

# Information Retrieval

Oct 1, 2024 @ Introduction to Human Language Technology

Eugene Yang [eugene.yang@jhu.edu](mailto:eugene.yang@jhu.edu)

Slides borrowed from SIGIR24 Tutorial  
“Neural Methods for Cross-Language Information Retrieval”

# What is Information Retrieval?

**(relevant)**

**Retrieve information from a storage  
based on user's information need**

Don't we have Google?

Yes, **but Google is not all.**

What if I'm looking for the person?

Why in a list?

Google search results for "Johns Hopkins". The search bar shows "Johns Hopkins" with a microphone icon and a search icon. Below the search bar are tabs for "All", "Images", "News", "Maps", "Shopping", "Videos", "Web", and "More".

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**Center for a Livable Future**  
 The **Johns Hopkins** Center for a Livable Future—working toward a healthy, equitable, resilient food system.
- GitHub**  
<https://github.com> › CSSEGISandData › COVID-19  
**CSSEGISandData/COVID-19: Novel Coronavirus ...**  
 Attribute the data as the "COVID-19 Data Repository by the Center for Systems Science and Engineering (CSSE) at **Johns Hopkins** University" or "JHU CSSE COVID-19 ...

Why not group the results?

Why not read my mind?

Why asking me to read?

# Google Search is just one implementation

Google trained us well!

- Even faster?
- Smarter?
- Cross language?

# Hard Matching Problem

- Text to text
  - Search in notes
  - Cross language search
  - Cross domain search
- Text to other modalities
  - Image search
  - Video search

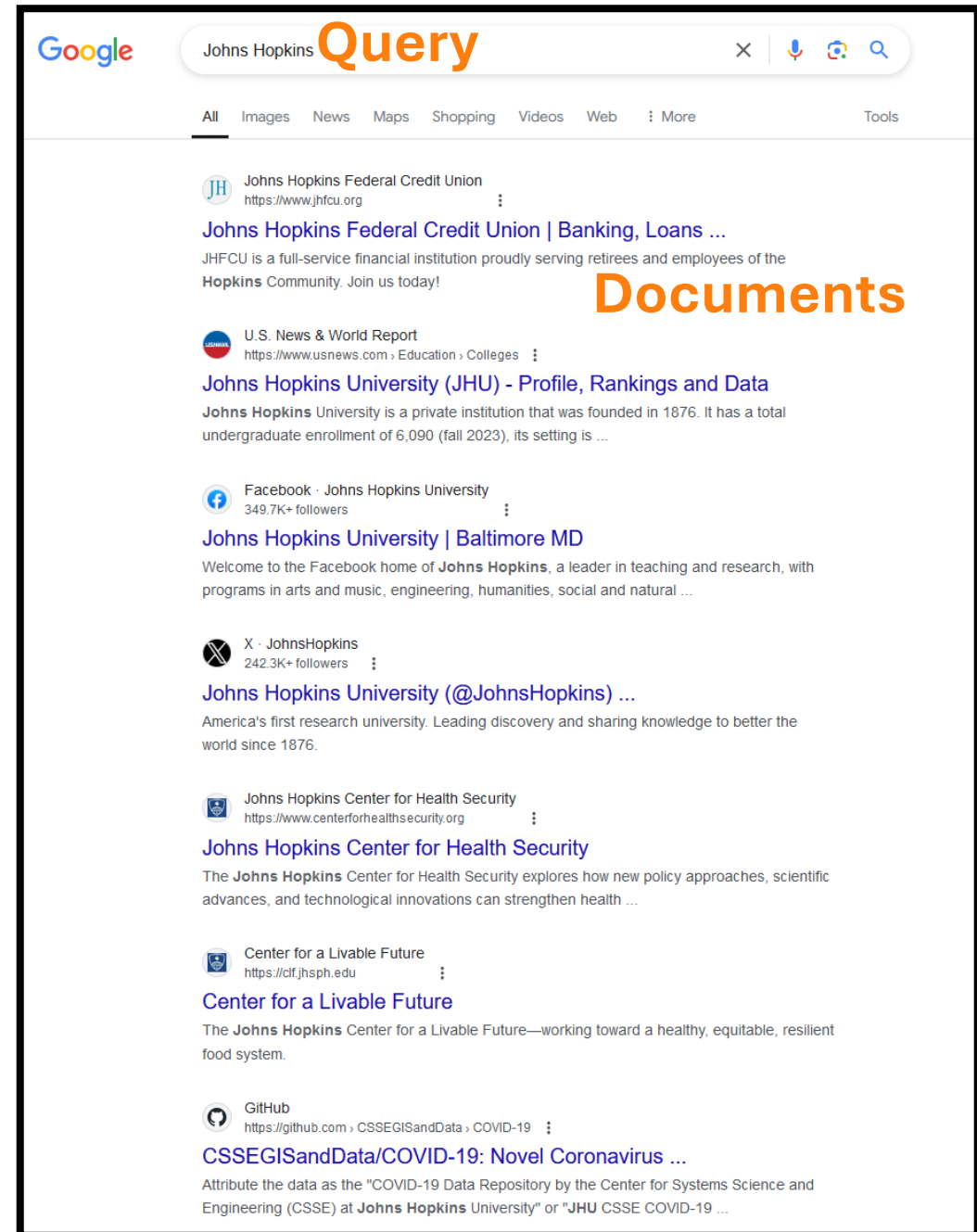
# Different Search Process

- Iterative search
  - e.g., electronic discovery and systematic review
- Conversational search
  - Alexa search
- Recommendation systems
  - Implicit queries
- (Set Retrieval)

# Core Problem

- Rank relevant document at top
- Do it fast

## Ranked List



The screenshot shows a Google search for "Johns Hopkins Query". The search bar contains the text "Johns Hopkins Query" and the Google logo. Below the search bar, there are navigation tabs for "All", "Images", "News", "Maps", "Shopping", "Videos", "Web", and "More". The search results are displayed as a ranked list of documents, each with a logo, a title, and a brief description. The word "Documents" is written in large orange text on the right side of the page.

Google **Query** × | 🔊 🌐 🔍

All Images News Maps Shopping Videos Web : More Tools

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**Documents**

**U.S. News & World Report**  
https://www.usnews.com › Education › Colleges

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Johns Hopkins University is a private institution that was founded in 1876. It has a total undergraduate enrollment of 6,090 (fall 2023), its setting is ...

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The Johns Hopkins Center for Health Security explores how new policy approaches, scientific advances, and technological innovations can strengthen health ...

**Center for a Livable Future**  
https://clf.jhsph.edu

**Center for a Livable Future**  
The Johns Hopkins Center for a Livable Future—working toward a healthy, equitable, resilient food system.

**GitHub**  
https://github.com › CSSEGISandData › COVID-19

**CSSEGISandData/COVID-19: Novel Coronavirus ...**  
Attribute the data as the "COVID-19 Data Repository by the Center for Systems Science and Engineering (CSSE) at Johns Hopkins University" or "JHU CSSE COVID-19 ...



# Design Space

## **Effectiveness**

- Definition of relevancy
- How to model relevancy

## **Efficiency**

- How fast
- Fast at what stage

# Agenda

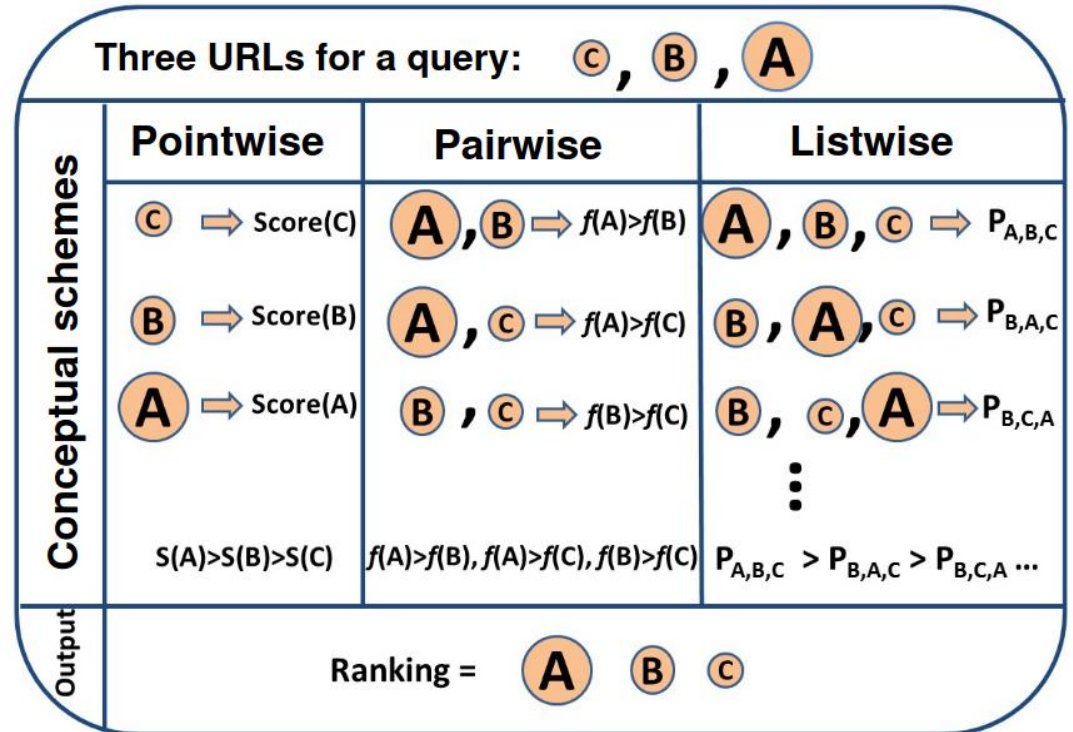
- What is information retrieval?
- Retrieval Modeling and Pipeline
  - Statistical and Neural
- Evaluation
- State of IR Research and active research problems

# Retrieval Modeling and Pipeline

Modeling relevancy and do it fast

# Three main modeling strategies

- Pointwise
- Pairwise
- Listwise
- And combinations of them



<https://medium.com/vptech/learning-to-rank-at-veepee-ed420fd828e5>

# Statistical Models

$$\text{score}(D, Q) = \sum_{\text{For each query term}} \boxed{\text{How important the term is}} \times \boxed{\text{How often the term appear in the D}}$$

$$\text{score}(D, Q) = \sum_{\text{For each query term}} \boxed{\text{Inverted document frequency}} \times \boxed{\text{Term frequency}}$$

## TF-IDF

$$\text{score}(D, Q) = \sum_{i=1}^n \log \frac{N}{n_t} \times \log(f(q_i, D) + 1)$$

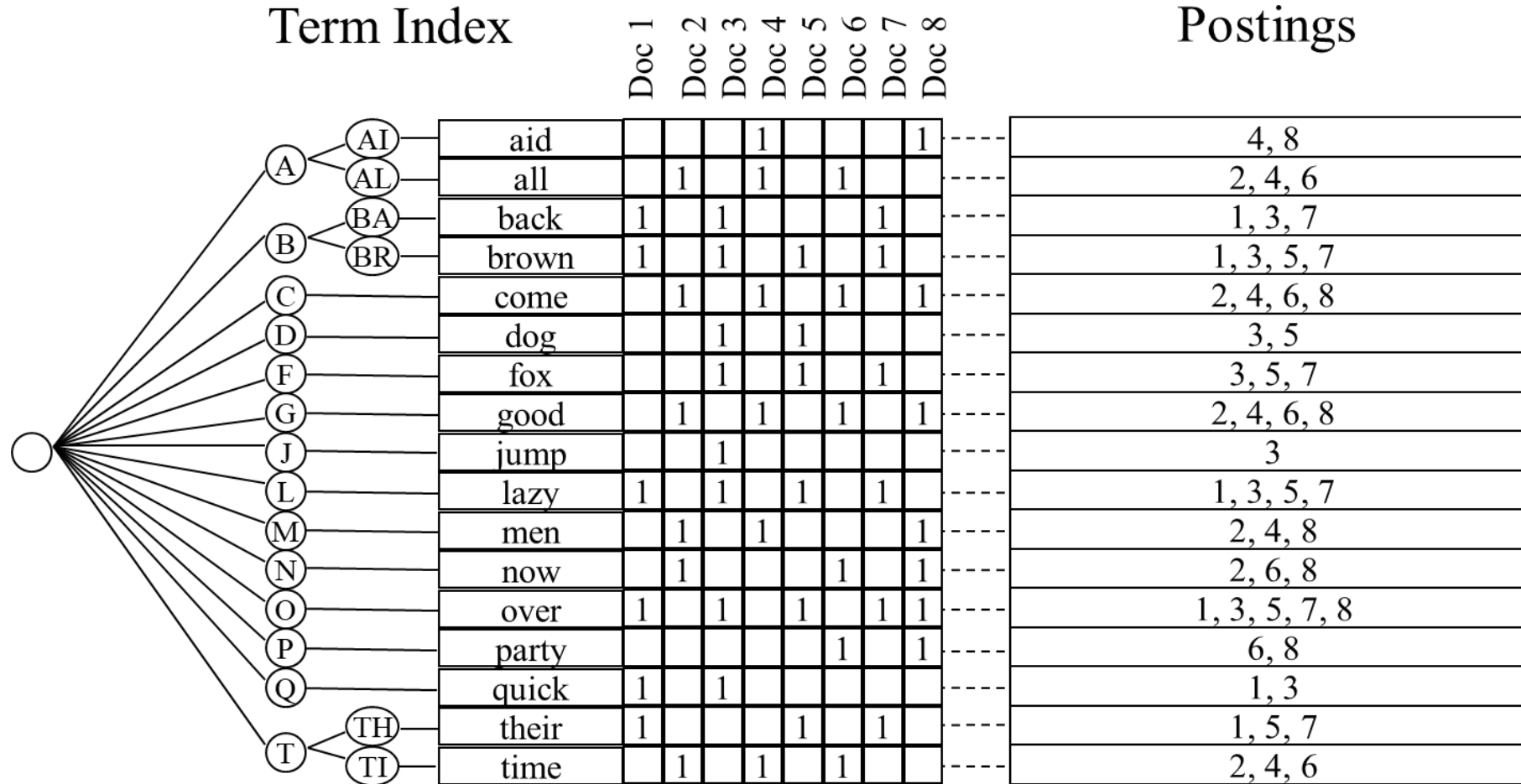
## BM25

$$\text{score}(D, Q) = \sum_{i=1}^n \text{IDF}(q_i) \cdot \frac{f(q_i, D) \cdot (k_1 + 1)}{f(q_i, D) + k_1 \cdot \left(1 - b + b \cdot \frac{|D|}{\text{avgdl}}\right)}$$

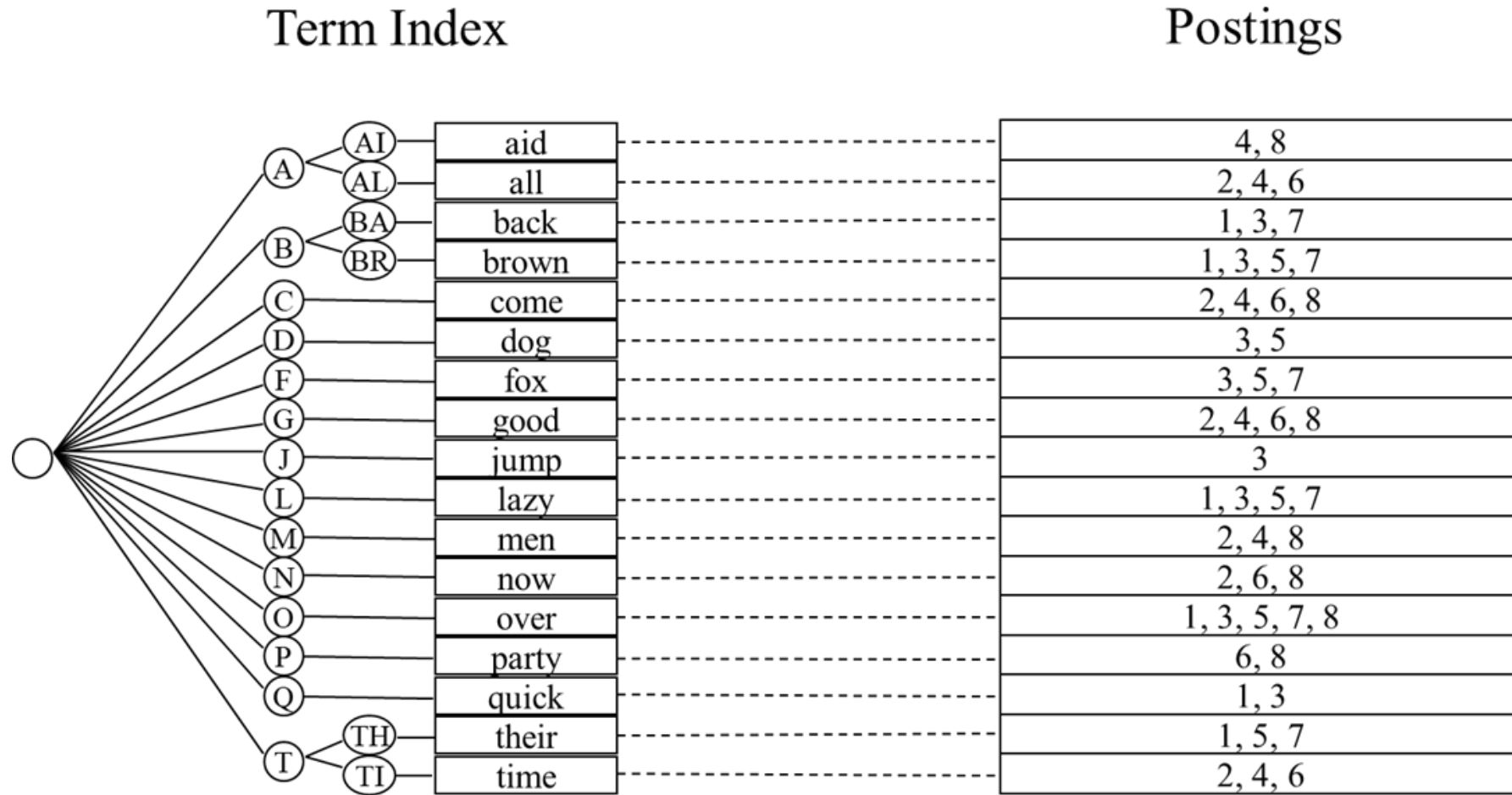
# How to make it fast?

- “Fast” in responding to queries
- Better data structure
- Preprocess the data

# Inverted Index

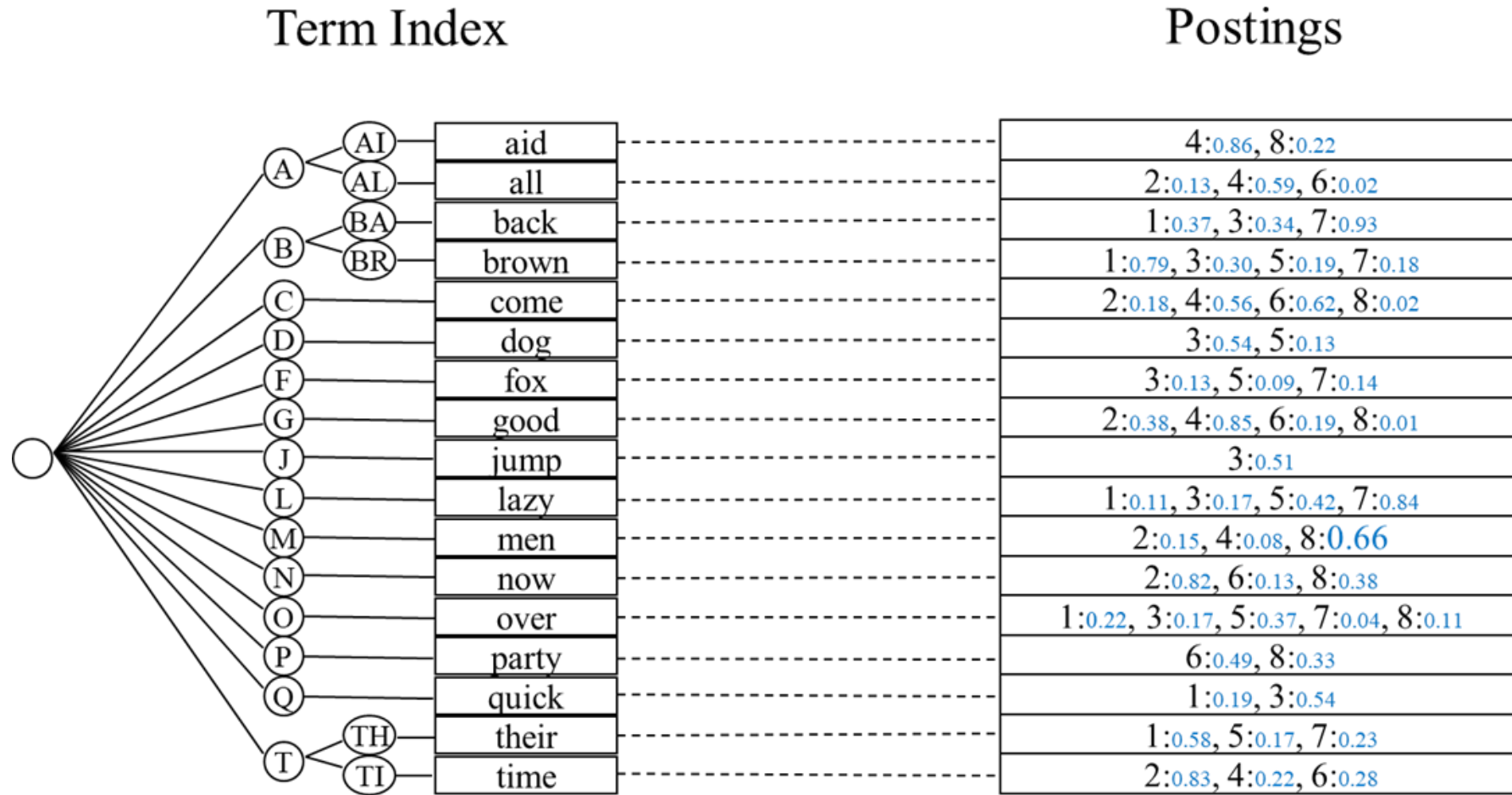


# Inverted Index





# Inverted Index



# Two-Stage System

- Offline preprocessing and indexing
  - Define retrieval unit
  - Tokenization
  - Build the inverted index
- Online query serving
  - Traverse the inverted index and score it



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Apache Lucene is distributed under a commercially friendly Apache Software license

## Welcome to Apache Lucene

The Apache Lucene™ project develops open-source search software. The project releases a core search library, named Lucene™ core, as well as PyLucene, a python binding for Lucene.

Lucene Core is a Java library providing powerful indexing and search features, as well as spellchecking, hit highlighting and advanced analysis/tokenization capabilities. The PyLucene sub project provides Python bindings for Lucene Core.

### Latest Lucene Core News

- Apache Lucene™ 8.11.4 available (24.Sep)
- Apache Lucene™ 9.11.1 available (27.Jun)
- Apache Lucene™ 9.11.0 available (06.Jun)

### Projects

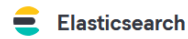
- Lucene Core (Java)
- PyLucene
- Open Relevance (Discontinued)

### About

- License
- Who We are
- TLP News
- Code of Conduct



**ANNOUNCEMENT:** The Solr™ sub project has moved to a separate Top Level Project (TLP). All things Solr can now be found at <https://solr.apache.org/>. Mailing lists and git repositories have changed, please see details on the Solr website.



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Commit	Message	Time
smalyshev	Improve DateTime error handling and add some bad date tests...	5e06092 · 4 hours ago · 79,984 Commits
	.buildkite	Run snyk dependency checks on 8.x (#113117) last week
	.ci	Workaround packaging tests failures on debian10 (#113... 9 hours ago
	.github	Remove Analytical engine CODEOWNERS (#113178) 2 days ago
	.idea	Don't apply IntelliJ illegal module dependency inspection ... 10 months ago
	benchmarks	ESQL: Speed up CASE for some parameters (#112295) yesterday
	build-conventions	Add AGPLv3 as a supported license 2 weeks ago
	build-tools-internal	Always use CLDR locale on ES v9 (#113184) 3 days ago
	build-tools	Add AGPLv3 as a supported license 2 weeks ago
	client	Add AGPLv3 as a supported license 2 weeks ago
	dev-tools	Add AGPLv3 as a supported license 2 weeks ago
	distribution	Always use CLDR locale on ES v9 (#113184) 3 days ago
	docs-mdx/painless	[DOCS] Adds an MDX file for testing purposes. (#106165) 6 months ago
	docs	Improve DateTime error handling and add some bad dat... 4 hours ago
	gradle	Update Gradle wrapper to 8.10.1 (#112948) last week
	libs	Small performance improvement in h3 library (#113385) 2 days ago

**About**

Free and Open Source, Distributed, RESTful Search Engine

[www.elastic.co/products/elasticsearch](http://www.elastic.co/products/elasticsearch)

java search-engine elasticsearch

Readme View license Security policy Activity Custom properties 69.7k stars 2.7k watching 24.7k forks Report repository

**Releases** 155

Elasticsearch 8.15.1 (Latest) 3 weeks ago

+ 154 releases

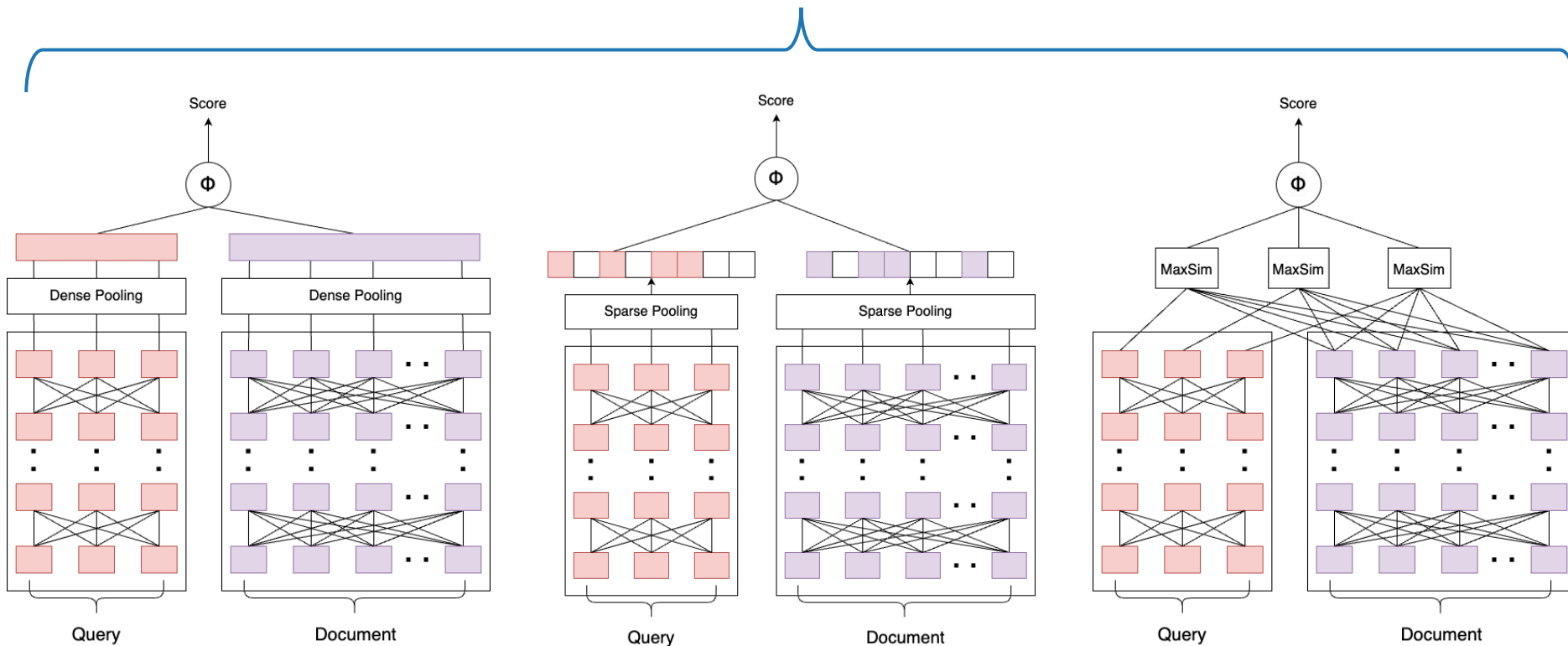
**Packages**

No packages published

Can we go beyond surface forms?

neural language models

## Bi-Encoder

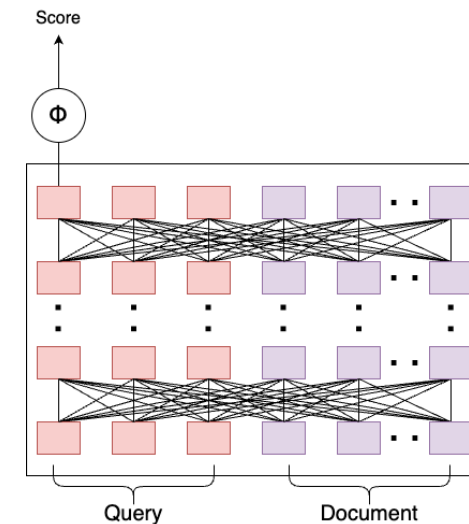


One Dense Vector  
Per Sequence  
e.g., DPR

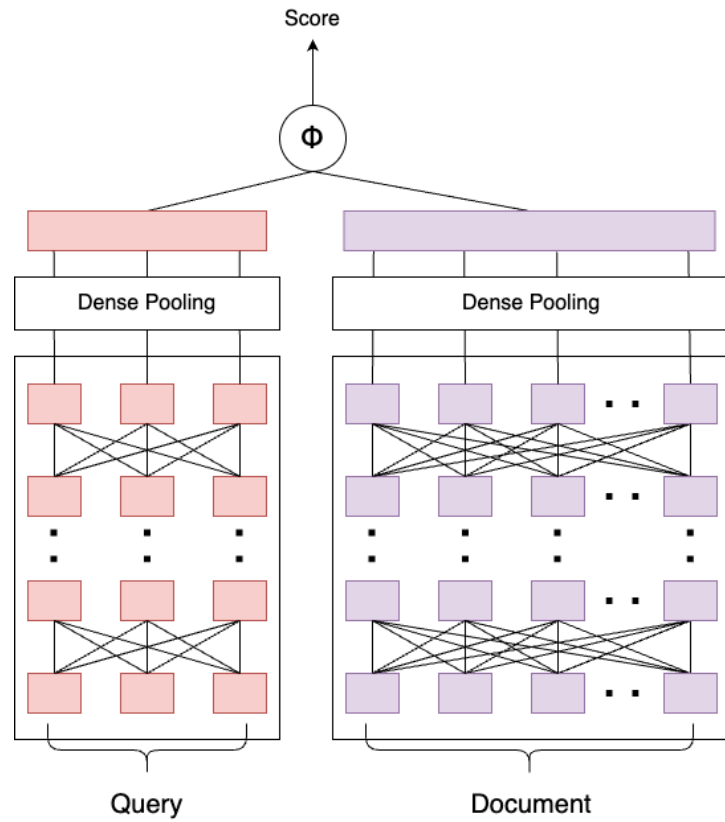
One **Sparse** Vector  
Per Sequence  
e.g., SPLADE

Multiple Dense Vectors  
Per Sequence  
e.g., ColBERT

## Cross Encoder

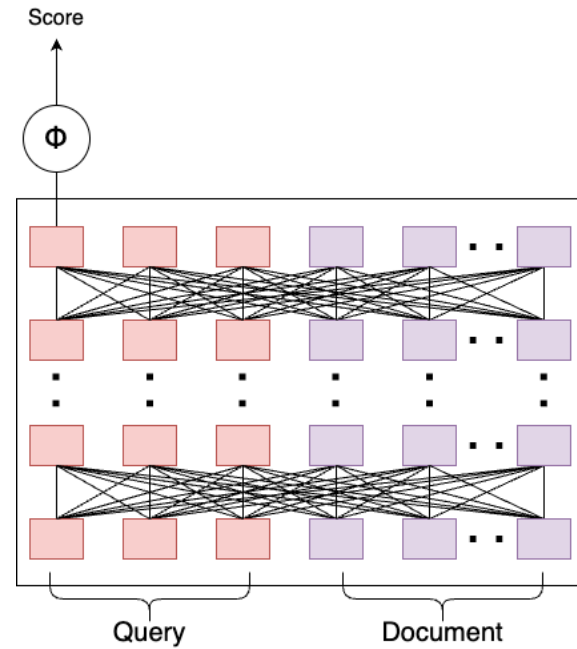


Joint Encoder  
e.g., monoBERT



Online

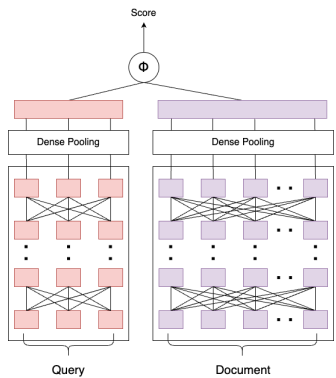
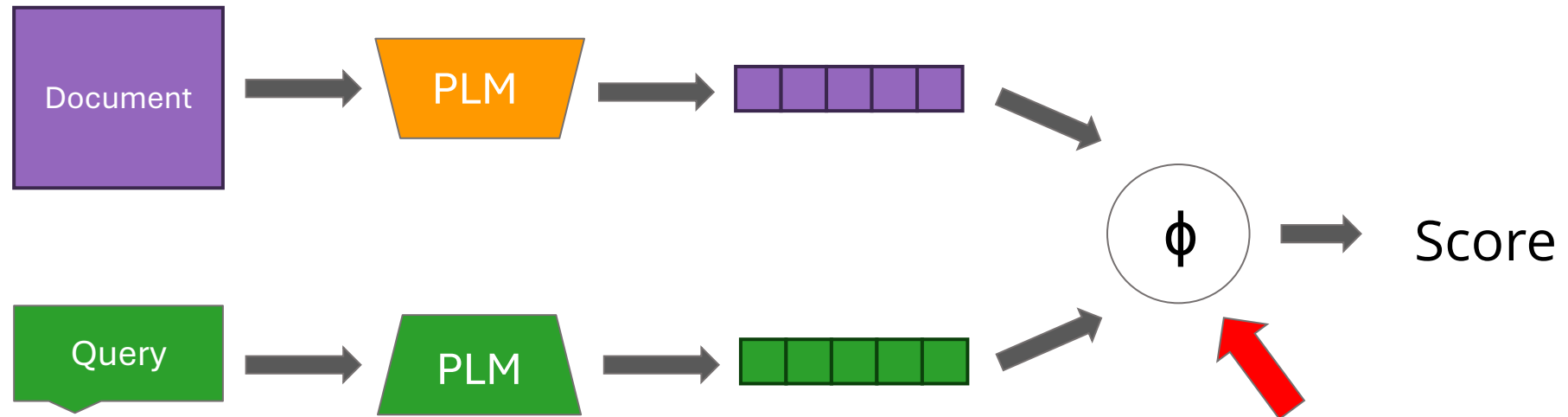
Offline



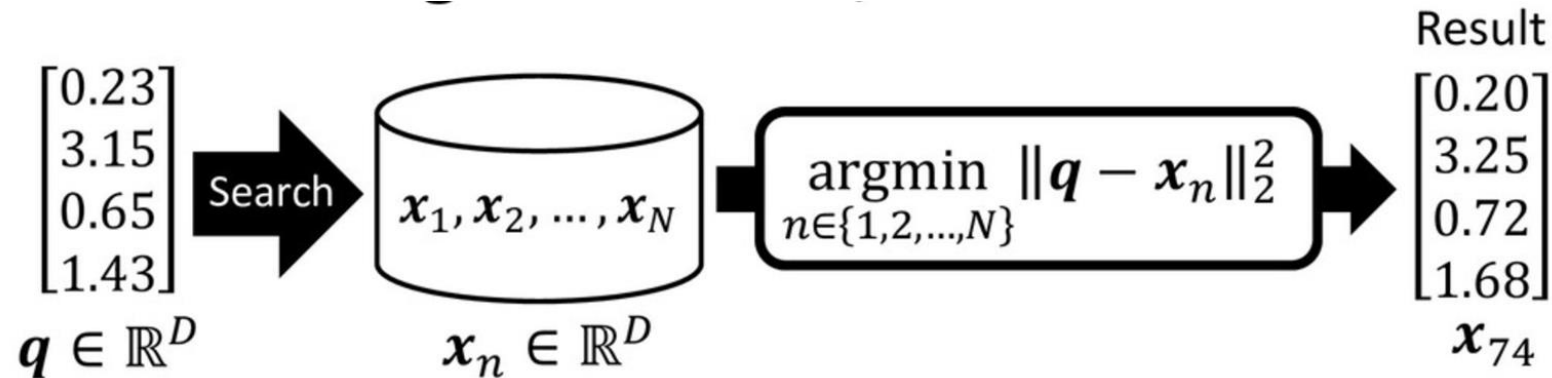
Both Online

**Separate query and document processing**

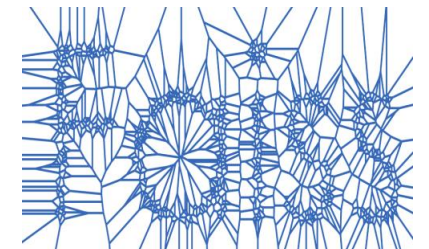
# One Vector per Query, One Vector per Document



# Nearest Vectors aka Neighbors

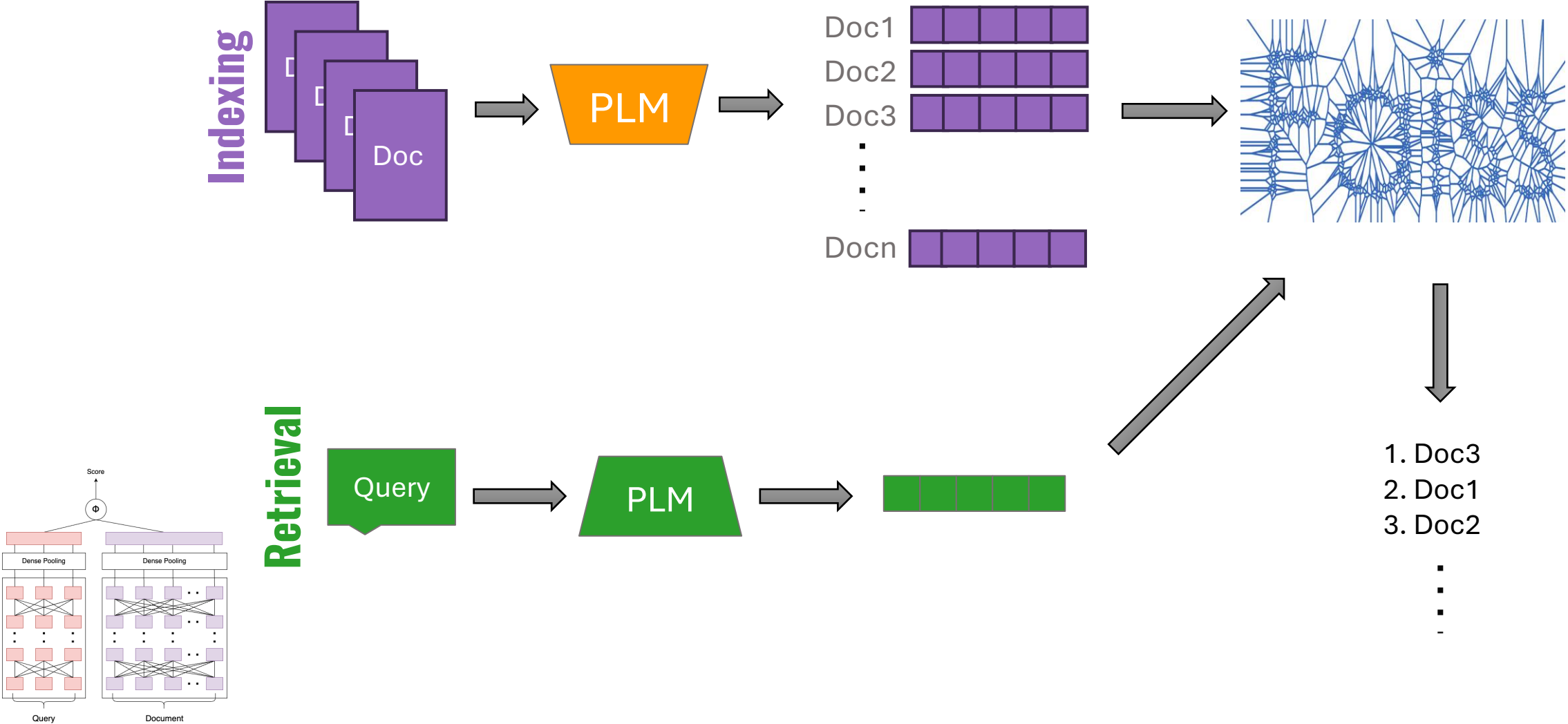


- Linear Search
  - Slow (scales linearly in size of document collection)
- Approximate Methods (e.g., Product Quantization) → **ANN**
  - Faster Search
- Runtime Efficiency vs Effectiveness

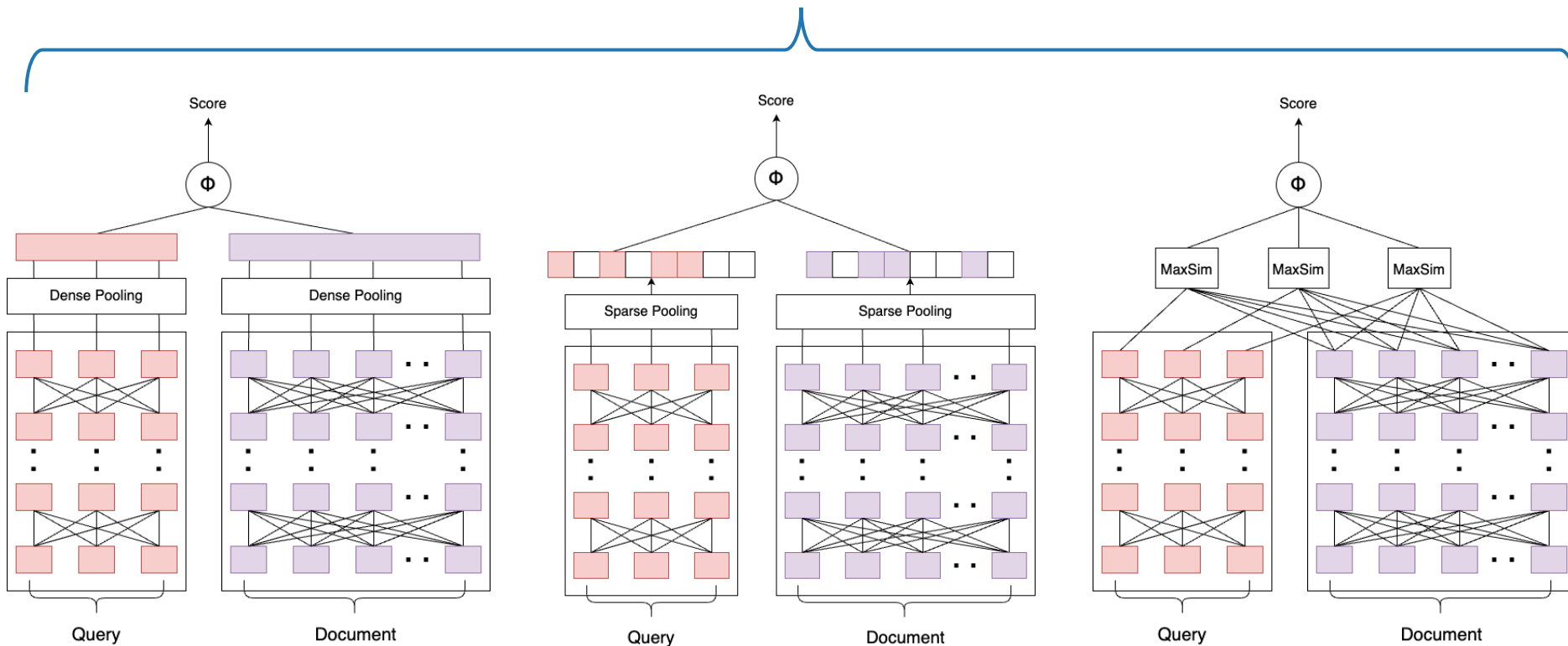




# DPR Indexing and Retrieval



## Bi-Encoder

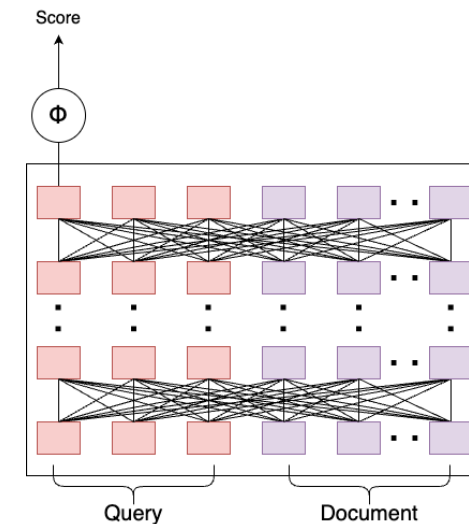


One Dense Vector  
Per Sequence  
e.g., DPR

One **Sparse** Vector  
Per Sequence  
e.g., SPLADE

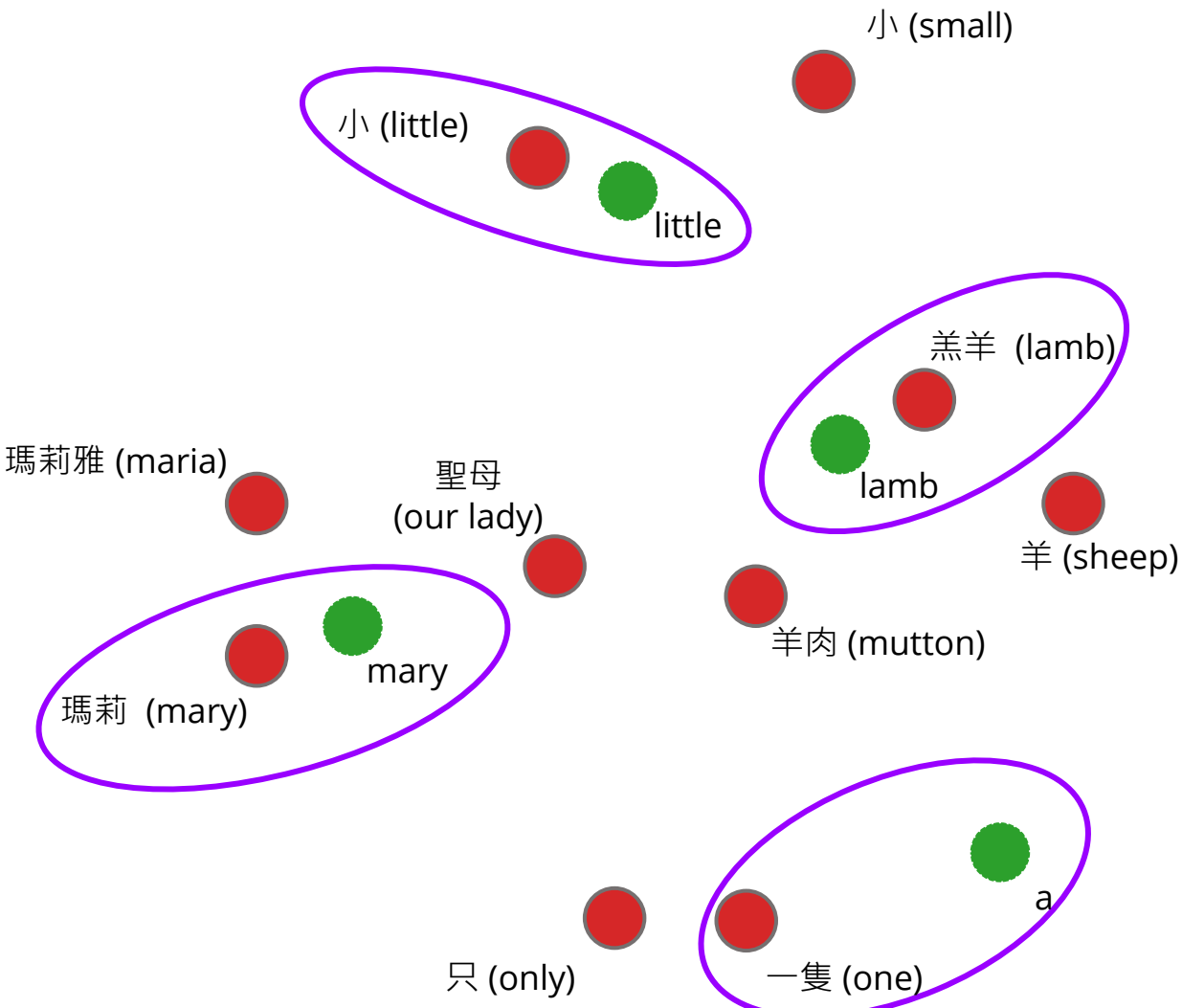
Multiple Dense Vectors  
Per Sequence  
e.g., ColBERT

## Cross Encoder

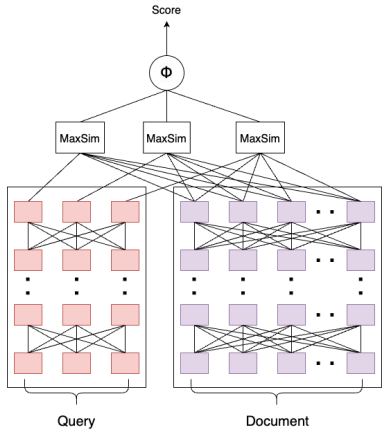


Joint Encoder  
e.g., monoBERT

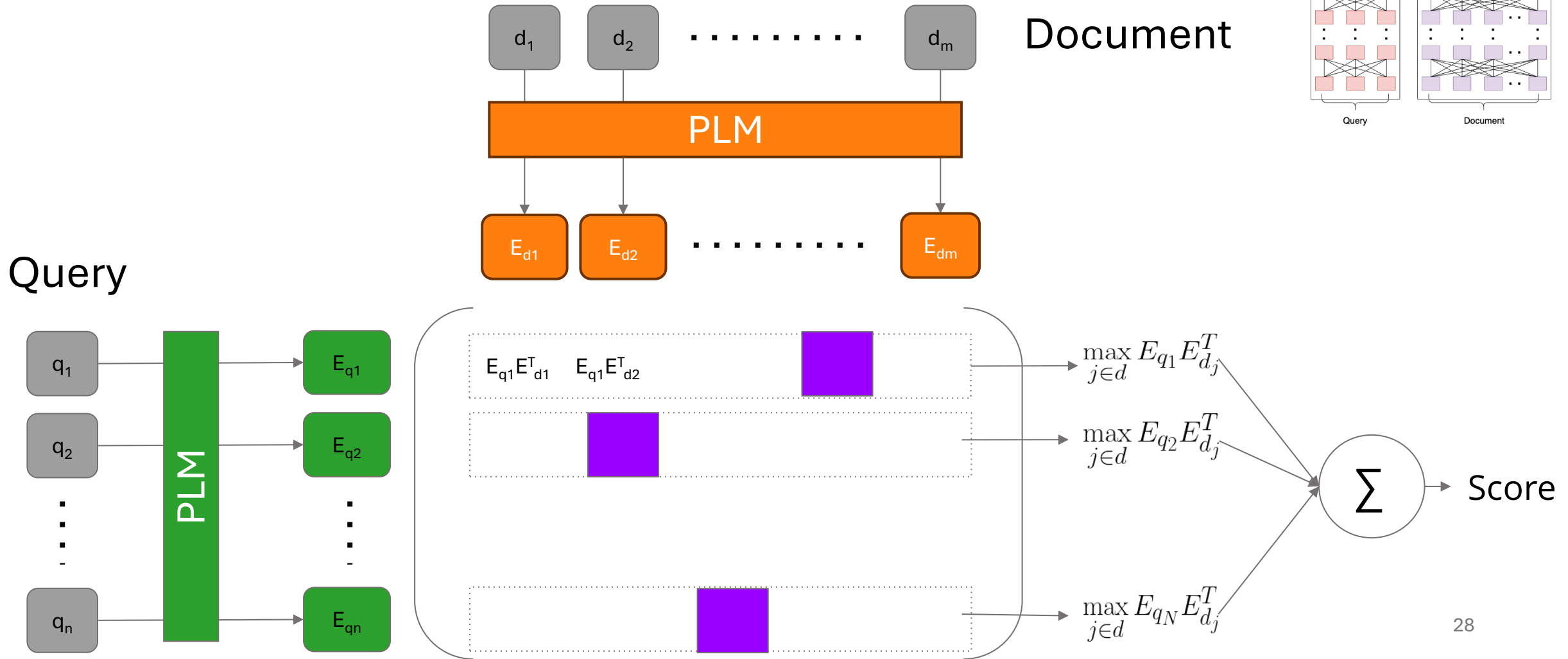
# One Vector per Term: MaxSim



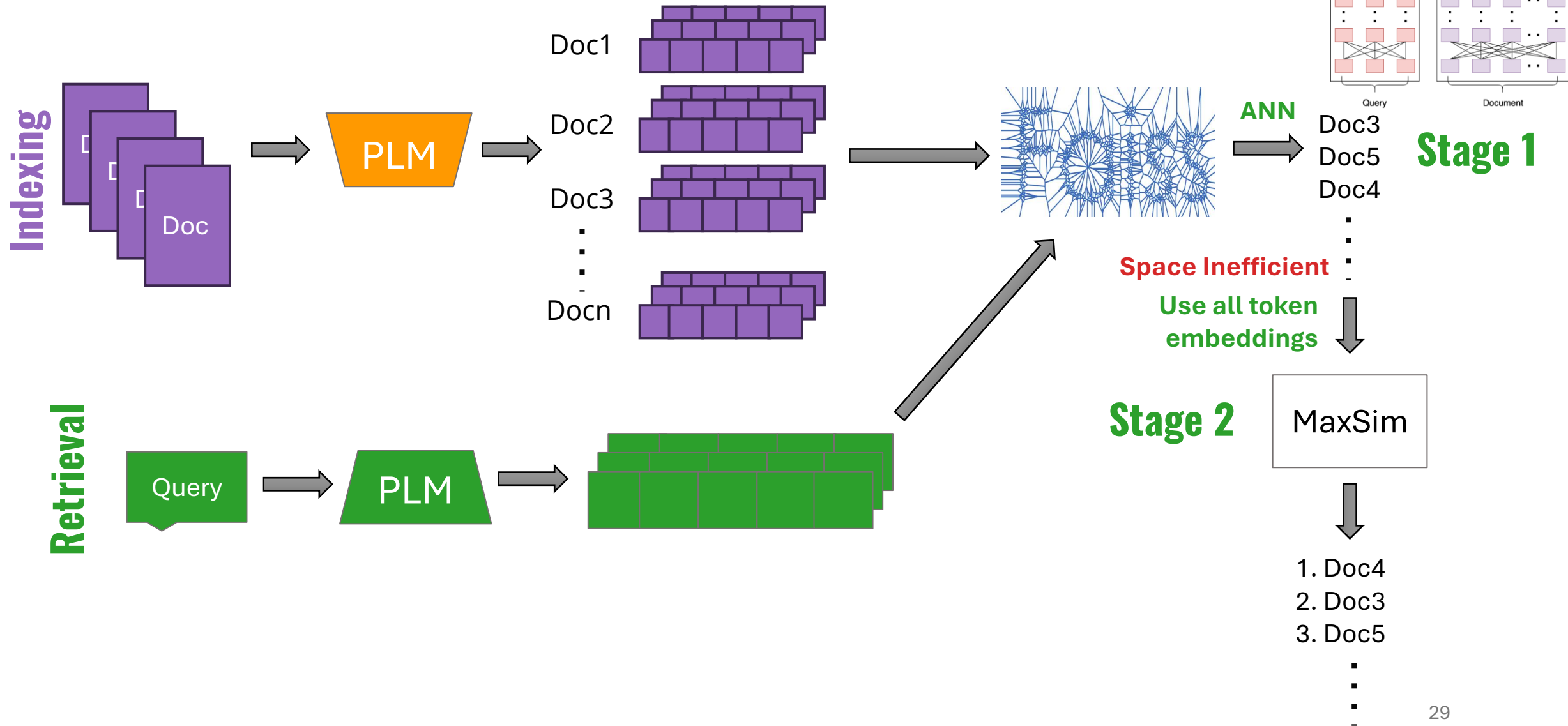
- Chinese Document term embedding**
- English Query term embedding**



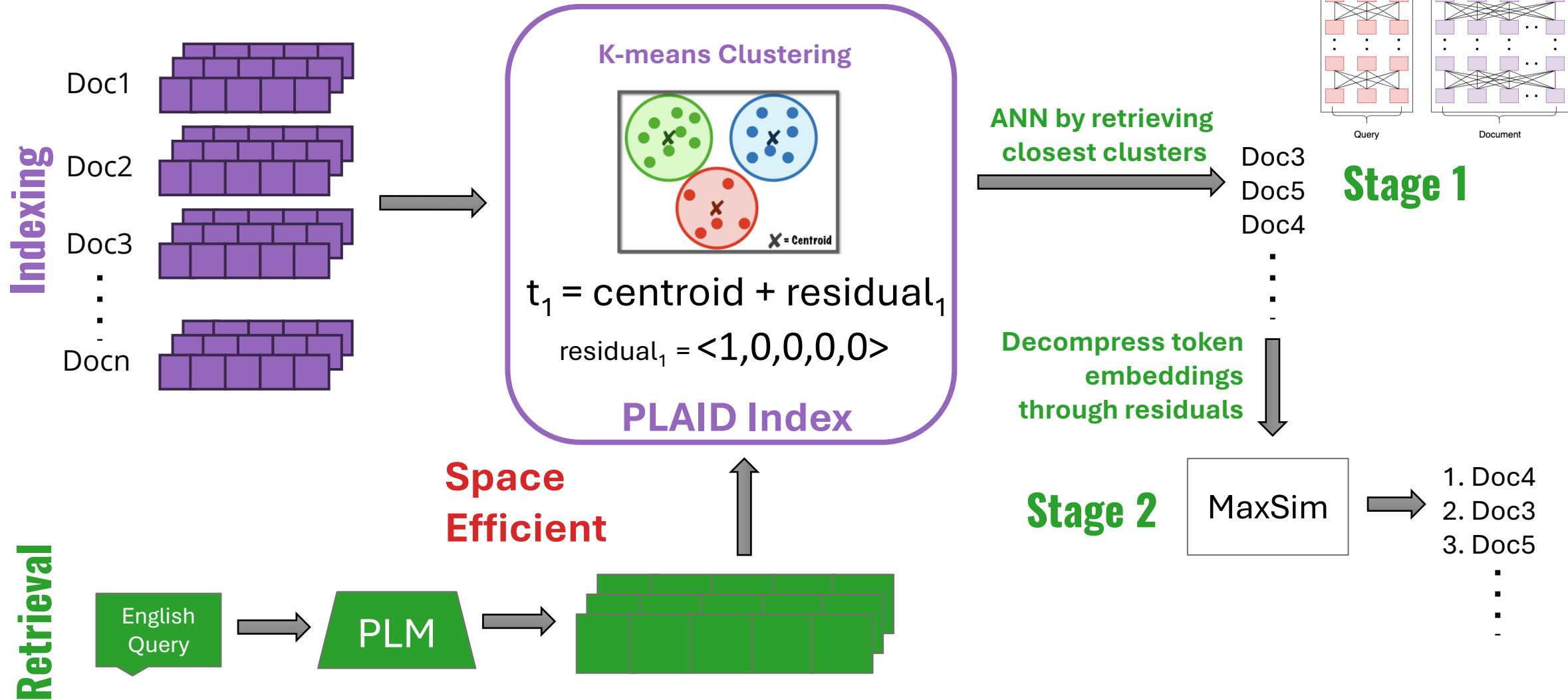
# MaxSim in Action -- ColBERT



# One Vector per term: Multi-stage Retrieval



# Efficient PLAID Indexing Architecture



hltcoe / ColBERT-X Public

Code Issues Pull requests Actions Projects Security

plaid-x Go to file Code

eugene-yang Update collection\_utils.py 944b709 · 3 months ago

colbert	Update collection_utils.py	3 months ago
docs	update theme	2 years ago
.gitignore	update install	last year
LICENSE	Initial commit with the new API...	3 years ago
MANIFEST.in	Version 0.3.1 (#7)	7 months ago
README.md	Update README.md (#8)	4 months ago
conda_env.yml	commit the environment file	2 years ago
conda_env_cpu.yml	Make end to end test work wit...	2 years ago
requirements.txt	Version 0.3.1 (#7)	7 months ago
setup.py	Version 0.3.1 (#7)	7 months ago

README MIT license

## PLAID-X

This is a generalized version of [PLAID](#) and the previous ColBERT-X for CLIR. The codebase supports models trained with the original ColBERT-X scripts, which are not compatible with the PLAID codebase released from the Stanford Futuredata Group.

stanford-futuredata / ColBERT Public


Code Issues 71 Pull requests 20 Discussions Actions Projects Security

main Go to file Code

okhat Update README.md 85837b6 · 3 weeks ago

baleen	Minor updates to Baleen	3 years ago
colbert	Merge pull request #362 from ...	last month
data	Add data/ with 5k evals	last year
docs	Updated setup.py + intro nb	10 months ago
utility	remove spacy	8 months ago
.env	Add server.py, .env and depen...	last year
.gitignore	Add data/ with 5k evals	last year
LICENSE	Initial commit with the new AP...	3 years ago
LoTTE.md	Add LoTTE download link	2 years ago
MANIFEST.in	Updated setup.py + intro nb	10 months ago
README.md	Update README.md	3 weeks ago
conda_env.yml	remove spacy	8 months ago
conda_env_cpu.yml	remove spacy	8 months ago
server.py	Fix Index root is not used corre...	last year
setup.py	release: version bump (0.2.20)	3 months ago

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# ColBERT

ColBERT (v2)

hltcoe's Collections

Translate-Distill Multilingual Translate-Distill

## Translate-Distill

Collection of trained model and teacher scores for distillation for paper "Translate-Distill" Code: <https://github.com/hltcoe/ColBERT-X>

updated Mar 27

▲ Upvote 3

Translate-Distill: Learning Cross-Language Dense Retrieval by Translation and Distillation

Paper · 2401.04810 · Published Jan 9

hltcoe/plaidx-large-zho-tdist-mt5xx1-engzho

Updated Mar 15 · ↓ 2

hltcoe/plaidx-large-zho-tdist-mt5xx1-zhozho

Updated Mar 15 · ↓ 1

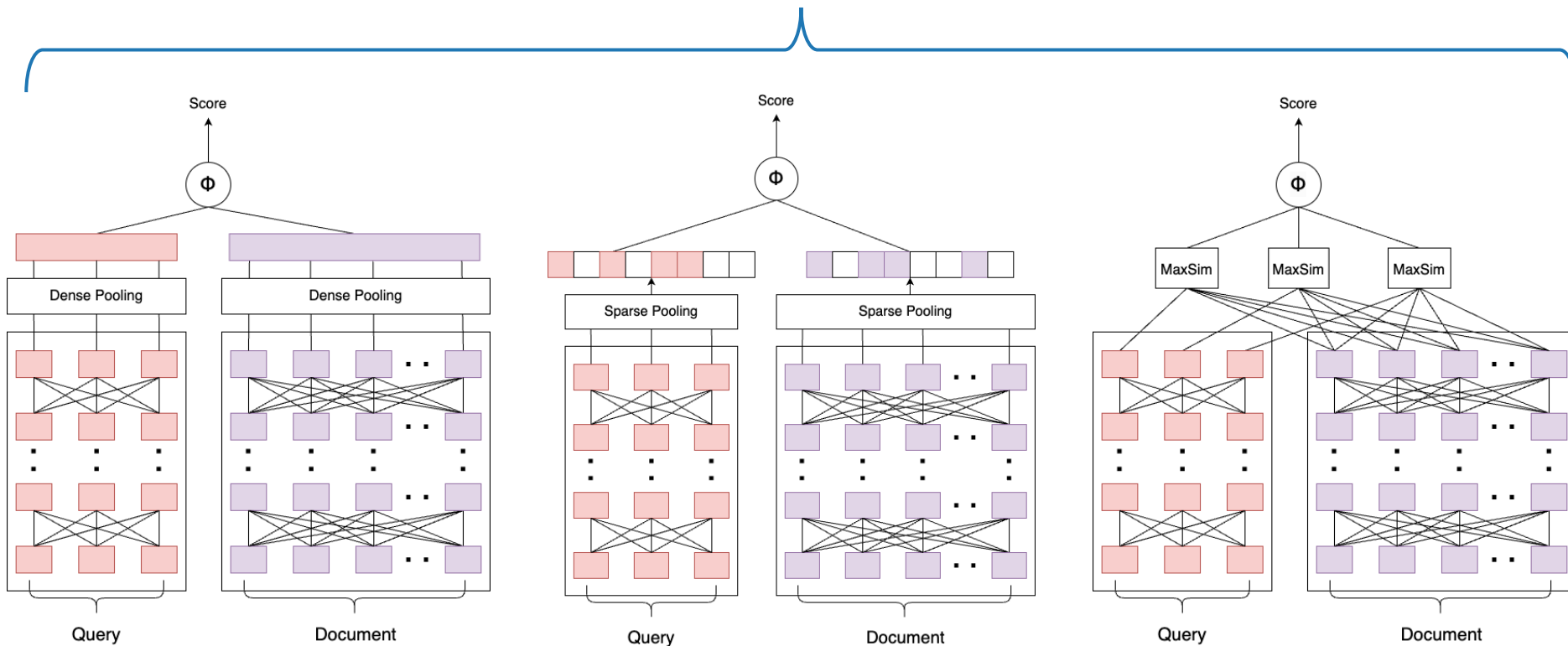
hltcoe/plaidx-large-zho-tdist-t53b-engeng

Updated Mar 15 · ↓ 1

hltcoe/plaidx-large-zho-tdist-mt5xx1-engeng

Updated Mar 15 · ↓ 25

# Bi-Encoder

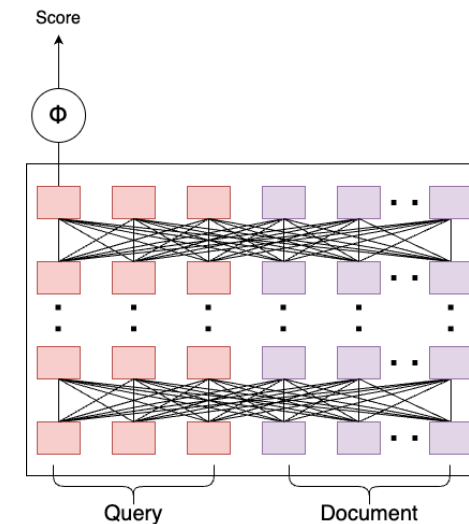


One Dense Vector  
Per Sequence  
e.g., DPR

One **Sparse** Vector  
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e.g., SPLADE

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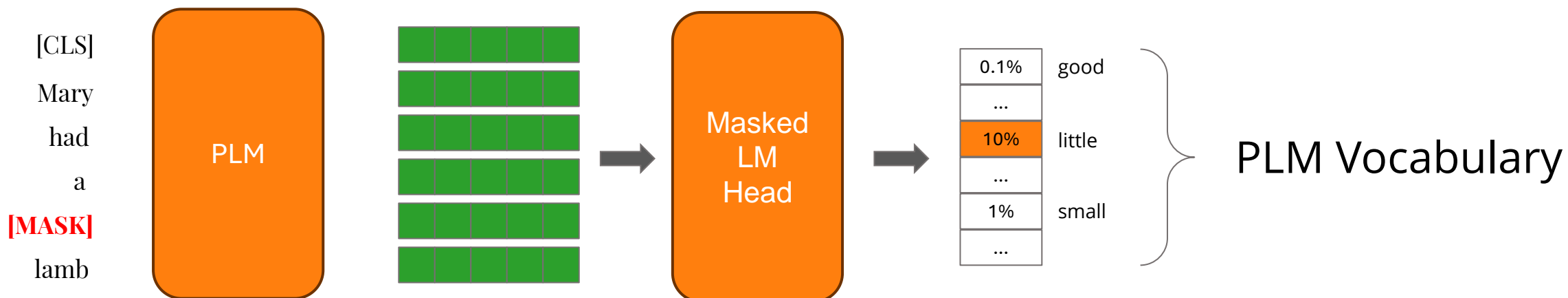
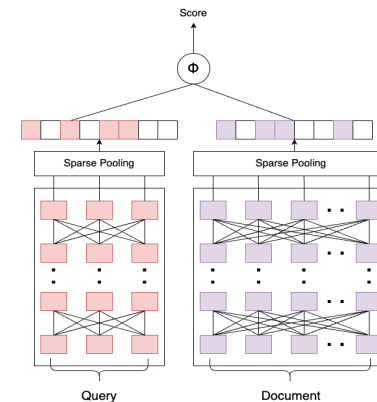
# Cross Encoder



Joint Encoder  
e.g., monoBERT



# High-dimensional Vector: Masked LM



# SPLADE

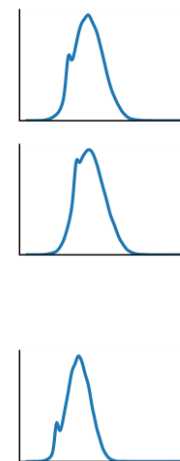
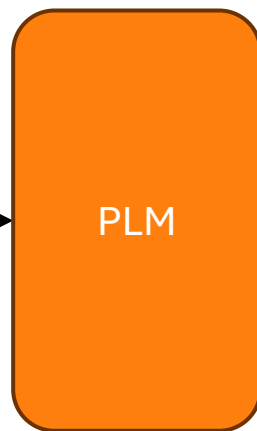
## Baltimore Orioles clinch playoff berth for 2nd straight season

The Baltimore Orioles are headed to the playoffs in consecutive years for the first time since the 1990s, clinching no worse than a wild-card berth with a 5-3 win over the New York Yankees paired with Minnesota's loss to Miami

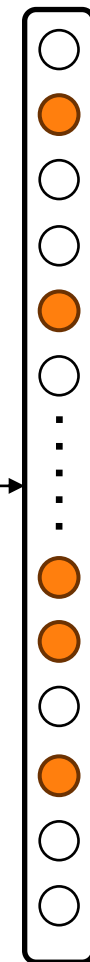


Credit: AP

Baltimore Orioles' Anthony Santander runs the bases after hitting a home run during the sixth inning of a baseball game against the New York Yankees, Tuesday, Sept. 24, 2024, in New York. (AP Photo/Bryan Woolston)



## Predicted Vocabulary



baltimore (1.2)

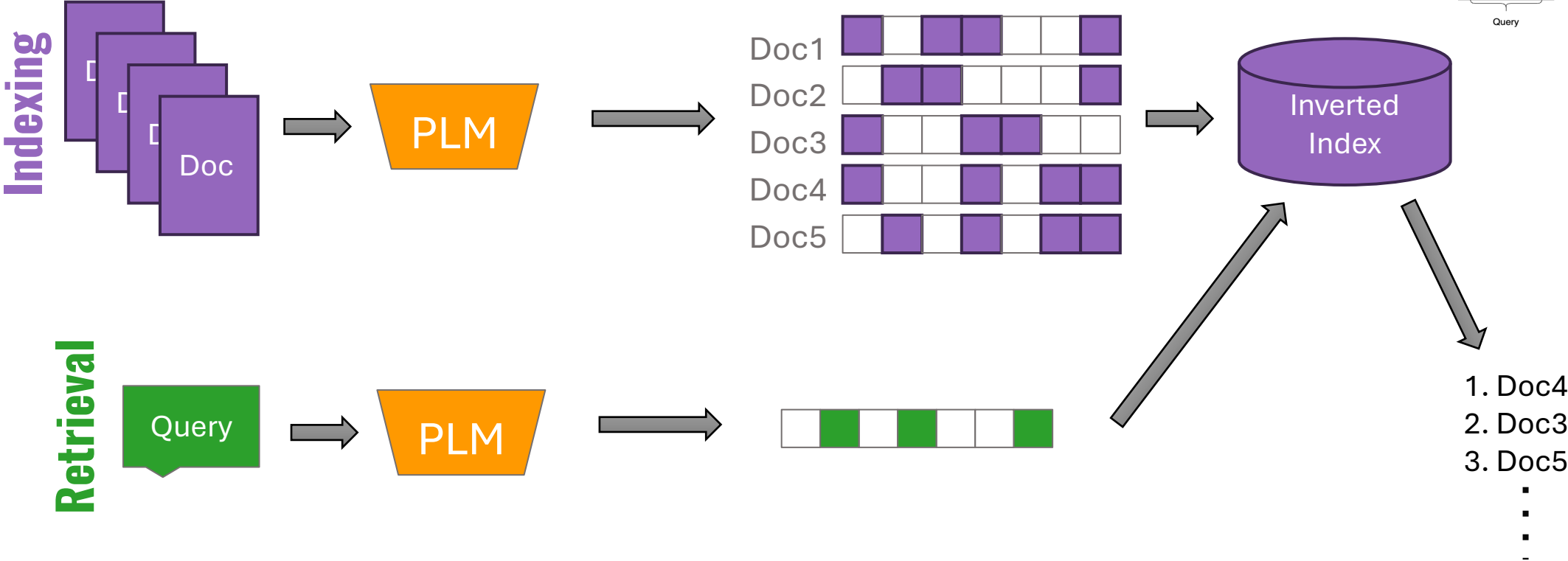
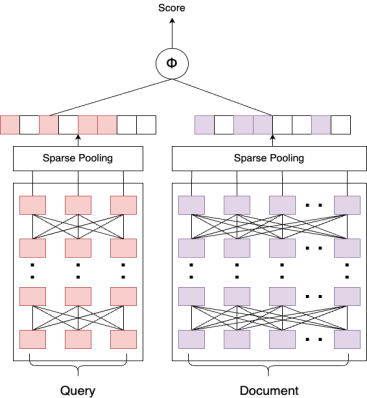
orioles (2.5)

season (0.2)

berth (0.9)

playoff (1.9)

# SPLADE Search Pipeline



arXiv > cs > arXiv:2303.13416

Search... All fields Search

Help | Advanced Search

Computer Science > Information Retrieval

[Submitted on 23 Mar 2023]

## A Unified Framework for Learned Sparse Retrieval

Thong Nguyen, Sean MacAvaney, Andrew Yates

Learned sparse retrieval (LSR) is a family of first-stage retrieval methods to generate sparse lexical representations of queries and documents from an inverted index. Many LSR methods have been recently introduced, achieving state-of-the-art performance on MSMarco. Despite their success, many LSR methods show substantial differences in their architectures. Differences in the experimental setups and configurations make it difficult to compare the methods and derive insights. In this work, we compare LSR methods and identify key components to establish an LSR framework. We reproduce LSR methods under the same perspective. We then reproduce the results using a common codebase and re-train them in the same environment to quantify how components of the framework affect effectiveness. We find that (1) including document term weighting is most important for effectiveness, (2) including query weighting has a small positive effect, (3) document expansion and query expansion have a cancellation effect.

thongnt99 / learned-sparse-retrieval Public

Code Issues 4 Pull requests Actions Projects Security Insights

main Code

Thong Nguyen	raw float weights	✓	d702026 · 7 months ago
docs	update skeleton		last year
images	add logo		last year
lsr	raw float weights		7 months ago
.gitignore	Initial commit		2 years ago
LICENSE	Create LICENSE		last year
README.md	Add DOI		7 months ago
beir.sh	Add beir to lsr		last year
clean.py	add file to clean beir trec file		last year
requirements.txt	Merge pull request #7 from ca...		last year
run_all_beir.sh	Add beir to lsr		last year

Readme Apache-2.0 license Activity 57 stars 4 watching 5 forks Report repository

Releases 1 v1.0.0 (Latest) on Feb 14

Contributors 3 thongnt99 T seanmacavane cadurosar Ca

Languages

README Apache-2.0 license

lsr instructions python 3.9.12 DOI 10.5281/zenodo.10659500

### LSR: A unified framework for efficient and effective learned sparse retrieval

TusKANNy / seismic Public

Notifications Fork 1 Star 38

Code Issues Pull requests Actions Projects Security Insights

main Code

Go to file Code

About

Official software repository of S. Bruch, F. M. Nardini, C. Rulli, and R. Venturini, "Efficient Inverted Indexes for Approximate Retrieval over Learned Sparse Representations". Long Paper @ ACM SIGIR 2024 (Best Paper Runner-up).

Readme MIT license Activity Custom properties 38 stars 7 watching 1 fork Report repository


Releases 1 SIGIR2024 (Latest) on Jul 4

Packages No packages published

Contributors 3 rossanoventurini Rossano Ven... francomarianardini Franco Ma... CosimoRulli Cosimo Rulli

rossanoventurini	Update README.md	5efa741 · 2 months ago
imgs	code	3 months ago
scripts	update conversion script	3 months ago
src	code	3 months ago
.gitignore	code	3 months ago
.pre-commit-config.yaml	code	3 months ago
Cargo.toml	Update Cargo.toml	2 months ago
LICENSE.md	code	3 months ago
README.md	Update README.md	2 months ago
pyproject.toml	code	3 months ago
rust-toolchain.toml	code	3 months ago

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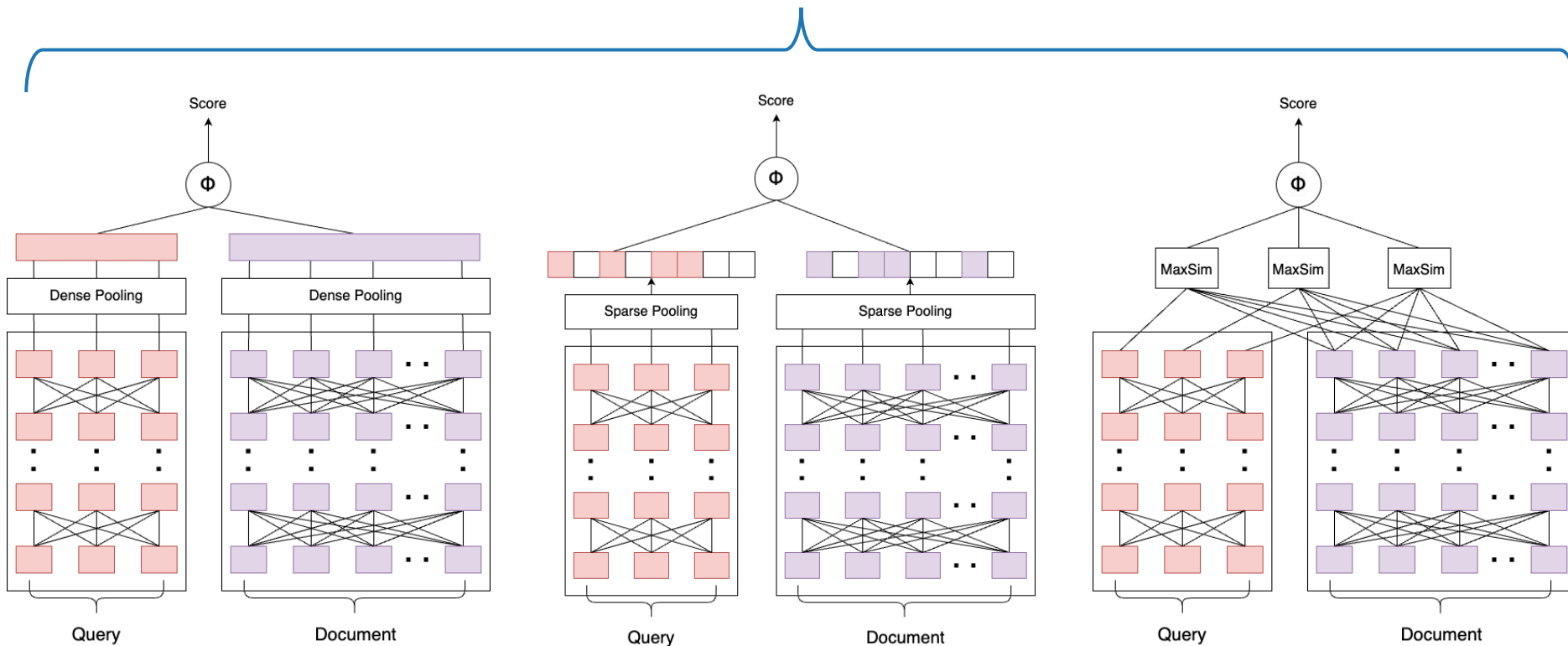


Seismic

paper SIGIR 2024 arXiv 2404.18812

crates.io v0.1.0 downloads 377 license MIT

# Bi-Encoder

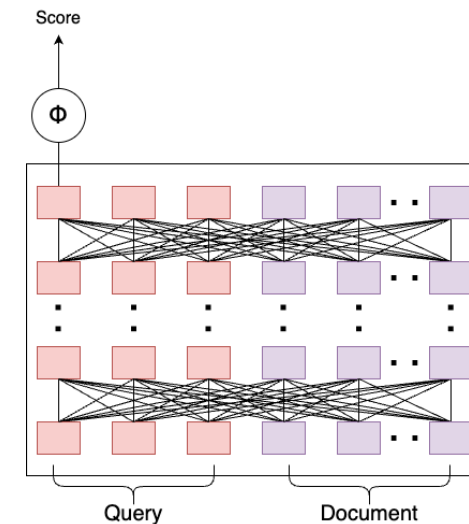


One Dense Vector  
Per Sequence  
e.g., DPR

One **Sparse** Vector  
Per Sequence  
e.g., SPLADE

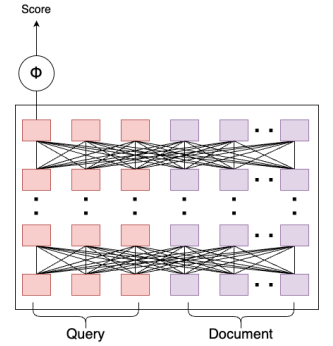
Multiple Dense Vectors  
Per Sequence  
e.g., ColBERT

# Cross Encoder



Joint Encoder  
e.g., monoBERT

# Cross-Encoder



# Using Generative Models

Query: What does Mary has  
Doc: Mary had a little lamb.  
Relevant:



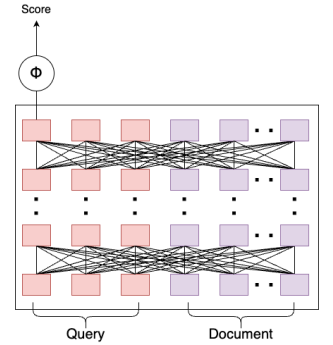
Generative  
PLM



**Not a number!**

Yes

e.g, T5



Pradeep, Ronak, Rodrigo Nogueira, and Jimmy Lin. "The expando-mono-duo design pattern for text ranking with pretrained sequence-to-sequence models." arXiv preprint arXiv:2101.05667 (2021).

# Using Generative Models



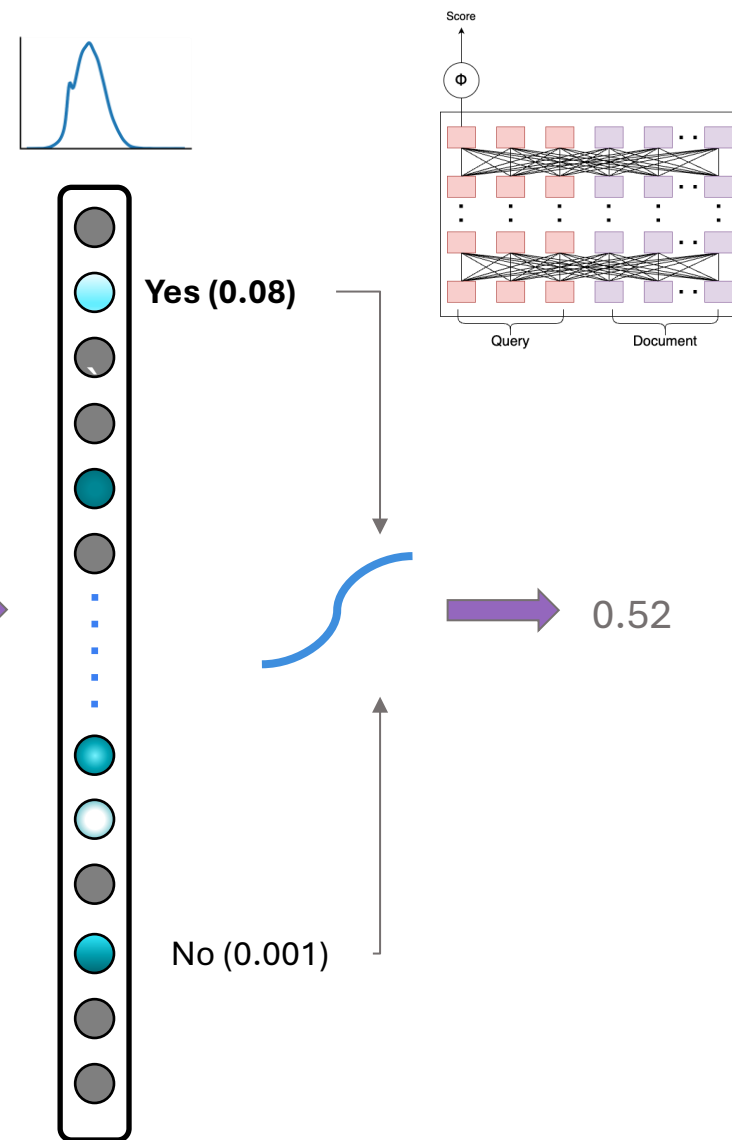
Pradeep, Ronak, Rodrigo Nogueira, and Jimmy Lin. "The expando-mono-duo design pattern for text ranking with pretrained sequence-to-sequence models." arXiv preprint arXiv:2101.05667 (2021).



# Using Generative Models

## Pointwise score

Query: What does Mary has  
Doc: Mary had a little lamb.  
Relevant:

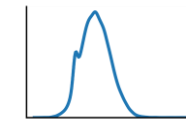
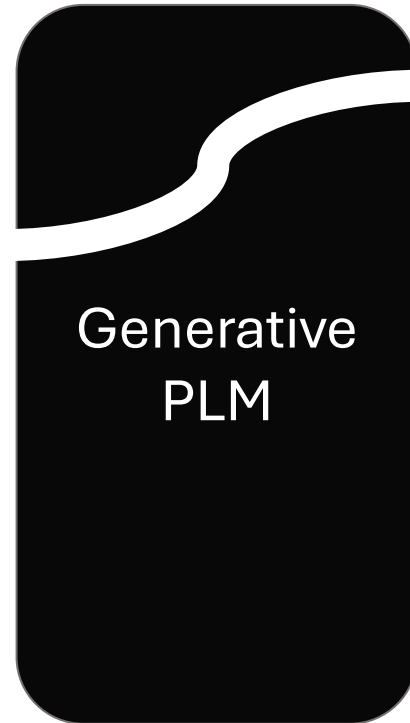


Pradeep, Ronak, Rodrigo Nogueira, and Jimmy Lin. "The expando-mono-duo design pattern for text ranking with pretrained sequence-to-sequence models." arXiv preprint arXiv:2101.05667 (2021).

# Using Generative Models

## Pairwise score

Query: What does Mary has  
Doc0: JHU is in Baltimore  
Doc1: Mary had a little lamb.  
Relevant:



Yes (0.001)

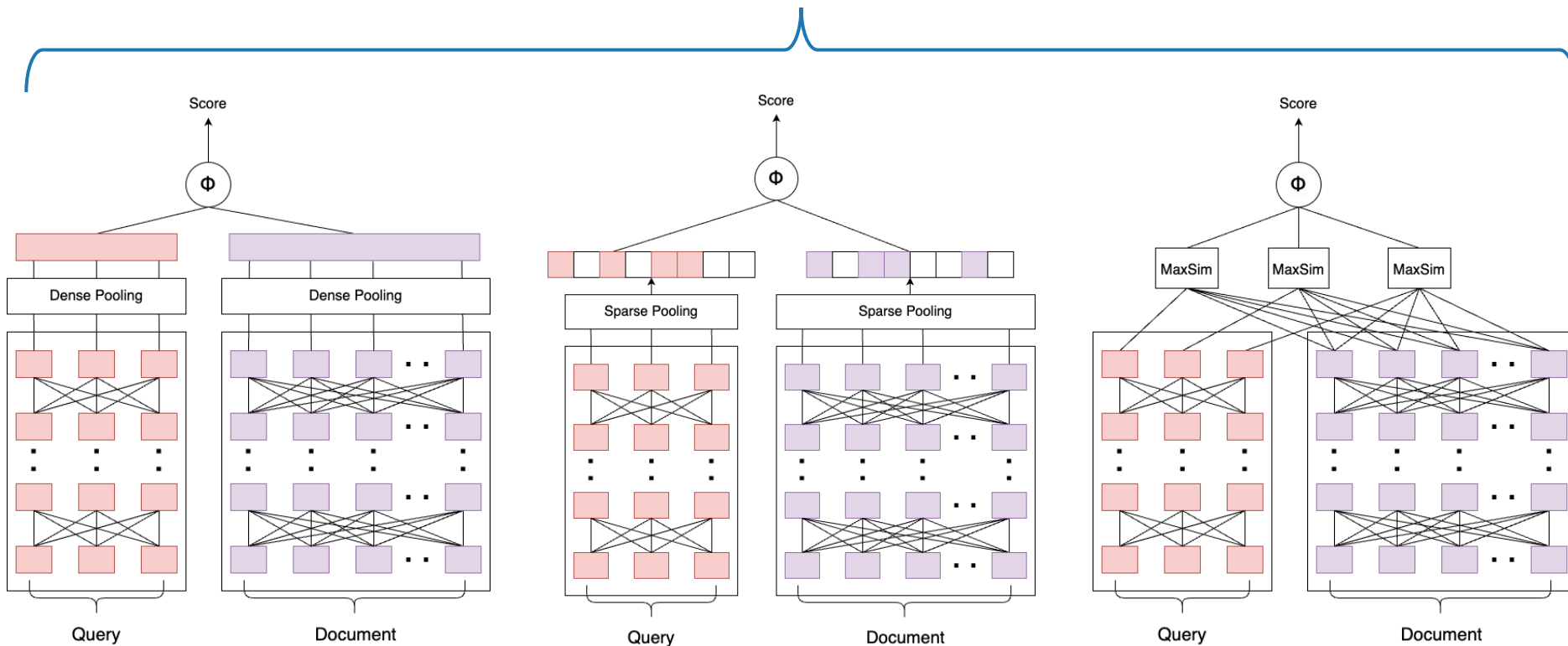
No (0.02)



0.49

Pradeep, Ronak, Rodrigo Nogueira, and Jimmy Lin. "The expando-mono-duo design pattern for text ranking with pretrained sequence-to-sequence models." arXiv preprint arXiv:2101.05667 (2021).

# Bi-Encoder

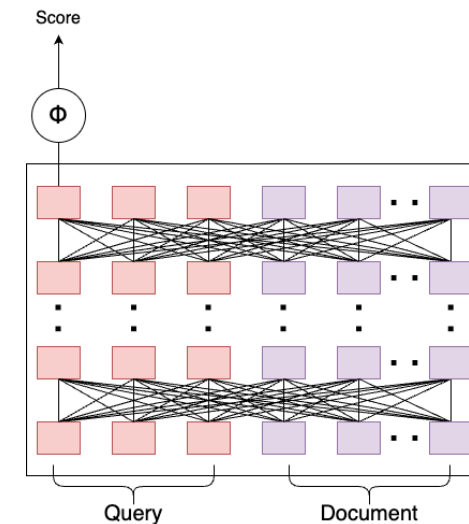


One Dense Vector  
Per Sequence  
e.g., DPR

One **Sparse** Vector  
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e.g., SPLADE

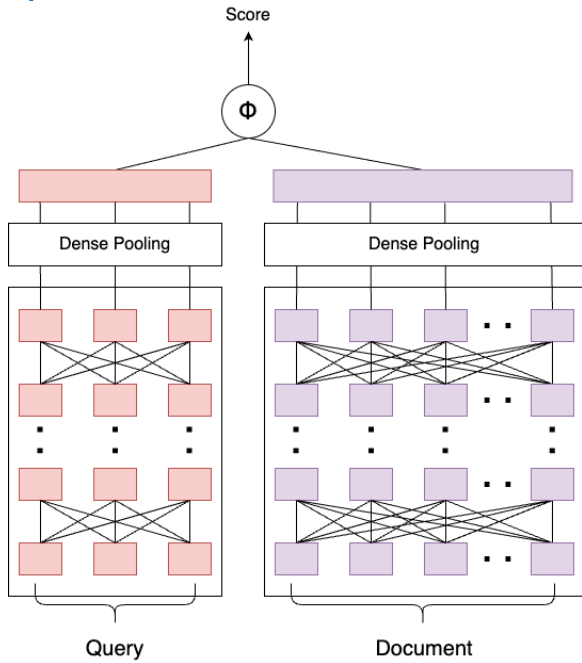
Multiple Dense Vectors  
Per Sequence  
e.g., ColBERT

# Cross Encoder

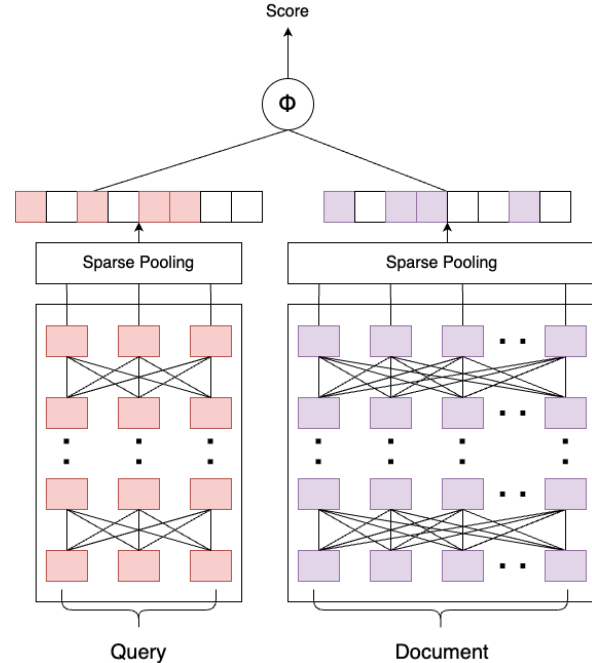


Joint Encoder  
e.g., monoBERT

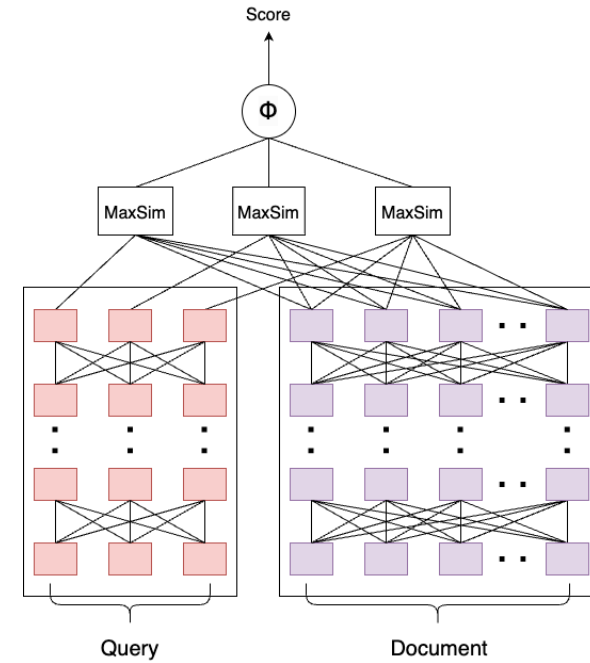
# Bi-Encoder



One Dense Vector  
Per Sequence  
e.g., DPR

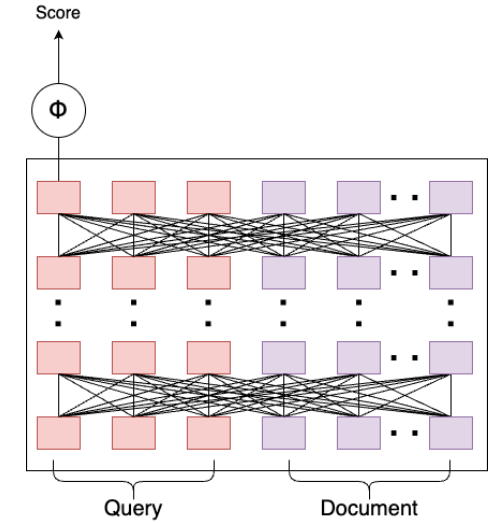


One **Sparse** Vector  
Per Sequence  
e.g., SPLADE



Multiple Dense Vectors  
Per Sequence  
e.g., ColBERT

# Cross Encoder



Joint Encoder  
e.g., monoBERT

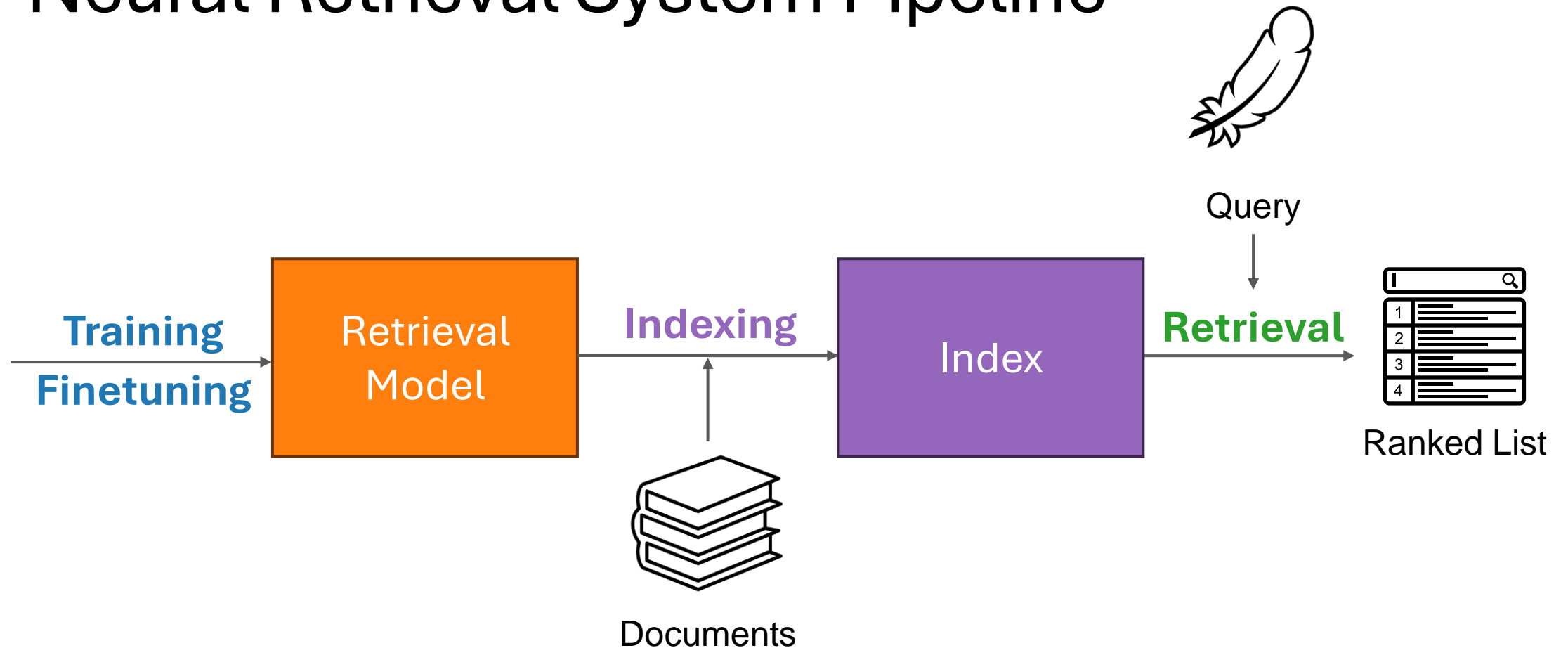
More Effective

More Efficient

# Retrieve-and-Rerank System Combinations



# Neural Retrieval System Pipeline



# PLM to IR Model



- Align the representation
- Model “relevancy”

# Evaluation

Which system is better?



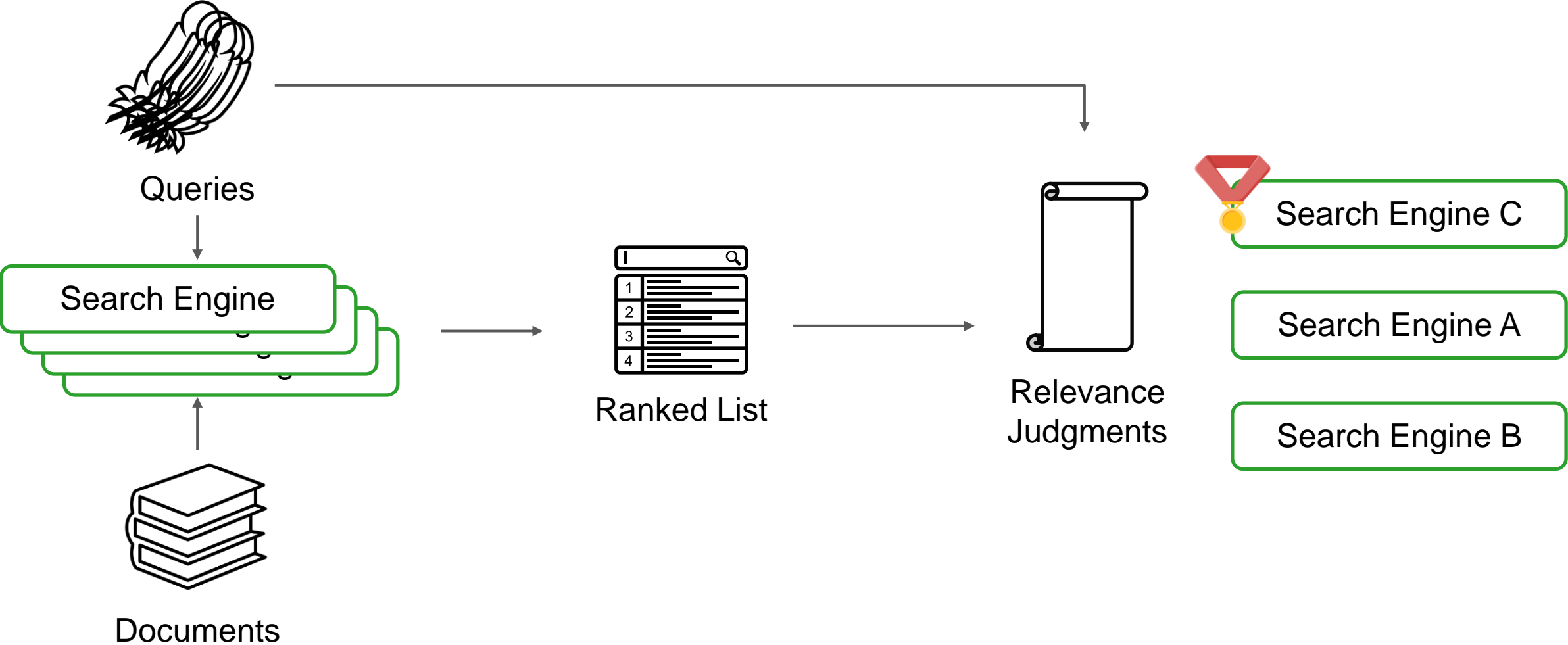
# What is Information Retrieval?

**(relevant)**

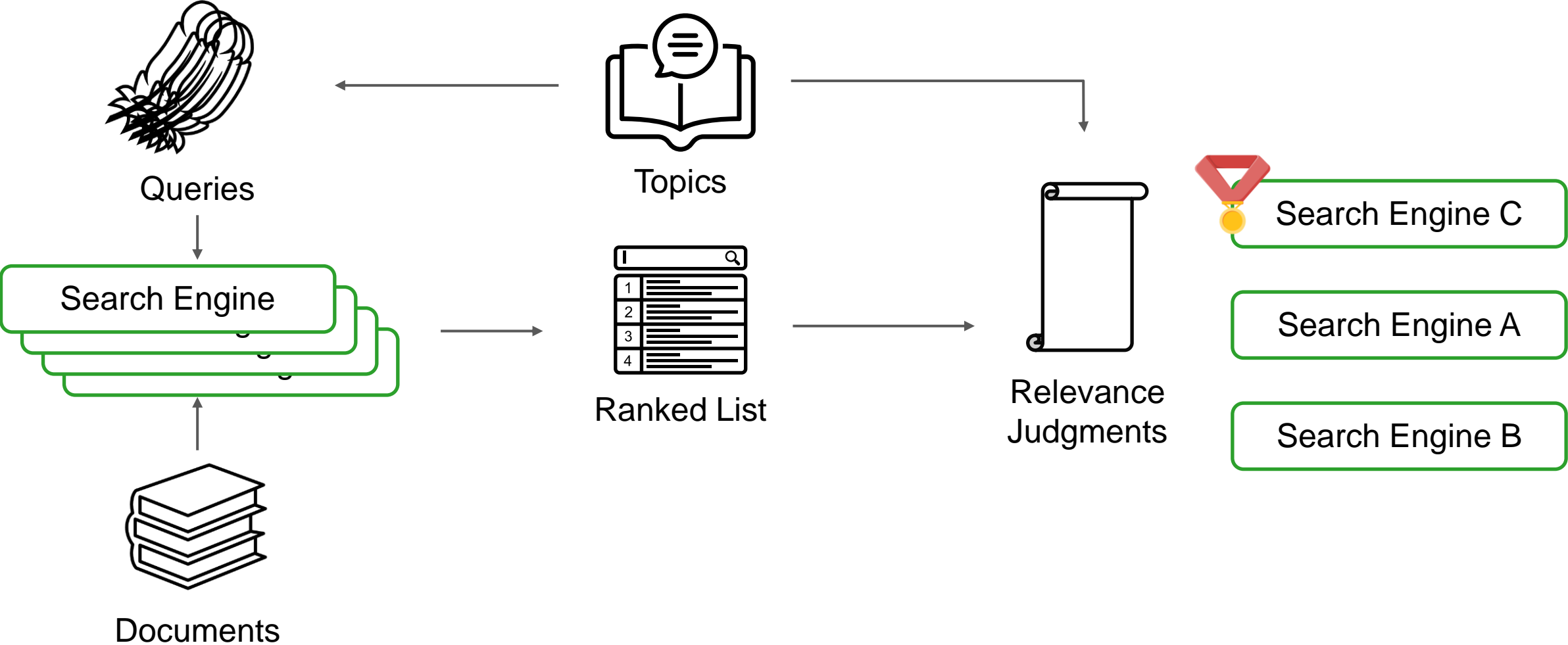
**Retrieve information from a storage  
based on user's information need**

Which system retrieve more relevant information?

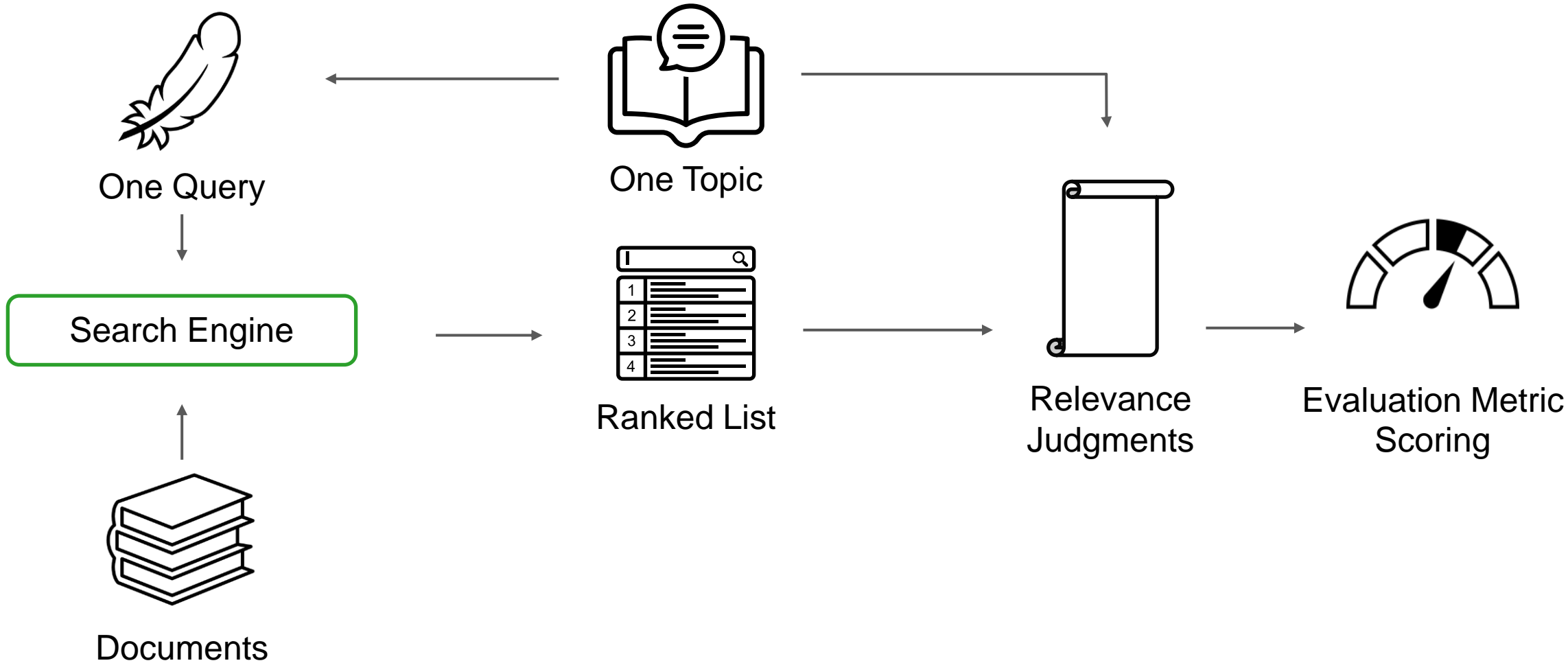
# Cranfield Paradigm Evaluation



# Cranfield Paradigm Evaluation



# Cranfield Paradigm Evaluation



# IR-Specific Issues

- Topics vs Queries
  - Clear intent vs an expression of such intent
- Relevant vs related
  - Fulfilling the information need or not
- Relevance Judgements vs Labels
  - Opinion vs “fact”
- Ranked retrieval metrics
  - Measuring the quality/effectiveness of a ranked list

# IR Metrics



- Effective Metrics
  - Mean Average Precision
  - Normalized Discounted Cumulative Gain
  - Recall@k
- Efficiency Metrics
  - Indexing time
  - Index disk space
  - Query latency (average search time per query)

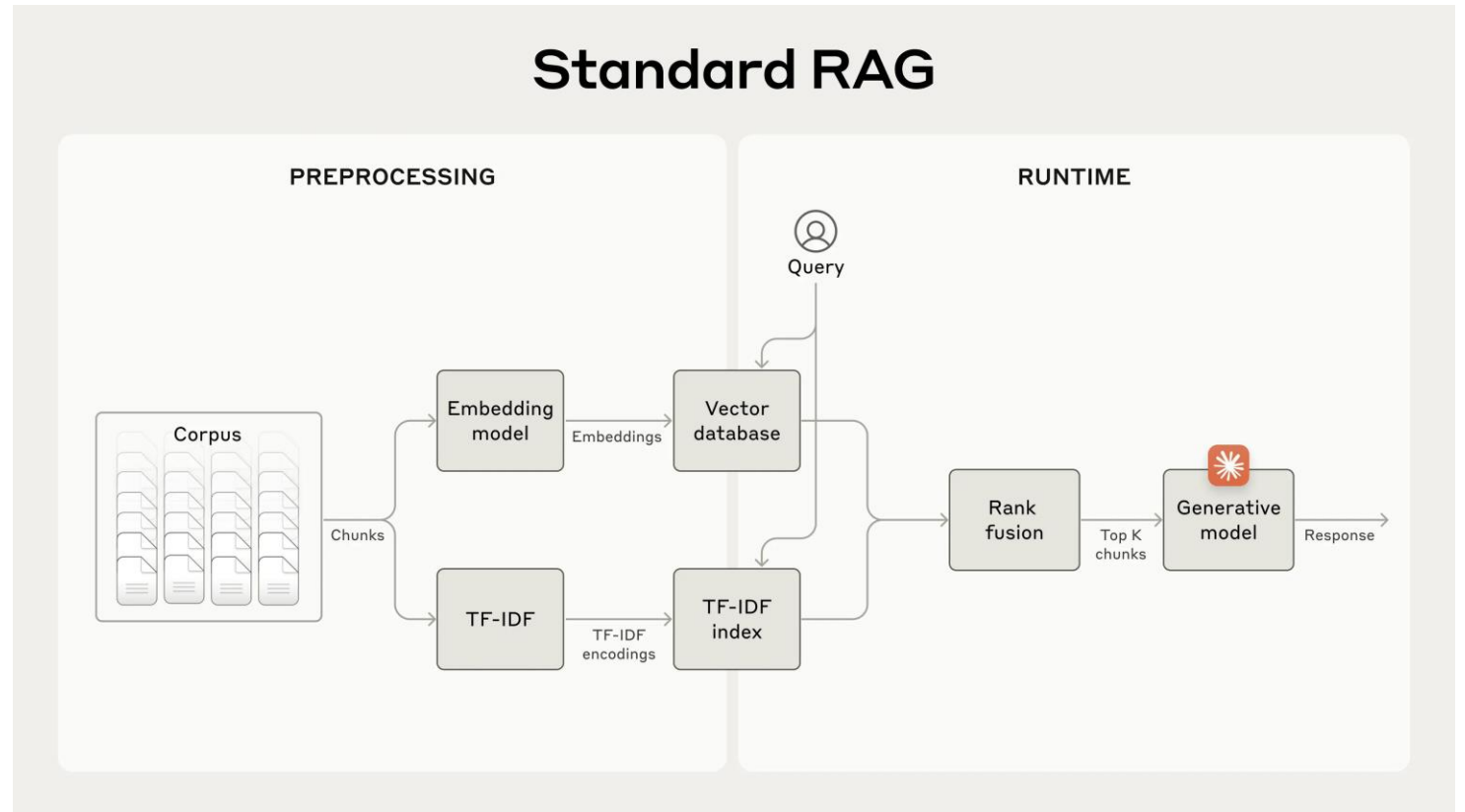
# State of IR Research



# Retrieval-Augmented Generation

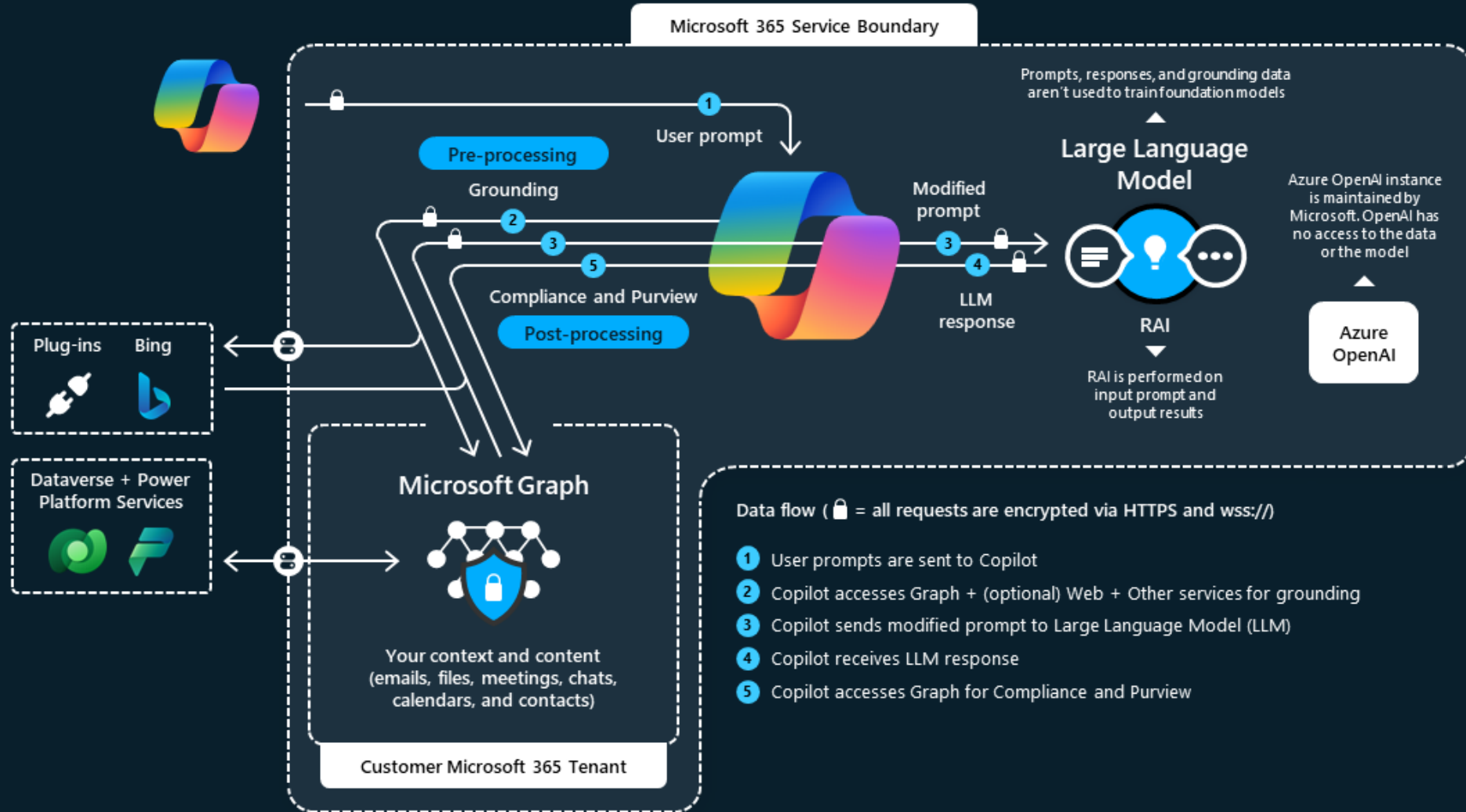
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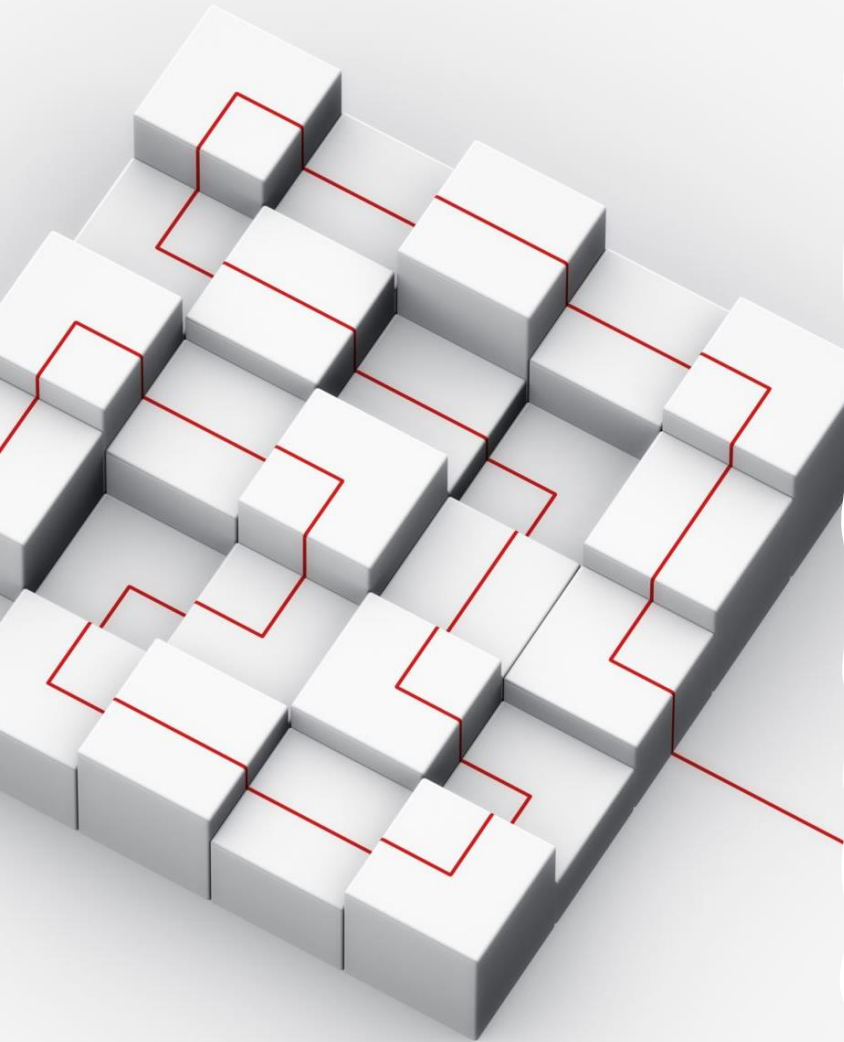
- Is everything a RAG problem?
- What is the right retrieval model/system for RAG?
- IR going away?



<https://www.anthropic.com/news/contextual-retrieval>

# Microsoft Copilot for Microsoft 365 architecture





# Better Retrieval Models

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- More effective
  - Better/larger neural models
  - Better architecture?
  - Under harder setup, e.g., scholar search, multilingual, cross-modal, etc
- More efficient
  - Faster at query time
  - Less resource footprint, e.g., memory, storage, compute, etc
- Other qualities
  - Fairness, diversity, etc

A close-up photograph of a hand holding a red string, with the string looped around the fingers in a complex, crisscrossing pattern. The background is dark and out of focus.

# Other Retrieval Problems

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- Conversational
  - Guessing intent, finding the “right” information to serve
- Iterative/interactive/human-in-the-loop
  - Rounds of interactions
- Generative
  - Returning a piece of text



# Evaluation

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- What to measure
  - and when would it fail
- How to measure
  - Generative text? Citations?
- “Better” evaluation collection
  - Not necessarily larger