# Introduction to Information Retrieval

CS276: Information Retrieval and Web Search Christopher Manning and Pandu Nayak

Lecture 14: Distributed Word Representations for Information Retrieval

# How can we more robustly match a user's search intent?

We want to **understand** a query, not just do String equals()

- If user searches for [Dell notebook battery size], we would like to match documents discussing "Dell laptop battery capacity"
- If user searches for [Seattle motel], we would like to match documents containing "Seattle hotel"

A pure keyword-matching IR system does nothing to help.... Simple facilities that we have already discussed do a bit to help

- Spelling correction
- Stemming / case folding

But we'd like to better understand when query/document match

# How can we more robustly match a user's search intent?

#### **Query expansion:**

- Relevance feedback could allow us to capture this if we get near enough to matching documents with these words
- We can also use information on word similarities:
  - A manual thesaurus of synonyms for query expansion
  - A measure of word similarity
    - Calculated from a big document collection
    - Calculated by query log mining (common on the web)

#### **Document expansion:**

 Use of anchor text may solve this by providing human authored synonyms, but not for new or less popular web pages, or non-hyperlinked collections

### Example of manual thesaurus

S NCBI	Pub		National Library of Medicine		
PubMed N	ucleotide P	rotein Genome	Structure	PopSet	Taxonomy
Search PubMed	🗾 for cancer			Go Clear	
	Limits	Preview/Index	History	Clipboard	Details
About Entrez					
Text Version	PubMed Query:				
Entrez PubMed Overview Help   FAQ Tutorial New/Noteworthy E-Utilities	("neoplasms"	[MeSH Terms] OR c	ancer[Text 1	lord])	
PubMed Services Journals Database MeSH Browser Single Citation	Search URL				

### Search log query expansion

- Context-free query expansion ends up problematic
  - [wet ground] ≈ [wet earth]
  - So expand [ground] ⇒ [ground earth]
  - But [ground coffee] ≠ [earth coffee]
- You can learn query context-specific rewritings from search logs by attempting to identify the same user making a second attempt at the same user need
  - [Hinton word vector]
  - [Hinton word embedding]
- In this context, [vector] ≈ [embedding]
  - But not when talking about a *disease vector* or C++!

### Automatic Thesaurus Generation

- Attempt to generate a thesaurus automatically by analyzing a collection of documents
- Fundamental notion: similarity between two words
- Definition 1: Two words are similar if they co-occur with similar words.
- Definition 2: Two words are similar if they occur in a given grammatical relation with the same words.
- You can harvest, peel, eat, prepare, etc. apples and pears, so apples and pears must be similar.
- Co-occurrence based is more robust, grammatical relations are more accurate.

### Simple Co-occurrence Thesaurus

- Simplest way to compute one is based on term-term similarities in C = AA<sup>T</sup> where A is term-document matrix.
- $w_{i,j} = (\text{normalized}) \text{ weight for } (t_i, d_j)$   $d_j \qquad N$  $A \quad t_i$

What does *C* contain if *A* is a term-doc incidence (0/1) matrix?

For each t<sub>i</sub>, pick terms with high values in C

# Automatic thesaurus generation example ... sort of works

Word	Nearest neighbors		
absolutely	absurd, whatsoever, totally, exactly, nothing		
bottomed	dip, copper, drops, topped, slide, trimmed		
captivating	shimmer, stunningly, superbly, plucky, witty		
doghouse	dog, porch, crawling, beside, downstairs		
makeup	repellent, lotion, glossy, sunscreen, skin, gel		
mediating	reconciliation, negotiate, cease, conciliation		
keeping	hoping, bring, wiping, could, some, would		
lithographs	drawings, Picasso, Dali, sculptures, Gauguin		
pathogens	toxins, bacteria, organisms, bacterial, parasites		
senses	grasp, psyche, truly, clumsy, naïve, innate		

**Too little data** (10s of millions of words) treated by **too sparse method**. 100,000 words =  $10^{10}$  entries in *C*.

#### How can we represent term relations?

- With the standard symbolic encoding of terms, each term is a dimension
- Different terms have no inherent similarity
- motel [00000000000000]<sup>T</sup> hotel [000000000000000]=0
- If query on *hotel* and document has *motel*, then our query and document vectors are **orthogonal**

### Can you directly learn term relations?

- Basic IR is scoring on  $q^T d$
- No treatment of synonyms; no machine learning
- Can we learn parameters W to rank via  $q^T W d$ ?
  "search ranking"  $q^T$  W  $(1 \ 0 \ 0 \ 1 \ 0)$ Se in re ra or  $0.3 \ 1 \ 0.7 \ 0.5 \ 0 \ 0)$   $0.3 \ 1 \ 0.7 \ 0 \ 0$   $0.5 \ 0.7 \ 1 \ 0 \ 0$   $0.7 \ 1 \ 0.7 \ 0.5$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$   $0 \ 0 \ 0 \ 0 \ 0$
- Cf. Query translation models: Berger and Lafferty (1999)
- Problem is again sparsity W is huge > 10<sup>10</sup>

### Is there a better way?

- Idea:
  - Can we learn a dense low-dimensional representation of a word in R<sup>d</sup> such that dot products u<sup>T</sup>v express word similarity?
  - We could still if we want to include a "translation" matrix between vocabularies (e.g., cross-language): u<sup>T</sup>Wv
    - But now W is small!
  - Supervised Semantic Indexing (Bai et al. Journal of Information Retrieval 2009) shows successful use of learning W for information retrieval
- But we'll develop direct similarity in this class

# Distributional similarity based representations

- You can get a lot of value by representing a word by means of its neighbors
- "You shall know a word by the company it keeps"

(J. R. Firth 1957: 11)



 One of the most successful ideas of modern statistical NLP

...government debt problems turning into **banking** crises as happened in 2009... ...saying that Europe needs unified **banking** regulation to replace the hodgepodge... ...India has just given its **banking** system a shot in the arm...

▲ These words will represent banking

## Solution: Low dimensional vectors

- The number of topics that people talk about is small (in some sense)
  - Clothes, movies, politics, ...
- Idea: store "most" of the important information in a fixed, small number of dimensions: a dense vector
- Usually 25 1000 dimensions
- How to reduce the dimensionality?
  - Go from big, sparse co-occurrence count vector to low dimensional "word embedding"

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## Traditional Way:

# Latent Semantic Indexing/Analysis

- Use Singular Value Decomposition (SVD) kind of like Principal Components Analysis (PCA) for an arbitrary rectangular matrix – or just random projection to find a lowdimensional basis or orthogonal vectors
- Theory is that similarity is preserved as much as possible
- You can actually gain in IR (slightly) by doing LSA, as "noise" of term variation gets replaced by semantic "concepts"
- Somewhat popular in the 1990s [Deerwester et al. 1990, etc.]
  - But results were always somewhat iffy (... it worked sometimes)
  - Hard to implement efficiently in an IR system (dense vectors!)
- Discussed in *IIR* chapter 18, but not discussed further here
  - Not on the exam (!!!)

## "NEURAL EMBEDDINGS"

# Word meaning is defined in terms of vectors

 We will build a dense vector for each word type, chosen so that it is good at predicting other words appearing in its context

```
... those other words also being represented by vectors ... it all gets a bit recursive
```



#### Neural word embeddings - visualization



# Basic idea of learning neural network word embeddings

- We define a model that aims to predict between a center word w<sub>t</sub> and context words in terms of word vectors
- $p(context | w_t) = ...$
- which has a loss function, e.g.,
- $J = 1 p(w_{-t} | w_t)$
- We look at many positions t in a big language corpus
- We keep adjusting the vector representations of words to minimize this loss

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# Idea: Directly learn low-dimensional word vectors based on ability to predict

- Old idea: Learning representations by back-propagating errors. (Rumelhart et al., 1986)
- A neural probabilistic language model (Bengio et al., 2003)
- NLP (almost) from Scratch (Collobert & Weston, 2008) and slow
- A recent, even simpler and faster model: word2vec (Mikolov et al. 2013) → intro now
- The GloVe model from Stanford (Pennington, Socher, and Manning 2014) connects back to matrix factorization
- Per-token representations: Deep contextual word representations: ELMo, ULMfit, BERT
   Current state of the art

Non-linear

Fast

bilinear

models

# Word2vec is a family of algorithms

[Mikolov et al. 2013]

Predict between every word and its context words!

#### Two algorithms

#### 1. Skip-grams (SG)

Predict context words given target (position independent)

#### 2. Continuous Bag of Words (CBOW)

Predict target word from bag-of-words context

#### Two (moderately efficient) training methods

- 1. Hierarchical softmax
- 2. Negative sampling
- 3. Naïve softmax

## Word2Vec Skip-gram Overview

• Example windows and process for computing  $P(w_{t+j} | w_t)$ 



## Word2vec: objective function

For each position t = 1, ..., T, predict context words within a window of fixed size m, given center word  $w_i$ .



Minimizing objective function  $\Leftrightarrow$  Maximizing predictive accuracy

# Word2vec: objective function

• We want to minimize the objective function:

$$J(\theta) = -\frac{1}{T} \sum_{t=1}^{T} \sum_{\substack{-m \le j \le m \\ j \ne 0}} \log P(w_{t+j} \mid w_t; \theta)$$

- <u>Question</u>: How to calculate  $P(w_{t+j} | w_t; \theta)$ ?
- <u>Answer:</u> We will *use two* vectors per word *w*:
  - $v_w$  when w is a center word
  - $u_w$  when w is a context word
- Then for a center word *c* and a context word *o*:  $P(o|c) = \frac{\exp(u_o^T v_c)}{\sum_{w \in V} \exp(u_w^T v_c)}$

## Word2vec: prediction function



- This is an example of the softmax function  $\mathbb{R}^n \to (0,1)^n$  open softmax $(x_i) = \frac{\exp(x_i)}{\sum_{j=1}^n \exp(x_j)} = p_i$
- The softmax function maps arbitrary values  $x_i$  to a probability distribution  $p_i$ 
  - "max" because amplifies probability of largest x<sub>i</sub>
  - "soft" because still assigns some probability to smaller x<sub>i</sub>
  - Frequently used in neural networks/Deep Learning

### Word2vec: 2 matrices of parameters



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To learn good word vectors: Compute all vector gradients!

- We often define the set of **all** parameters in a model in terms of one long vector  $\theta_{\rm r}$
- In our case with *d*-dimensional vectors and *V* many words:
- We then optimize these parameters



Note: Every word has two vectors! Makes it simpler!

# Intuition of how to minimize loss for a simple function over two parameters

We start at a random point and walk in the steepest direction, which is given by the derivative of the function



Contour lines show points of equal value of objective function Introduction to Information Retrieval

## Descending by using derivatives

We will minimize a cost function by gradient descent

Trivial example: (from Wikipedia) Find a local minimum of the function  $f(x) = x^4 - 3x^3 + 2$ , with derivative  $f'(x) = 4x^3 - 9x^2$ 



```
x_old = 0
x_new = 6 # The algorithm starts at x=6
eps = 0.01 # step size
precision = 0.00001
def f_derivative(x):
    return 4 * x**3 - 9 * x**2
while abs(x_new - x_old) > precision:
    x_old = x_new
    x_new = x_old - eps * f_derivative(x_old)
print("Local minimum occurs at", x_new)
```

Subtracting a fraction of the gradient moves you towards the minimum!

### Vanilla Gradient Descent Code

$$\theta^{new} = \theta^{old} - \alpha \nabla_{\theta} J(\theta)$$

```
while True:
    theta_grad = evaluate_gradient(J,corpus,theta)
    theta = theta - alpha * theta_grad
```

### Stochastic Gradient Descent

- But Corpus may have 40B tokens and windows
- You would wait a very long time before making a single update!
- Very bad idea for pretty much all neural nets!
- Instead: We update parameters after each window t
   → Stochastic gradient descent (SGD)

$$\theta^{new} = \theta^{old} - \alpha \nabla_{\theta} J_t(\theta)$$

```
while True:
    window = sample_window(corpus)
    theta_grad = evaluate_gradient(J,window,theta)
    theta = theta - alpha * theta_grad
```

# Working out how to optimize a neural network is really all the chain rule!

Chain rule! If y = f(u) and u = g(x), i.e. y = f(g(x)), then:  $\frac{dy}{dx} = \frac{dy}{du}\frac{du}{dx} = \frac{df(u)}{du}\frac{dg(x)}{dx}$  $\frac{dy}{dx} = \frac{d}{dx}5(x^3+7)^4$ Simple example:  $y = f(u) = 5u^4$  $u = g(x) = x^3 + 7$  $\frac{du}{dx} = 3x^2$  $\frac{dy}{du} = 20u^3$  $d \gamma$ 

$$\frac{dy}{dx} = 20(x^3 + 7)^3 \cdot 3x^2$$

Objective Function  
Maximize 
$$J'(\theta) = \prod_{t=1}^{T} \prod_{\substack{v \in I \\ v \neq v}} p(w'_{t+j} | w_{t}; \theta)$$
  
 $\int_{i \neq 0}^{m_{t+j}} \int_{i \neq 0$ 

•

$$\frac{\partial}{\partial v_{c}} \log \frac{\exp (u_{o}^{T}v_{c})}{\frac{v}{2}} \exp (u_{w}v_{c})$$

$$= \frac{\partial}{\partial v_{c}} \log \exp (u_{o}^{T}v_{c}) - \frac{\partial}{\partial v_{c}} \log \frac{v}{we1} \exp (u_{w}^{T}v_{c})$$

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$$(1) \quad \frac{\partial}{\partial v_{c}} \log \exp (u_{o}^{T}v_{c}) = \frac{\partial}{\partial v_{c}} u_{o}^{T}v_{c} = u_{o}$$

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$$\frac{\partial}{\partial v_{c}} \log (p(o|c)) = u_{o} - \frac{1}{\sum_{w=1}^{V} e^{x} p(u_{w}^{T} v_{c})} \cdot \left(\sum_{x=1}^{V} e^{x} p(u_{x}^{T} v_{c}) u_{x}\right)$$

$$= u_{o} - \sum_{x=1}^{V} \frac{e^{x} p(u_{x}^{T} v_{c})}{\sum_{w=1}^{V} e^{x} p(u_{w}^{T} v_{c})} u_{x} \qquad \text{distribute} \\ \frac{1}{2} e^{x} e^{x} p(u_{w}^{T} v_{c})}{\sum_{w=1}^{V} e^{x} p(u_{w}^{T} v_{c})} u_{x} \qquad \text{deross sum}$$

$$= u_{o} - \sum_{x=1}^{V} p(x|c) u_{x} \qquad \text{this an expectation:} \\ \frac{1}{2} e^{x} e^{x$$

#### Introduction to Information Retrieval


## Linear Relationships in word2vec

These representations are *very good* at encoding similarity and dimensions of similarity!

 Analogies testing dimensions of similarity can be solved quite well just by doing vector subtraction in the embedding space

Syntactically

- $x_{apple} x_{apples} \approx x_{car} x_{cars} \approx x_{family} x_{families}$
- Similarly for verb and adjective morphological forms
   Semantically (Semeval 2012 task 2)
- $X_{shirt} X_{clothing} \approx X_{chair} X_{furniture}$

• 
$$x_{king} - x_{man} \approx x_{queen} - x_{woman}$$

#### Word Analogies

Test for linear relationships, examined by Mikolov et al.



#### **GloVe Visualizations**



http://nlp.stanford.edu/projects/glove/

#### **Glove Visualizations: Company - CEO**



40

#### **Glove Visualizations: Superlatives**



## **Application to Information Retrieval**

Application is just beginning – we're "at the end of the early years"

- Google's RankBrain little is publicly known
  - Bloomberg article by Jack Clark (Oct 26, 2015): <u>http://www.bloomberg.com/news/articles/2015-10-26/google-turning-its-lucrative-web-search-over-to-ai-machines</u>
  - A result reranking system. "3<sup>rd</sup> most valuable ranking signal"
  - But note: more of the potential value is in the tail?
- New SIGIR Neu-IR workshop series (2016 on)



#### An application to information retrieval

Nalisnick, Mitra, Craswell & Caruana. 2016. Improving Document Ranking with Dual Word Embeddings. *WWW 2016 Companion*. <u>http://research.microsoft.com/pubs/260867/pp1291-Nalisnick.pdf</u> Mitra, Nalisnick, Craswell & Caruana. 2016. A Dual Embedding Space Model for Document Ranking. <u>arXiv:1602.01137</u> [cs.IR]

Builds on BM25 model idea of "aboutness"

- Not just term repetition indicating aboutness
- Relationship between query terms and *all* terms in the document indicates aboutness (BM25 uses only query terms)

Makes clever argument for different use of word and context vectors in word2vec's CBOW/SGNS or GloVe

## Modeling document aboutness: Results from a search for Albuquerque

Allen suggested that they could program a BASIC interpreter for the device; after a call from Gates claiming to have a working interpreter, MITS requested a demonstration. Since they didn't actually have one, Allen worked on a simulator for the Altair while Gates developed the interpreter. Although they developed the interpreter on a simulator and not the actual device, the interpreter worked flawlessly when they demonstrated the interpreter to MITS in Albuquerque, New Mexico in March 1975; MITS agreed to distribute it, marketing it as Altair BASIC.



Albuquerque is the most populous city in the U.S. state of New Mexico. The high-altitude city serves as the county seat of Bernalillo County, and it is situated in the central part of the state, straddling the Rio Grande. The city population is 557,169 as of the July 1, 2014, population estimate from the United States Census Bureau, and ranks as the 32nd-largest city in the U.S. The Metropolitan Statistical Area (or MSA) has a population of 902,797 according to the United States Census Bureau's most recently available estimate for July 1, 2013.

## Using 2 word embeddings

#### word2vec model with 1 word of context



## Using 2 word embeddings

yale		seahawks		
IN-IN	IN-OUT	IN-IN	IN-OUT	
yale	yale	seahawks	seahawks	
harvard	faculty	49ers	highlights	
nyu	alumni	broncos	jerseys	
cornell	orientation	packers	tshirts	
tulane	haven	nfl	seattle	
tufts	graduate	steelers	hats	

## Dual Embedding Space Model (DESM)

- Simple model
- A document is represented by the centroid of its word vectors  $\overline{\mathbf{D}} = \frac{1}{|D|} \sum_{\mathbf{d}:\in D} \frac{\mathbf{d}_j}{\|\mathbf{d}_j\|}$
- Query-document similarity is average over query words of cosine similarity

$$DESM(Q, D) = \frac{1}{|Q|} \sum_{q_i \in Q} \frac{\mathbf{q}_i^T \overline{\mathbf{D}}}{\|\mathbf{q}_i\| \|\overline{\mathbf{D}}\|}$$

## Dual Embedding Space Model (DESM)

 What works best is to use the OUT vectors for the document and the IN vectors for the query

$$DESM_{IN-OUT}(Q,D) = \frac{1}{|Q|} \sum_{q_i \in Q} \frac{q_{IN,i}^T \overline{D_{OUT}}}{\|q_{IN,i}\|} \|\overline{D_{OUT}}\|$$

 This way similarity measures *aboutness* – words that appear with this word – which is more useful in this context than *(distributional) semantic similarity*

#### Experiments

- Train word2vec from either
  - 600 million Bing queries
  - 342 million web document sentences
- Test on 7,741 randomly sampled Bing queries
  - 5 level eval (Perfect, Excellent, Good, Fair, Bad)
- Two approaches
  - 1. Use DESM model to rerank top results from BM25
  - 2. Use DESM alone or a mixture model of it and BM25

 $MM(Q,D) = \alpha DESM(Q,D) + (1-\alpha)BM25(Q,D)$  $\alpha \in \mathbb{R}, 0 \le \alpha \le 1$ 

#### Results – reranking k-best list

	Expl	Explicitly Judged Test Set		
	NDCG@1	NDCG@3	NDCG@10	
BM25	23.69	29.14	44.77	
LSA	22.41*	28.25*	44.24*	
DESM (IN-IN, trained on body text)	23.59	29.59	45.51*	
DESM (IN-IN, trained on queries)	23.75	29.72	46.36*	
DESM (IN-OUT, trained on body text)	24.06	30.32*	46.57*	
DESM (IN-OUT, trained on queries)	25.02*	31.14*	47.89*	

Pretty decent gains – e.g., 2% for NDCG@3 Gains are bigger for model trained on queries than docs

#### Results – whole ranking system

	Explicitly Judged Test Set		
	NDCG@1	NDCG@3	NDCG@10
BM25	21.44	26.09	37.53
LSA	04.61*	04.63*	04.83*
DESM (IN-IN, trained on body text)	06.69*	06.80*	07.39*
DESM (IN-IN, trained on queries)	05.56*	05.59*	06.03*
DESM (IN-OUT, trained on body text)	01.01*	01.16*	01.58*
DESM (IN-OUT, trained on queries)	00.62*	00.58*	00.81*
BM25 + DESM (IN-IN, trained on body text)	21.53	26.16	37.48
BM25 + DESM (IN-IN, trained on queries)	21.58	26.20	37.62
BM25 + DESM (IN-OUT, trained on body text)	21.47	26.18	37.55
BM25 + DESM (IN-OUT, trained on queries)	21.54	26.42*	37.86*

#### A possible explanation



IN-OUT has some ability to prefer Relevant to close-by (judged) non-relevant, but it's scores induce too much noise vs. BM25 to be usable alone

#### **DESM** conclusions

- DESM is a weak ranker but effective at finding subtler similarities/aboutness
- It is effective at, but only at, reranking at least somewhat relevant documents
  - For example, DESM can confuse Oxford and Cambridge
  - Bing rarely makes an Oxford/Cambridge mistake!

#### What else can neural nets do in IR?

- Use a neural network as a supervised reranker
- Assume a query and document embedding network (as we have discussed)
- Assume you have (q,d,rel) relevance data
- Learn a neural network (with supervised learning) to predict relevance of (q,d) pair
- An example of "machine-learned relevance", which we'll talk about more next lecture



## What else can neural nets do in IR?

- BERT: Devlin, Chang, Lee, Toutanova (2018)
- A deep transformer-based neural network
- Builds per-token (in context) representations
- Produces a query/document representation as well
- Or jointly embed query and document and ask for a retrieval score
- Incredibly effective!
- <u>https://arxiv.org/abs/1810.04805</u>





# Summary: Embed all the things!



Word embeddings are the hot new technology (again!)

Lots of applications wherever knowing word context or similarity helps prediction:

- Synonym handling in search
- Document aboutness
- Ad serving
- Language models: from spelling correction to email response
- Machine translation
- Sentiment analysis