Introduction to

Information Retrieval

Lucene Tutorial

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Open source IR systems

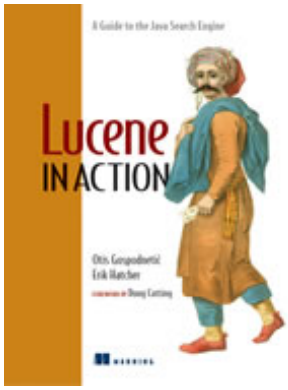
- Widely used academic systems
  - Terrier (Java, U. Glasgow) http://terrier.org
  - Indri/Galago/Lemur (C++ (& Java), U. Mass & CMU)
  - Tail of others (Zettair, …)
- Widely used non-academic open source systems
  - **Lucene**
    - Things built on it: Solr, ElasticSearch
  - A few others (Xapian, …)

Lucene

- Open source Java library for indexing and searching
  - Lets you add search to your application
  - Not a complete search system by itself
  - Written by Doug Cutting
- Used by: Twitter, LinkedIn, Zappos, CiteSeer, Eclipse, …
  - … and many more (see http://wiki.apache.org/lucene-java/PoweredBy)
- Ports/integrations to other languages
  - C/C++, C#, Ruby, Perl, Python, PHP, …

Based on "Lucene in Action"

By Michael McCandless, Erik Hatcher, Otis Gospodnetic

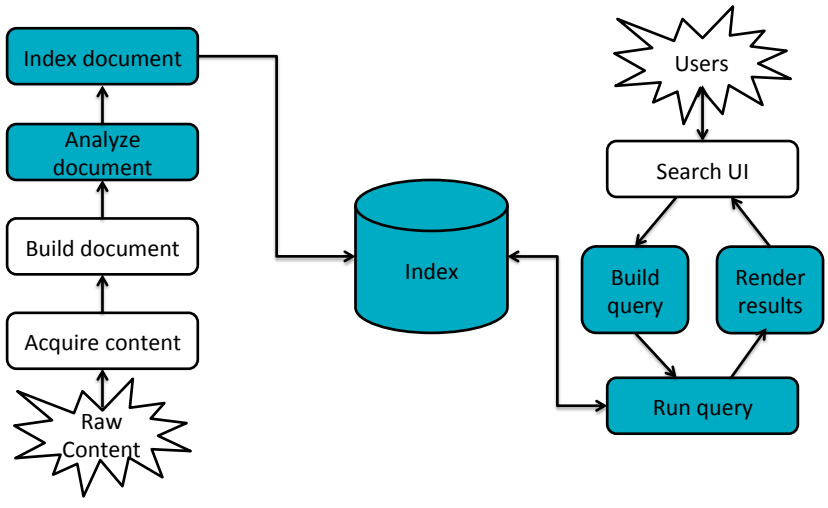


Covers Lucene 3.0.1. It's now up to 5.1.0

Resources

- Lucene: http://lucene.apache.org
- Lucene in Action: http://www.manning.com/hatcher3/
  - Code samples available for download
- Ant: http://ant.apache.org/
  - Java build system used by "Lucene in Action" code

Lucene in a search system



Lucene demos

- Source files in `lia2e/src/lia/meetlucene/`
  - Actual sources use Lucene 3.6.0
  - Code in these slides upgraded to Lucene 5.1.0
- Command line **`Indexer`**
  - `lia.meetlucene.Indexer`
- Command line **`Searcher`**
  - `lia.meetlucene.Searcher`

Core indexing classes

- `IndexWriter`
  - Central component that allows you to create a new index, open an existing one, and add, remove, or update documents in an index
  - Built on an `IndexWriterConfig` and a `Directory`
- `Directory`
  - Abstract class that represents the location of an index
- `Analyzer`
  - Extracts tokens from a text stream

Creating an `IndexWriter`

```
Import org.apache.lucene.analysis.Analyzer;
import org.apache.lucene.index.IndexWriter;
import org.apache.lucene.index.IndexWriterConfig;
import org.apache.lucene.store.Directory;
...

private IndexWriter writer;

public Indexer(String dir) throws IOException {
    Directory indexDir = FSDirectory.open(new File(dir));
    Analyzer analyzer = new StandardAnalyzer();
    IndexWriterConfig cfg = new IndexWriterConfig(analyzer);
    cfg.setOpenMode(OpenMode.CREATE);
    writer = new IndexWriter(indexDir, cfg)
}
```


Core indexing classes (contd.)

- `Document`
  - Represents a collection of named `Fields`. Text in these `Fields` are indexed.
- `Field`
  - Note: Lucene `Fields` can represent both "fields" and "zones" as described in the textbook
  - Or even other things like numbers.
  - `StringFields` are indexed but not tokenized
  - `TextFields` are indexed and tokenized

A Document contains Fields

```
import org.apache.lucene.document.Document;
import org.apache.lucene.document.Field;
...
protected Document getDocument(File f) throws Exception {
    Document doc = new Document();
    doc.add(new TextField("contents", new FileReader(f)))
    doc.add(new StringField("filename",
                            f.getName(),
                            Field.Store.YES));
    doc.add(new StringField("fullpath",
                            f.getCanonicalPath(),
                            Field.Store.YES));
    return doc;
}
```


Index a Document with IndexWriter

```
private IndexWriter writer;
...
private void indexFile(File f) throws
      Exception {
   Document doc = getDocument(f);
   writer.addDocument(doc);
}
```

Indexing a directory

```
private IndexWriter writer;
...
public int index(String dataDir,
                 FileFilter filter)
      throws Exception {
   File[] files = new File(dataDir).listFiles();
   for (File f: files) {
      if (... &&
          (filter == null || filter.accept(f))) {
         indexFile(f);
      }
   }
   return writer.numDocs();
}
```


Closing the `IndexWriter`

```
private IndexWriter writer;
...
public void close() throws IOException {
   writer.close();
}
```

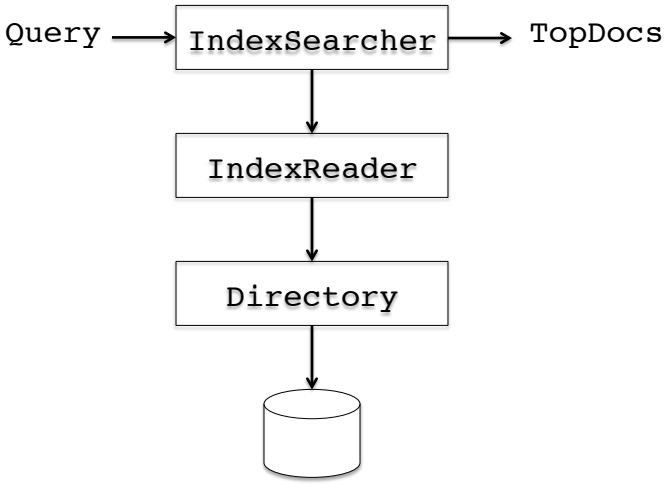
The Index

- The Index is the kind of inverted index we know and love
- The default Lucene50 codec is:
  - variable-byte and fixed-width encoding of delta values
  - multi-level skip lists
  - natural ordering of docIDs
  - encodes both term frequencies and positional information
- APIs to customize the codec

Core searching classes

- `IndexSearcher`
  - Central class that exposes several search methods on an index
  - Accessed via an `IndexReader`
- `Query`
  - Abstract query class. Concrete subclasses represent specific types of queries, e.g., matching terms in fields, boolean queries, phrase queries, …
- `QueryParser`
  - Parses a textual representation of a query into a `Query` instance

IndexSearcher



Creating an IndexSearcher

```
import org.apache.lucene.search.IndexSearcher;
...
public static void search(String indexDir,
                          String q)
    throws IOException, ParseException {
  IndexReader rdr =
    DirectoryReader.open(FSDirectory.open(
                  new File(indexDir)));
  IndexSearcher is = new IndexSearcher(rdr);
  ...
}
```

Query and QueryParser

```
import org.apache.lucene.queryParser.QueryParser;
import org.apache.lucene.search.Query;
...
public static void search(String indexDir, String q)
      throws IOException, ParseException
   ...
   QueryParser parser =
      new QueryParser("contents",
                      new StandardAnalyzer());
   Query query = parser.parse(q);
   ...
}
```


Core searching classes (contd.)

- TopDocs
  - Contains references to the top documents returned by a search
- ScoreDoc
  - Represents a single search result

search() returns TopDocs

```
import org.apache.lucene.search.TopDocs;
...
public static void search(String indexDir,
                          String q)
    throws IOException, ParseException
  ...
  IndexSearcher is = ...;
  ...
  Query query = ...;
  ...
  TopDocs hits = is.search(query, 10);
}
```


TopDocs contain ScoreDocs

```
import org.apache.lucene.search.ScoreDoc;
...
public static void search(String indexDir, String q)
    throws IOException, ParseException
  ...
  IndexSearcher is = ...;
  ...
  TopDocs hits = ...;
  ...
  for(ScoreDoc scoreDoc : hits.scoreDocs) {
    Document doc = is.doc(scoreDoc.doc);
    System.out.println(doc.get("fullpath"));
  }
}
```

Closing `IndexSearcher`

```
public static void search(String indexDir,
                          String q)
    throws IOException, ParseException
  ...
  IndexSearcher is = ...;
  ...
  is.close();
}
```


How Lucene models content

- A `Document` is the atomic unit of indexing and searching
  - A `Document` contains `Fields`
- `Fields` have a name and a value
  - You have to translate raw content into `Fields`
  - Examples: Title, author, date, abstract, body, URL, keywords, ...
  - Different documents can have different fields
  - Search a field using name:term, e.g., title:lucene

`Fields`

- `Fields` may
  - Be indexed or not
    - Indexed fields may or may not be analyzed (i.e., tokenized with an `Analyzer`)
      - Non-analyzed fields view the entire value as a single token (useful for URLs, paths, dates, social security numbers, ...)
  - Be stored or not
    - Useful for fields that you'd like to display to users
  - Optionally store term vectors
    - Like a positional index on the `Field`'s terms
    - Useful for highlighting, finding similar documents, categorization

`Field` construction
Lots of different constructors

```
import org.apache.lucene.document.Field
import org.apache.lucene.document.FieldType

Field(String name,
      String value,
      FieldType type);
```

`value` can also be specified with a `Reader`, a `TokenStream`, or a `byte[]`.

`FieldType` specifies field properties.

Can also directly use sub-classes like `TextField`, `StringField`, …

Using `Field` properties

Index	Store	TermVector	Example usage
NOT_ANALYZED	YES	NO	Identifiers, telephone/SSNs, URLs, dates, ...
ANALYZED	YES	WITH_POSITIONS_OFFSETS	Title, abstract
ANALYZED	NO	WITH_POSITIONS_OFFSETS	Body
NO	YES	NO	Document type, DB keys (if not used for searching)
NOT_ANALYZED	NO	NO	Hidden keywords

Multi-valued fields

- You can add multiple `Field`s with the same name
  - Lucene simply concatenates the different values for that named Field

```
Document doc = new Document();
doc.add(new TextField("author",
                      "chris manning"));
doc.add(new TextField("author",
                      "prabhakar raghavan"));
...
```

`Analyzer`

- Tokenizes the input text
- Common `Analyzers`
  - `WhitespaceAnalyzer`
    Splits tokens on whitespace
  - `SimpleAnalyzer`
    Splits tokens on non-letters, and then lowercases
  - `StopAnalyzer`
    Same as `SimpleAnalyzer`, but also removes stop words
  - `StandardAnalyzer`
    Most sophisticated analyzer that knows about certain token types, lowercases, removes stop words, ...

Analysis example

- "The quick brown fox jumped over the lazy dog"
- `WhitespaceAnalyzer`
  - [The] [quick] [brown] [fox] [jumped] [over] [the] [lazy] [dog]
- `SimpleAnalyzer`
  - [the] [quick] [brown] [fox] [jumped] [over] [the] [lazy] [dog]
- `StopAnalyzer`
  - [quick] [brown] [fox] [jumped] [over] [lazy] [dog]
- StandardAnalyzer
  - [quick] [brown] [fox] [jumped] [over] [lazy] [dog]

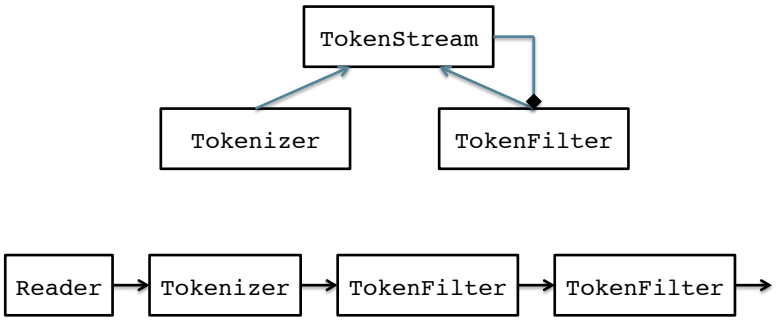
Another analysis example

- "XY&Z Corporation – xyz@example.com"
- `WhitespaceAnalyzer`
  - [XY&Z] [Corporation] [-] [xyz@example.com]
- `SimpleAnalyzer`
  - [xy] [z] [corporation] [xyz] [example] [com]
- `StopAnalyzer`
  - [xy] [z] [corporation] [xyz] [example] [com]
- StandardAnalyzer
  - [xy&z] [corporation] [xyz@example.com]

What's inside an `Analyzer`?

- `Analyzers` need to return a `TokenStream`

```
public TokenStream tokenStream(String fieldName,
                               Reader reader)
```



Tokenizers and TokenFilters

- Tokenizer
  - WhitespaceTokenizer
  - KeywordTokenizer
  - LetterTokenizer
  - StandardTokenizer
  - ...
- TokenFilter
  - LowerCaseFilter
  - StopFilter
  - PorterStemFilter
  - ASCIIFoldingFilter
  - StandardFilter
  - ...

Adding/deleting Documents to/from an IndexWriter

```
void addDocument(Iterable<IndexableField> d);
```

IndexWriter's Analyzer is used to analyze document.

Important: Need to ensure that Analyzers used at indexing time are consistent with Analyzers used at searching time

```
// deletes docs containing terms or matching
// queries.  The term version is useful for
// deleting one document.
void deleteDocuments(Term... terms);
void deleteDocuments(Query... queries);
```

Index format

- Each Lucene index consists of one or more segments
  - A segment is a standalone index for a subset of documents
  - All segments are searched
  - A segment is created whenever `IndexWriter` flushes adds/deletes
- Periodically, `IndexWriter` will merge a set of segments into a single segment
  - Policy specified by a `MergePolicy`
- You can explicitly invoke `forceMerge()` to merge segments

Basic merge policy

- Segments are grouped into levels
- Segments within a group are roughly equal size (in log space)
- Once a level has enough segments, they are merged into a segment at the next level up

Searching a changing index

```
Directory dir = FSDirectory.open(...);
DirectoryReader reader = DirectoryReader.open(dir);
IndexSearcher searcher = new IndexSearcher(reader);
```

Above `reader` does not reflect changes to the index unless you reopen it. Reopening is more resource efficient than opening a brand new reader.

```
DirectoryReader newReader =
    DirectoryReader.openIfChanged(reader);
If (newReader != null) {
   reader.close();
   reader = newReader;
   searcher = new IndexSearcher(reader);
}
```


Near-real-time search

```
IndexWriter writer = ...;
DirectoryReader reader =
    DirectoryReader.open(writer, true);
IndexSearcher searcher = new IndexSearcher(reader);
```

// Now let us say there's a change to the index using `writer`

```
writer.addDocument(newDoc);

DirectoryReader newReader =
    DirectoryReader.openIfChanged(reader, writer, true);
if (newReader != null) {
   reader.close();
   reader = newReader;
   searcher = new IndexSearcher(reader);
}
```

QueryParser

- Constructor
  - `QueryParser(String defaultField, Analyzer analyzer);`
- Parsing methods
  - `Query parse(String query) throws ParseException;`
  - ... and many more

QueryParser syntax examples

Query expression	Document matches if…
java	Contains the term *java* in the default field
java junit java OR junit	Contains the term *java* or *junit* or both in the default field (*the default operator can be changed to* AND)
+java +junit java AND junit	Contains both *java* and *junit* in the default field
title:ant	Contains the term *ant* in the title field
title:extreme –subject:sports	Contains *extreme* in the title and not *sports* in subject
(agile OR extreme) AND java	Boolean expression matches
title:"junit in action"	Phrase matches in title
title:"junit action"~5	Proximity matches (within 5) in title
java*	Wildcard matches
java~	Fuzzy matches
lastmodified:[1/1/09 TO 12/31/09]	Range matches

Construct `Query`s programmatically

- `TermQuery`
  - Constructed from a `Term`
- `TermRangeQuery`
- `NumericRangeQuery`
- `PrefixQuery`
- `BooleanQuery`
- `PhraseQuery`
- `WildcardQuery`
- `FuzzyQuery`
- `MatchAllDocsQuery`

`IndexSearcher`

- Methods
  - `TopDocs search(Query q, int n);`
  - `Document doc(int docID);`

`TopDocs` and `ScoreDoc`

- `TopDocs` methods
  - Number of documents that matched the search
    `totalHits`
  - Array of `ScoreDoc` instances containing results
    `scoreDocs`
  - Returns best score of all matches
    `getMaxScore()`
- `ScoreDoc` methods
  - Document id
    `doc`
  - Document score
    `score`

Scoring

- Original scoring function uses basic tf-idf scoring with
  - Programmable boost values for certain fields in documents
  - Length normalization
  - Boosts for documents containing more of the query terms
- `IndexSearcher` provides an `explain()` method that explains the scoring of a document

Lucene 5.0 Scoring

- As well as traditional tf.idf vector space model, Lucene 5.0 has:
  - BM25
  - drf (divergence from randomness)
  - ib (information (theory)-based similarity)

```
indexSearcher.setSimilarity(
     new BM25Similarity());
BM25Similarity custom =
     new BM25Similarity(1.2, 0.75); // k1, b
indexSearcher.setSimilarity(custom);
```