

# A Framework for the study of Evolved Term-Weighting Schemes in Information Retrieval

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**Abstract.** Evolutionary algorithms and, in particular, Genetic Programming (GP) are increasingly being applied to the problem of evolving term-weighting schemes in Information Retrieval (IR). One fundamental problem with the solutions generated by these stochastic processes is that they are often difficult to analyse. A number of questions regarding these evolved term-weighting schemes remain unanswered. One interesting question is; do different runs of the GP process bring us to similar points in the solution space?

This paper deals with determining a number of measures of the distance between the ranked lists (phenotype) returned by different term-weighting schemes. Using these distance measures, we develop trees that show the phenotypic distance between these term-weighting schemes. This framework gives us a representation of where these evolved solutions lie in the solution space.

Finally, we evolve several global term-weighting schemes and show that this framework is indeed useful for determining the relative closeness of these schemes and for determining the expected performance on general test data.

## 1 INTRODUCTION

Information retrieval (IR) is concerned with the return of relevant documents from a collection of unstructured documents given a user need. It has been recognized that the effectiveness of vector space approaches to IR depend crucially on the term weighting applied to the terms of the document vectors [15]. These term-weights are typically calculated using term-weighting schemes that assign values to terms based on how useful they are likely to be in determining the relevance of a document. Documents are scored in relation to a query using one of these term-weighting schemes and are returned in a ranked list format.

Genetic Programming (GP) is a biologically inspired search algorithm useful for searching large complex spaces. Inspired by the theory of natural selection, the GP process creates a random population of solutions. These solutions, encoded as trees, undergo generations of selection, reproduction and mutation until suitable solutions are found. As GP is a non-deterministic algorithm it cannot be expected to produce a similar solution each time. Restart theory in GP suggests that it is necessary to restart the GP a number of times in order to achieve good solutions [9]. As a result, an important question regarding the solutions generated by the GP process is; do all the good solutions behave similarly or is the GP bringing us to a different area in the solution space each time?

Recently, IR fusion techniques, that use the rankings from several retrieval systems to determine the final document ranking, have been

shown to increase the performance of IR systems [16]. These techniques only work when the ranked lists from the different retrieval systems return different ranked lists. Thus, when new term-weighting schemes are developed it is important, in many respects, to determine if these new schemes are similar to existing ones in terms of the ranked lists produced, or if indeed they belong to a new family of weighting scheme.

This paper presents a framework for evaluating the distance between the ranked lists produced from different term-weighting schemes in order to understand the relative closeness of these schemes. We develop two different distance measures and show that they are useful in determining how the term-weighting schemes are expected to perform in a general environment. We use these distance measures to create trees visualizing the distances between the weighting schemes.

Section 2 of this paper introduces term-weighting schemes useful for determining the discrimination value of a term. Section 3 introduces the GP process and existing approaches using GP to evolve term-weighting schemes are also discussed. Section 4 introduces our framework and outlines two distance measures. Our experimental setup is outlined in section 5 while section 6 discusses our results. Finally, our conclusions and future work are summarised in section 7.

## 2 INFORMATION RETRIEVAL

### 2.1 Term-Weighting for vector models

Term-weighting schemes assign values to terms based on measures of the term in both a global (collection-wide) and local (document-specific) context. Yu and Salton [19] suggest that the best distinguishing terms are those which occur with a high frequency in certain documents but whose overall frequency across a collection is low (low document frequency). They conclude from this that a term weighting function should vary directly with term frequency and inversely with document frequency. The *idf* scheme, first introduced by Sparck Jones [17], gives a higher weight to terms that occur in fewer documents. The original *idf* measure is often calculated as follows:

$$idf = \log\left(\frac{N + 1}{df_t}\right) \quad (1)$$

where  $N$  is the number of documents in the collection and  $df_t$  is the number of documents containing term  $t$ . A modern weighting scheme developed by Robertson et al. [13] is the BM25 weighting scheme. The global part of this weighting scheme is a variation of the traditional *idf* measure and is calculated as follows:

$$idf_{rsj} = \log\left(\frac{N - df_t + 0.5}{df_t + 0.5}\right) \quad (2)$$

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The *idf* measure forms the basis of many modern term-weighting schemes as it determines what initial weight a search term should receive [12]. It is worth noting that documents are typically not retrieved by *idf* only, and are usually used in conjunction with local measures to aid retrieval performance. However, if we can firstly find out what initial weight a search term should be given, we can then improve upon this by looking at the within-document characteristics to further improve retrieval performance. Developing global weighting schemes separately has been shown to benefit the performance of IR systems [11, 4, 14] and is an important goal in developing full weighting schemes which include local characteristics, like term-frequency and document normalisation. These *idf* type schemes are also used in many other domains within IR to weight features (e.g. document classification).

### 3 GENETIC PROGRAMMING

Genetic Programming [8] is a stochastic searching algorithm, inspired by natural selection. In the GP process, a population of solutions is created randomly (although some approaches seed the initial population with certain known solutions). The solutions are encoded as trees and can be thought of as the genotypes of the individuals. Each tree (genotype) contains nodes which are either functions (operators) or terminals (operands). Each solution is rated based on how it performs in its environment. This is achieved using a fitness function. Having assigned the fitness values, selection can occur. Individuals are selected for reproduction based on their fitness value. Fitter solutions will be selected more often.

Once selection has occurred, reproduction can start. Reproduction (recombination) can occur in variety of ways. Crossover is the main reproductive mechanism in GP. When two solutions are selected from the selection process, their genotypes are combined to create a new individual. One point crossover is the norm for genetic programming. This is where a single point is located in both parents and the sub-trees are swapped at these points to create two new solutions. Mutation (asexual reproduction) is the random change of the value of a gene (or the change of a subtree) to create a new individual.

Selection and recombination occurs until the population is replaced by newly created individuals. Once the recombination process is complete, each individual's fitness in the new generation is evaluated and the selection process starts again. The process usually ends after a predefined number of generations. Bloat is a common phenomenon in GP. Bloat is where solutions grow in size without a corresponding increase in fitness.

#### 3.1 Phenotype

The phenotype of the individual is often described as its behaviour. Selection occurs based on the fitness only. Fitness is determined by the phenotype which is in turn determined by the genotype. As one can imagine, different genotypes can map to the same phenotype, and different phenotypes can have the same fitness. For most problems in GP in an unchanging environment, identical genotypes will map to identical phenotypes which will have the same fitness.

#### 3.2 Previous Research

GP techniques have previously been adopted to evolve weighting functions and are shown to outperform standard weighting schemes in an adhoc framework [6, 10, 18, 4]. However, in many of these approaches a critical analysis of the solutions evolved is not presented.

It is important to gain an understanding of the solutions obtained from these evolutionary processes and have a means of rating the differences between the schemes.

In [7], differences in retrieval systems are analysed using the ranked lists returned from the various systems. The distance between two ranked lists is measured using the number of out-of-order pairs. Using the measure it can then be determined if two systems are in essence the same (i.e. if they return the same ranked lists for a set of queries). Spearman's rank correlation and Kendall's tau are two common correlations that measure the difference between ranked sets of data. Both Spearman's rank correlation and Kendall's tau use all of the ranked data in a pair of ranked lists.

## 4 FRAMEWORK

### 4.1 Phenotypic Distance Measures

Figure 1 shows how the GP paradigm is adopted to evolve term-weighting schemes in IR. We use mean average precision (MAP) as our fitness function as it is a commonly used metric to evaluate the performance of IR systems and is known to be a stable measure [1]. Furthermore, it has been used with success in previous research evolving term-weighting schemes in IR [6, 18].

Genetic Programming terminology for evolving term-weighting for Information Retrieval

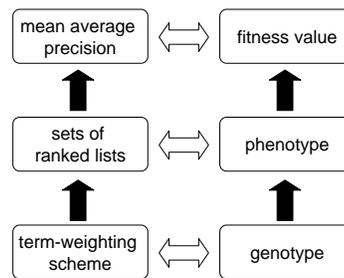


Figure 1. GP for Information Retrieval

For our framework, we measure the phenotype of our solutions by examining the sets of ranked lists returned by the term-weighting solution for a set of topics on a document collection (its environment). Spearman's rank correlation uses all available document ranks from two ranked lists and not just the ranks of relevant documents. We wish to develop distance measures for the parts of the ranked lists which affect the MAP (fitness) of a solution. This is important as the rank of relevant documents is the only direct contributing factor to the fitness of individuals within the GP.

To compare two sets of ranked lists, we introduce a measure which essentially measures the average difference between the ranks of relevant documents in two sets of ranked lists. In this measure, we ignore the ranks of non-relevant documents as they do not contribute to the fitness although they do technically contribute to the phenotype of the individual. This measure will tell us if the same relevant documents are being retrieved at, or close to, the same ranks and will tell us if the weighting schemes are evolving towards solutions

that promote similar features of relevant documents. Thus, one of the phenotypic distance measures ( $dist(a, b)$ ), where  $a$  and  $b$  are two weighting schemes, is defined as follows:

$$\frac{1}{R} \sum_{i \in R} \begin{cases} |lim - r_i(b)| & \text{if } r_i(a) > lim \\ |r_i(a) - lim| & \text{if } r_i(b) > lim \\ |r_i(a) - r_i(b)| & \text{otherwise} \end{cases}$$

where  $R$  is the set of relevant documents in the collection for all of the queries used and  $r_i(a)$  is the rank position of relevant document  $i$  under weighting scheme  $a$ .  $lim$  is the maximum rank position available from a list and is usually 1000 (as this is the usually the maximum rank for official TREC runs). As a result, relevant documents that are ranked outside the top 1000 are treated as being at rank 1000. Thus, when comparing two schemes this measure will tell us how many rank positions, on average, a relevant document is expected to change from scheme  $a$  to scheme  $b$ . Although different parts of the phenotype will impact on the fitness in different amounts (i.e. changes of rank for relevant documents at positions near 1000 do not significantly effect the MAP) they are an important part in distinguishing the behaviour of the phenotype. The change in position at high ranks can tell us about certain features of weighting scheme and the behaviour at these ranks.

We also develop a second measure of the distance between two ranked lists which takes into account the effect a change in rank has on MAP. To measure the actual difference a change in rank could make in terms of MAP, we modify the  $dist(a, b)$  measure so that the change in rank of a relevant document is weighted on how it effects MAP. This weighted distance measure ( $w\_dist(a, b)$ ) is similar to the measure described in [2] and is calculated as follows:

$$\frac{1}{Q} \sum_{q \in Q} \frac{1}{R_q} \sum_{i \in R_q} \begin{cases} \left| \frac{1}{lim} - \frac{1}{r_i(b)} \right| & \text{if } r_i(a) > lim \\ \left| \frac{1}{r_i(a)} - \frac{1}{lim} \right| & \text{if } r_i(b) > lim \\ \left| \frac{1}{r_i(a)} - \frac{1}{r_i(b)} \right| & \text{otherwise} \end{cases}$$

where  $Q$  is the number of queries and  $R_q$  is the relevant documents for a query  $q$ . This measure tells us how a change in rank of a relevant document will affect the MAP (i.e. changes of rank at positions close to 1000 will not change the MAP significantly, while changes of rank in the top 10 may change MAP considerably). Of course, it is entirely possible that two ranked lists could be considerably different yet have a similar MAP, as they may be promoting different relevant documents.

## 4.2 Neighbour-joining trees

Neighbour-joining is a bottom-up clustering method often used for the creation of phylogenetic trees. However, we use the method to produce trees that represent solutions that are from *different* runs of our GP. The algorithm requires knowledge of the distance between entities that are to be represented in the tree. A distance matrix is created for the set of entities using a distance measure and the tree can then be produced from the resulting data. We use this clustering technique to visualize the phenotypic distance between the best solutions output by our GP. For example, if we have  $N$  entities or solutions, we can create an  $N \times N$  distance matrix using one of our distance measures. Then, using this distance matrix, we can then create a tree using a suitable drawing package [3] which represents the data and can provide a visualisation into where our solutions lie in relation to each other. This model is also well suited to our evolutionary paradigm. We use this technique simply to visualise the distance between our term-weighting solutions which are developed using GP.

## 5 EXPERIMENTAL SETUP

### 5.1 Approach Adopted

We evolve global term-weighting schemes in the following framework:

$$score(d, q) = \sum (gw_t \times qtf) \quad (3)$$

where  $score(d, q)$  is the score a document  $d$  receives in relation to a query  $q$ ,  $gw_t$  is the global weighting and  $qtf$  is the frequency of the term in the query. All documents in the collection are scored in relation to the query and ranked accordingly. We are only evolving the global (term-discrimination) part of the weighting scheme as an example of our framework. However, the entirety of the term-weighting scheme can be evolved and analysed in a similar manner.

### 5.2 Training and Test Collections

We use collections from TREC disks 4 and 5 as our test collections. A different set of 50 TREC topics is used for each of the collections (apart from the Federal Register collection (FR) for which we use 100 TREC topics). For each set of topics we create a medium length query set (m), consisting of the title and description fields, and a long query set (l) consisting of the title, description and narrative fields. We also use documents from the OHSUMED collection as a test collection for medium length queries (OH90-91). We only use the topics in these sets that have relevant documents in the collection.

The TRAIN collection (used in training) consists of 35,412 documents from the OHSUMED collection and the 63 topics. The lengths of these topics range from 2 to 9 terms. Standard stop-words from the Brown Corpus<sup>2</sup> are removed and remaining words are stemmed using Porter's algorithm. No additional words are removed from the narrative fields as is the case in some approaches. Table 1 shows some characteristics of the document collections used in this research.

**Table 1.** Document Collections

Collection	#Docs	#words/doc	#Topics	medium	long
TRAIN	35,412	72.7	0-63	4.96	None
LATIMES	131,896	251.7	301-350	9.9	29.9
FBIS	130,471	249.9	351-400	7.9	21.9
FT91-93	138,668	221.8	401-450	6.5	18.7
FR	55,630	387.1	301-400	8.9	25.9
OH90-91	148,162	81.4	0-63	4.96	None

### 5.3 Terminal and Function Set

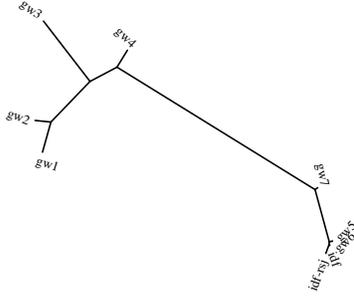
Tables 2 and 3 show the functions and terminals that are used in all runs of the GP.

### 5.4 GP parameters

We use MAP as our fitness function. All tests are run for 50 generations with an initial random population of 100 solutions on the training collection (TRAIN) detailed in Table 1. The tournament size is set to 3. We restrict all trees to a depth of 6. As a result this has the effect of reducing bloat, improving generalisation, reducing the search space and increasing the speed of the GP. As our highest order operator is binary, the longest individual we can have can contain 63

<sup>2</sup> <http://www.lextek.com/manuals/onix/stopwords1.html>





1—Spearman's rank correlation

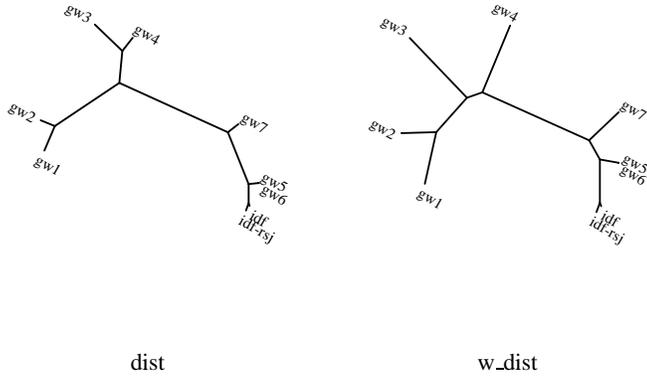


Figure 3. Neighbour-Joining trees for global weightings

Firstly, from Figure 3 we can see that the phenotypic distance measures produce trees of a similar structure. The only difference in form is that  $gw_3$  and  $gw_4$  are clustered together directly using the unweighted  $dist$  measure. It is important to note that the trees visualize different aspects of the ranked lists. For example, the distance between the top four performing schemes ( $gw_1$  to  $gw_4$ ) and the remaining schemes is greater in the tree created from Spearman's rank correlation than for the other two trees. This is because Spearman's rank correlation uses the ranks of non-relevant documents. Looking at the tree produced by the  $dist(a, b)$  measure, we can see that  $gw_3$  and  $gw_4$  are quite similar in terms of the actual ranks of relevant documents. However, when looking at the tree produced by  $w\_dist(a, b)$  for these two schemes, we can see that some of these differences are at low ranks as the possible difference in MAP is quite large.

In general, we can see that  $idf_{r,sj}$ ,  $idf$ ,  $gw_5$  and  $gw_6$  are phenotypically close. Schemes  $gw_5$  and  $gw_6$  are actually phenotypically equivalent (i.e. return the same ranked lists) but not genotypically equivalent. The two versions of  $idf$  are very close. Schemes  $gw_1$  and  $gw_2$  are also phenotypically close while  $gw_3$  and  $gw_4$  are somewhat

similar. An important point to note is that as we get phenotypically further from the best solution ( $gw_1$ ) we see a relative drop in MAP on our training collection. This indicates that the solutions are evolving towards the ranked lists (on the training set) that are produced by  $gw_1$ . Obviously, phenotypically close solutions will have a similar fitness but it is not necessarily true that solutions with a similar fitness will have a similar phenotype (e.g. as one can imagine that there exists many poor performing functions which return equally bad but different ranked lists). It is worth noting that these trees should be produced from the training data as this is the environment where the solutions were evolved. However, these trees can help us to predict the behaviour of the schemes on general data (if our training data is a representative sample).

Tables 8 and 9 show the MAP of all schemes for unseen test data on medium and long queries. Firstly, we can see that the differences in MAP between the evolved weightings and  $idf_{r,sj}$  are all statistically significant ( $p < 0.05$ ) using a two-tailed t-test. Both version of  $idf$  perform similarly as expected. We can see that  $gw_1$  is no longer the best evolved weighting scheme, although it is still significantly better than  $idf$ . Schemes  $gw_2$ ,  $gw_3$  and  $gw_4$  are now the best performing schemes on most of the collections. Schemes  $gw_5$  and  $gw_6$  still perform only slightly better than  $idf_{r,sj}$ , while  $gw_7$  still performs slightly better than these again. It would seem that  $gw_1$  has overtrained slightly on the training collection. It is also worth pointing out that our training set seems to be quite general as most of the schemes perform similarly on test data. If we look at the genotypes of some of the schemes it leads us to a similar conclusion. We have re-written the following formulas in a more intuitive manner to provide transparency to the process. As a result, the re-written formulas may also be shorter (in depth) than those that were evolved originally.

$$gw_1 = \frac{V^2 cf^2 \sqrt{cf}}{C \cdot df^3} + \sqrt{cf} \quad gw_2 = \frac{cf^2 \sqrt{cf}}{df^3}$$

$$gw_3 = \sqrt{(\log(\frac{cf}{df}))^2 \times \frac{N}{df} \times (\frac{N^2}{df} + 1)}$$

$$gw_4 = \sqrt{\frac{cf^3 N}{df^4}} \quad gw_5 = \sqrt{\sqrt{\frac{0.5}{df}}}$$

$$gw_6 = \sqrt{\frac{\sqrt{df}}{df}} \quad gw_7 = \sqrt{\frac{\sqrt{cf/N}}{df^2}}$$

We can see that  $gw_1$  is a more specific form of  $gw_2$ . Schemes  $gw_5$  and  $gw_6$  are an example of two different genotypes producing the same ranked lists.  $gw_6$  will produce a score that is always double that of  $gw_5$ . We are evolving towards a ranked list on the training collection that is produced by the best two schemes ( $gw_1$  and  $gw_2$ ). The  $gw_2$  scheme is a more general form of  $gw_1$  and performs consistently better on our test data. The  $gw_3$  scheme contains a problematic  $\log(cf/df)$  that will assign certain low frequency terms a zero weight [5] and makes it a poor choice for weighting in a retrieval context. This can be seen on the results for the FR collection when compared to one of its nearest neighbours  $gw_4$ . When looking at the individual queries for this collection (FR), we have determined that the difference between  $gw_4$  and the other top schemes ( $gw_1$  to  $gw_3$ ) is only large for a very small number of queries. As a result it can be

**Table 8.** % MAP for *idf* and global weightings for Medium Queries

Collection	Topics	<i>idf</i>	<i>idf<sub>r,s,j</sub></i>	<i>gw<sub>1</sub></i>	<i>gw<sub>2</sub></i>	<i>gw<sub>3</sub></i>	<i>gw<sub>4</sub></i>	<i>gw<sub>5</sub></i>	<i>gw<sub>6</sub></i>	<i>gw<sub>7</sub></i>
LATIMES	301-350 (m)	19.11	19.16	21.80	22.49	23.48	22.98	20.92	20.92	21.12
FBIS	351-400 (m)	10.30	10.41	15.16	15.68	14.55	14.33	11.61	11.61	11.72
FT91-93	401-450 (m)	27.38	28.15	27.52	27.86	27.56	27.92	27.04	27.04	27.10
FR	301-400 (m)	25.87	24.89	25.12	25.71	21.31	28.72	25.49	25.49	27.39
OH90-91	0-63 (m)	21.68	21.72	24.96	25.69	25.02	25.28	22.96	22.96	23.68
$\approx p\text{-value}$	241 Topics	0.272	-	0.004	0.0001	0.0001	0.0001	0.018	0.018	0.021

**Table 9.** % MAP for *idf* and global weightings for Long Queries

Collection	Topics	<i>idf</i>	<i>idf<sub>r,s,j</sub></i>	<i>gw<sub>1</sub></i>	<i>gw<sub>2</sub></i>	<i>gw<sub>3</sub></i>	<i>gw<sub>4</sub></i>	<i>gw<sub>5</sub></i>	<i>gw<sub>6</sub></i>	<i>gw<sub>7</sub></i>
LATIMES	301-350 (l)	13.57	13.79	21.60	24.27	24.78	24.30	16.37	16.37	16.63
FBIS	351-400 (l)	06.76	06.97	12.30	13.32	14.07	13.84	08.34	08.34	09.01
FT91-93	401-450 (l)	23.11	23.13	27.17	28.28	28.31	29.13	24.95	24.95	25.80
FR	301-400 (l)	16.23	16.95	22.78	22.75	20.86	27.83	19.84	19.84	19.92
$\approx p\text{-value}$	241 Topics	0.300	-	0.0001	0.0001	0.0001	0.0001	0.0001	0.0001	0.0001

concluded that *gw<sub>4</sub>* promotes certain useful features that are different than those of the rest of the schemes. These differences are noticeable on the FR collection because of its makeup. The *gw<sub>4</sub>* scheme seems to be a particularly robust global weighting scheme as shown on the test data. The difference between *gw<sub>4</sub>* and *gw<sub>3</sub>*, for example, is not statistically significant. However, we know that *gw<sub>4</sub>* has advantageous retrieval features (as seen on the FR collection) for certain (albeit few) queries.

## 7 CONCLUSION

We have introduced two metrics that measure the distance between the ranked lists returned by different term-weighting schemes. These measures are useful for determining the closeness of term-weighting schemes and for analysing the solutions without the need to analyse the exact form (genotype) of a term-weighting scheme. This framework can be used for all types of term-weighting schemes and also fits well into the genetic programming paradigm.

The distance matrices produced from these distance measures can be used to produce trees that aid visualization of the solution space. The trees produced are also useful in determining the relative performance of the solutions on general test data. We have also shown that all the evolved global weighting schemes produced are evolving to a area of the solution space that is different from the types of *idf* currently being used to measure the discrimination value of a term. In future work, we intend to apply this framework to analyse entire term-weighting schemes which have been evolved.

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