12
```



 $TC = 0.90 \ NDC = 2.00 \ MIDF = 0.2$ 

$$q'=ABEE$$

#### Problems

- Initialization of parameters TC,NDC and MIDF
- TC depends on the collection
- Inspection of the cluster hierarchy is almost always necessary for assisting with the setting of TC
- A high value of TC might yield classes with too few terms
  - While a low value of TC yields too few classes

#### Trends and Research Issues

- Visual display
  - Graphical interfaces (2D or 3D) for relevance feedback
- Utilization of local and global analysis techniques to the Web environments
  - Alleviate the computational burden imposed on the search engine