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**CT4101**

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Machine Learning

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# 1 Introduction

## 1.1 Lecturer Contact Details

- Dr. Frank Glavin.
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## 1.2 Grading

- Continuous Assessment: 30% (2 assignments, worth 15% each).
- Written Exam: 70% (Last 2 year's exam papers most relevant).

## 1.3 Module Overview

**Machine Learning (ML)** allows computer programs to improve their performance with experience (i.e., data). This module is targeted at learners with no prior ML experience, but with university experience of mathematics & statistics and **strong** programming skills. The focus of this module is on practical applications of commonly used ML algorithms, including deep learning applied to computer vision. Students will learn to use modern ML frameworks (e.g., scikit-learn, Tensorflow / Keras) to train & evaluate models for common categories of ML task including classification, clustering, & regression.

### 1.3.1 Learning Objectives

On successful completion, a student should be able to:

1. Explain the details of commonly used Machine Learning algorithms.
2. Apply modern frameworks to develop models for common categories of Machine Learning task, including classification, clustering, & regression.
3. Understand how Deep Learning can be applied to computer vision tasks.
4. Pre-process datasets for Machine Learning tasks using techniques such as normalisation & feature selection.
5. Select appropriate algorithms & evaluation metrics for a given dataset & task.
6. Choose appropriate hyperparameters for a range of Machine Learning algorithms.
7. Evaluate & interpret the results produced by Machine Learning models.
8. Diagnose & address commonly encountered problems with Machine Learning models.
9. Discuss ethical issues & emerging trends in Machine Learning.

## 2 What is Machine Learning?

There are many possible definitions for “machine learning”:

- Samuel, 1959: “Field of study that gives computers the ability to learn without being explicitly programmed”.
- Witten & Frank, 1999: “Learning is changing behaviour in a way that makes *performance* better in the future”.
- Mitchell, 1997: “Improvement with experience at some task”. A well-defined ML problem will improve over task  $T$  with regards to **performance** measure  $P$ , based on experience  $E$ .
- Artificial Intelligence  $\neq$  Machine Learning  $\neq$  Deep Learning.
- Artificial Intelligence  $\not\supseteq$  Machine Learning  $\not\supseteq$  Deep Learning.

Machine Learning techniques include:

- Supervised learning.
- Unsupervised learning.
- Semi-Supervised learning.
- Reinforcement learning.

Major types of ML task include:

1. Classification.
2. Regression.
3. Clustering.
4. Co-Training.
5. Relationship discovery.
6. Reinforcement learning.

Techniques for these tasks include:

1. **Supervised learning:**

- **Classification:** decision trees, SVMs.
- **Regression:** linear regression, neural nets,  $k$ -NN (good for classification too).

2. **Unsupervised learning:**

- **Clustering:**  $k$ -Means, EM-clustering.
- **Relationship discovery:** association rules, bayesian nets.

3. **Semi-Supervised learning:**

- **Learning from part-labelled data:** co-training, transductive learning (combines ideas from clustering & classification).

4. **Reward-Based:**

- **Reinforcement learning:** Q-learning, SARSA.

In all cases, the machine searches for a **hypothesis** that best describes the data presented to it. Choices to be made include:

- How is the hypothesis expressed? e.g., mathematical equation, logic rules, diagrammatic form, table, parameters of a model (e.g. weights of an ANN), etc.
- How is search carried out? e.g., systematic (breadth-first or depth-first) or heuristic (most promising first).
- How do we measure the quality of a hypothesis?
- What is an appropriate format for the data?
- How much data is required?

To apply ML, we need to know:

- How to formulate a problem.

- How to prepare the data.
- How to select an appropriate algorithm.
- How to interpret the results.

To evaluate results & compare methods, we need to know:

- The separation between training, testing, & validation.
- Performance measures such as simple metrics, statistical tests, & graphical methods.
- How to improve performance.
- Ensemble methods.
- Theoretical bounds on performance.

## 2.1 Data Mining

**Data Mining** is the process of extracting interesting knowledge from large, unstructured datasets. This knowledge is typically non-obvious, comprehensible, meaningful, & useful.

The storage “law” states that storage capacity doubles every year, faster than Moore’s “law”, which may result in write-only “data tombs”. Therefore, developments in ML may be essential to be able to process & exploit this lost data.

## 2.2 Big Data

**Big Data** consists of datasets of scale & complexity such that they can be difficult to process using current standard methods. The data scale dimensions are affected by one or more of the “3 Vs”:

- **Volume:** terabytes & up.
- **Velocity:** from batch to streaming data.
- **Variety:** numeric, video, sensor, unstructured text, etc.

It is also fashionable to add more “Vs” that are not key:

- **Veracity:** quality & uncertainty associated with items.
- **Variability:** change / inconsistency over time.
- **Value:** for the organisation.

Key techniques for handling big data include: sampling, inductive learning, clustering, associations, & distributed programming methods.

## 3 Introduction to Python

**Python** is a general-purpose high-level programming language, first created by Guido van Rossum in 1991. Python programs are interpreted by an *interpreter*, e.g. **CPython** – the reference implementation supported by the Python Software Foundation. CPython is both a compiler and an interpreter as it first compiles Python code into bytecode before interpreting it.

Python interpreters are available for a wide variety of operating systems & platforms. Python supports multiple programming paradigms, including procedural programming, object-oriented programming, & functional programming. Python is **dynamically typed**, unlike languages such as C, C++, & Java which are *statically typed*, meaning that many common error checks are deferred until runtime in Python, whereas in a statically typed language like Java these checks are performed during compilation.

Python uses **garbage collection**, meaning that memory management is handled automatically and there is no need for the programmer to manually allocate & de-allocate chunks of memory.

Python is used for all kinds of computational tasks, including:

- Scientific computing.
- Data analytics.
- Artificial Intelligence & Machine Learning.
- Computer vision.
- Web development / web apps.
- Mobile applications.
- Desktop GUI applications.

While having relatively simple syntax and being easy to learn for beginners, Python also has very advanced functionality. It is one of the most widely used programming languages, being both open source & freely available. Python programs will run almost anywhere that there is an installation of the Python interpreter. In contrast, many languages such as C or C++ have separate binaries that must be compiled for each specific platform & operating system.

Python has a wide array of libraries available, most of which are free & open source. Python programs are usually much shorter than the equivalent Java or C++ code, meaning less code to write and faster development times for experienced Python developers. Its brevity also means that the code is easier to maintain, debug, & refactor as much less source code is required to be read for these tasks. Python code can also be run without the need for ahead-of-time compilation (as in C or C++), allowing for faster iterations over code versions & faster testing. Python can also be easily extended & integrated with software written in many other programming languages.

Drawbacks of using Python include:

- **Efficiency:** Program execution speed in Python is typically a lot slower than more low-level languages such as C or C++. The relative execution speed of Python compared to C or C++ depends a lot on coding practices and the specific application being considered.
- **Memory Management** in Python is less efficient than well-written C or C++ code although these efficiency concerns are not usually a major issues, as compute power & memory are now relatively cheap on desktop, laptop, & server systems. Python is used in the backend of large web services such as Spotify & Instagram, and performs adequately. However, these performance concerns may mean that Python is unsuitable for some performance-critical applications, e.g. resource-intensive scientific computing, embedded devices, automotive, etc. Faster alternative Python implementations such as **PyPy** are also available, with PyPy providing an average of a four-fold speedup by implementing advanced compilation techniques. It's also possible to call code that is implemented in C within Python to speed up performance-critical sections of your program.
- **Dynamic typing** can make code more difficult to write & debug compared to statically-typed languages, wherein the compiler checks that all variable types match before the code is executed.
- **Python2 vs Python3:** There are two major version of Python in widespread use that are not compatible with each other due to several changes that were made when Python3 was introduced. This means that some libraries that were originally written in Python2 have not been ported over to Python3. Python2 is now mostly used only in legacy business applications, while most new development is in Python3. Python2 is no longer supported or receives updates as of 2020.

### 3.1 Running Python Programs

Python programs can be executed in a variety of different ways:

- through the Python interactive shell on your local machine.
- through remote Python interactive shells that are accessible through web browsers.
- by using the console of your operating system to launch a standalone Python script (.py file).
- by using an IDE to launch a .py file.
- as GUI applications using libraries such as Tkinter PyQt.
- as web applications that provide services to other computers, e.g. by using the Flask framework to create a web server with content that can be accessed using web browsers.
- through Jupyter / JupyterLab notebooks, either hosted locally on your machine or cloud-based Jupyter notebook execution environments such as Google Colab, Microsoft Azure Notebooks, Binder, etc.

### 3.2 Hello World

The following programs writes “Hello World!” to the screen.

```
1 print("Hello World!")
```

Listing 1: helloworld.py

### 3.3 PEP 8 Style Guide

**PEPs (Python Enhancement Proposals)** describe & document the way in which the Python language evolves over time, e.g. addition of new features. Backwards compatibility policy etc. PEPs can be proposed, then accepted or rejected. The full list is available at <https://www.python.org/dev/peps/>. **PEP 8** gives coding conventions for the Python code comprising the standard library in the main Python distribution. See: <https://www.python.org/dev/peps/pep-0008/>. It contains conventions for the user-defined names (e.g., variables, functions, packages), as well as code layout, line length, use of blank lines, style of comments, etc.

Many professional Python developers & companies adhere to (at least some of) the PEP8 conventions. It is important to learn to follow these conventions from the start, especially if you want to work with other programmers, as experienced Python developers will often flag violations of the PEP 8 conventions during code reviews. Of course, many companies & open-source software projects have defined their own internal coding style guidelines which take precedence over PEP 8 in the case of conflicts. Following PEP 8 conventions is relatively easy if you are using a good IDE, e.g. PyCharm automatically finds & alerts you to violations of the PEP 8 conventions.

#### 3.3.1 Variable Naming Conventions

According to PEP 8, variable names “should be lowercase, with words separated by underscores as necessary to improve readability”, i.e. snake\_case. “Never use the characters `l`, `0`, or `I` as single-character variable names. In some fonts, these characters are indistinguishable from the numerals one & zero. When tempted to use `l`, use `L` instead”. According to PEP 8, different naming conventions are used for different identifiers, e.g.: “Class names should normally use the CapWords convention”. This helps programmers to quickly & easily distinguish which category an identifier name represents.

#### 3.3.2 Whitespace in Python

A key difference between Python and other languages such as C is that whitespace has meaning in Python. The PEP 8 style guidelines say to “Use 4 spaces per indentation level”, not 2 spaces, and not a tab character. This applies to all indented code blocks.

### 3.4 Dynamic Typing

In Python, variable names can point to objects of any type. Built-in data types in python include *str*, *int*, *float*, etc. Each type can hold a different type of data. Because variables in Python are simply pointers to objects, the variable names themselves do not have any attached type information. Types are linked not to the variable names but to the objects themselves.

```

1 x = 4
2 print(type(x)) # prints "<class 'int'>" to the console
3 x = "Hello World!"
4 print(type(x)) # prints "<class 'str'>" to the console
5 x = 3.14159
6 print(type(x)) # prints "<class 'float'>" to the console

```

Listing 2: Dynamic Typing Example

Note that `type()` is a built-in function that returns the type of any object that is passed to it as an argument. It returns a **type object**.

Because the type of object referred to by a variable is not known until runtime, we say that Python is a **dynamically typed language**. In **statically typed languages**, we must declare the type of a variable before it is used: the type of every variable is known before runtime.

Another important difference between Python and statically typed languages is that we do not need to declare variables before we use them. Assigning a value to a previously undeclared variable name is fine in Python.

### 3.5 Modules, Packages, & Virtual Environments

#### 3.5.1 Modules

A **module** is an object that serves as an organisational unit of Python code. Modules have a *namespace* containing arbitrary Python objects and are loaded into Python by the process of *importing*. A module is essentially a file containing Python definitions & statements.

Modules can be run either as standalone scripts or they can be **imported** into other modules so that their built-in variables, functions, classes, etc. can be used. Typically, modules group together statements, functions, classes, etc. with related functionality. When developing larger programs, it is convenient to split the source code up into separate modules. As well as creating our own modules to break up our source code into smaller units, we can also import built-in modules that come with Python, as well as modules developed by third parties.

Python provides a comprehensive set of built-in modules for commonly used functionality, e.g. mathematical functions, date & time, error handling, random number generation, handling command-line arguments, parallel processing, networking, sending email messages, etc. Examples of modules that are built-in to Python include `math`, `string`, `argparse`, `calendar`, etc. The `math` module is one of the most commonly used modules in Python, although the functions in the `math` module do not support complex numbers; if you require complex number support, you can use the `cmath` module. A full list of built-in modules is available at <https://docs.python.org/3/py-modindex.html>.

#### 3.5.2 Packages

**Packages** are a way of structuring Python's module namespace by using "dotted module names": for example, the module name `A.B` designates a submodule named `B` in a package `A`. Just like the use of modules saves the authors of different modules from having to worry about each other's global variable names, the use of dotted module names saves the authors of multi-module packages like `NumPy` or `Pillow` from having to worry about each other's module names. Individual modules can be imported from a package: `import sound.effects.echo`.

PEP 8 states that "Modules should have short, all-lowercase names. Underscores can be used in the module name if it

improves readability. Python packages should also have short, all-lowercase names, although the use of underscores is discouraged.”

### 3.5.3 Managing Packages with pip

**pip** can be used to install, upgrade, & remove packages and is supplied by default with your Python installation. By default, **pip** will install packages from the Python Package Index (PyPI) <https://pypi.org>. You can browse the Python Package Index by visiting it in your web browser. To install packages from PyPI:

```
1 python -m pip install projectname
```

To upgrade a package to the latest version:

```
1 python -m pip install --upgrade projectname
```

### 3.5.4 Virtual Environments

Python applications will often use packages & modules that don’t come as part of the standard library. Applications will sometimes need a specific version of a library, because the application may require that a particular bug has been fixed or the application may have been written using an obsolete version of the library’s interface. This means that it may not be possible for one Python installation to meet the requirements of every application. If application *A* needs version 1.0 of a particular module but application *B* needs version 2.0, then the requirements are in conflict and installing either version 1.0 or 2.0 will leave one application unable to run. The solution for this problem is to create a **virtual environment**, a self-contained directory tree that contains a Python installation for a particular version of Python plus a number of additional packages. Different applications can then use different virtual environments.

By default, most IDEs will create a new virtual environment for each new project created. It is also possible to set up a project to run on a specific pre-configured virtual environment. The built-in module `venv` can also be used to create & manage virtual environments through the console.

To use the `venv` module, first decide where you want the virtual environment to be created, then open a command line at that location use the command `python -m venv environmentname` to create a virtual environment with the specified name. You should then see the directory containing the virtual environment appear on the file system, which can then be activated using the command `source environmentname/bin/activate`.

To install a package to a virtual environment, first activate the virtual environment that you plan to install it to and then enter the command `python -m pip install packagename`.

If you have installed packages to a virtual environment, you will need to make that virtual environment available to Jupyter Lab so that your `.ipynb` files can be executed on the correct environment. You can use the package `ipykernel` to do this.

## 4 Classification

### 4.1 Supervised Learning Principles

Recall from before that there are several main types of machine learning techniques, including **supervised learning**, unsupervised learning, semi-supervised learning, & reinforcement learning. Supervised learning tasks include both **classification** & regression.

The task definition of supervised learning is to, given examples, return a function  $h$  (hypothesis) that approximates some “true” function  $f$  that (hypothetically) generated the labels for the examples. We need to have a set of examples called the **training data**, each having a **label** & a set of **attributes** that have known **values**.

We consider the labels (classes) to be the outputs of some function  $f$ : the observed attributes are its inputs. We

denote the attribute value inputs  $x$  and labels are their corresponding outputs  $f(x)$ . An example is a pair  $(x, f(x))$ . The function  $f$  is unknown, and we want to discover an approximation of it  $h$ . We can then use  $h$  to predict labels of new data (generalisation). This is also known as **pure inductive learning**.

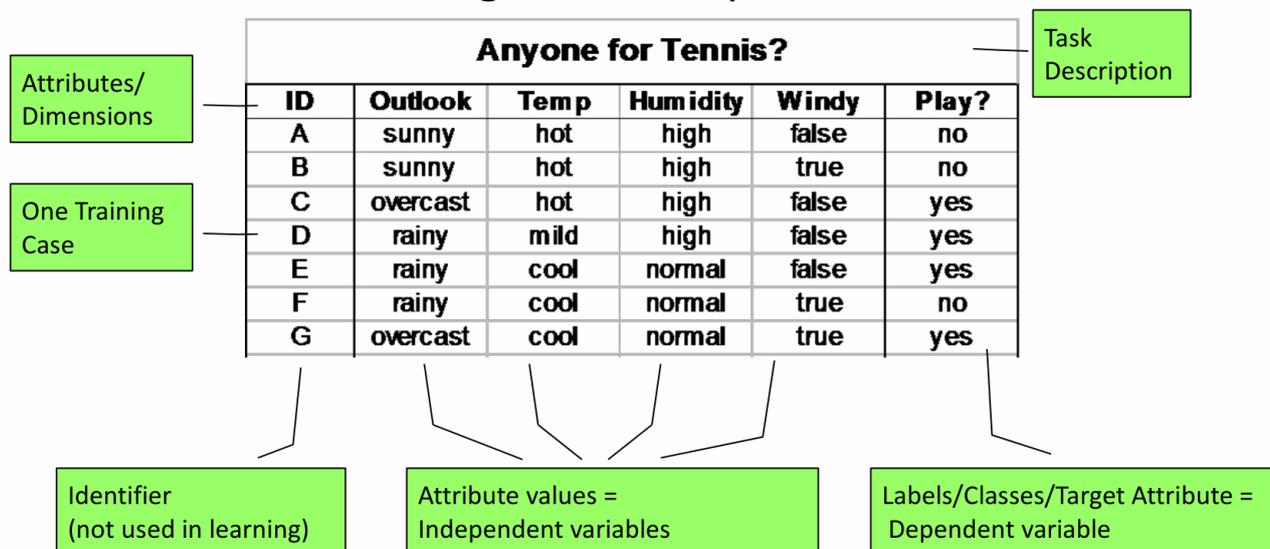


Figure 1: Training Data Example for a Classification Task

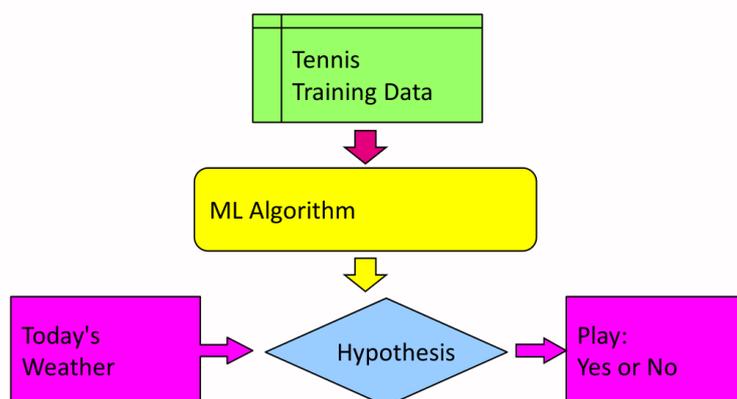


Figure 2: Overview of the Supervised Learning Process

## 4.2 Introduction to Classification

The simplest type of classification task is where instances are assigned to one of two categories: this is referred to as a **binary classification task** or two-class classification task. Many popular machine learning problems fall into this category:

- Is cancer present in a scan? (Yes / No).
- Should this loan be approved? (Yes / No).
- Sentiment analysis in text reviews of products (Positive / Negative).
- Face detection in images (Present / Not Present).

The more general form of classification task is the **multi-class classification** where the number of classes is  $\geq 3$ .

### 4.2.1 Example Binary Classification Task

Objective: build a binary classifier to predict whether a new previously unknown athlete who did not feature in the dataset should be drafted.

There are 20 examples in the dataset, see `college_athletes.csv` on Canvas.

The college athlete's dataset contains two attributes:

- Speed (continuous variable).
- Agility (continuous variable).

The target data: whether or not each athlete was drafted to a professional team (yes / no).

| College Athletes |       |         |       |
|------------------|-------|---------|-------|
| ID               | Speed | Agility | Draft |
| 1                | 2.5   | 6       | no    |
| 2                | 3.75  | 8       | no    |
| 3                | 2.25  | 5.5     | no    |
| 4                | 3.25  | 8.25    | no    |
| 5                | 2.75  | 7.5     | no    |
| 6                | 4.5   | 5       | no    |
| 7                | 3.5   | 5.25    | no    |
| 8                | 3     | 3.25    | no    |
| 9                | 4     | 4       | no    |
| 10               | 4.25  | 3.75    | no    |
| 11               | 2     | 2       | no    |
| 12               | 5     | 2.5     | no    |
| 13               | 8.25  | 8.5     | no    |
| 14               | 5.75  | 8.75    | yes   |
| 15               | 4.75  | 6.25    | yes   |
| 16               | 5.5   | 6.75    | yes   |
| 17               | 5.25  | 9.5     | yes   |
| 18               | 7     | 4.25    | yes   |
| 19               | 7.5   | 8       | yes   |
| 20               | 7.25  | 5.75    | yes   |

Figure 3: Example Dataset for a Binary Classification Task

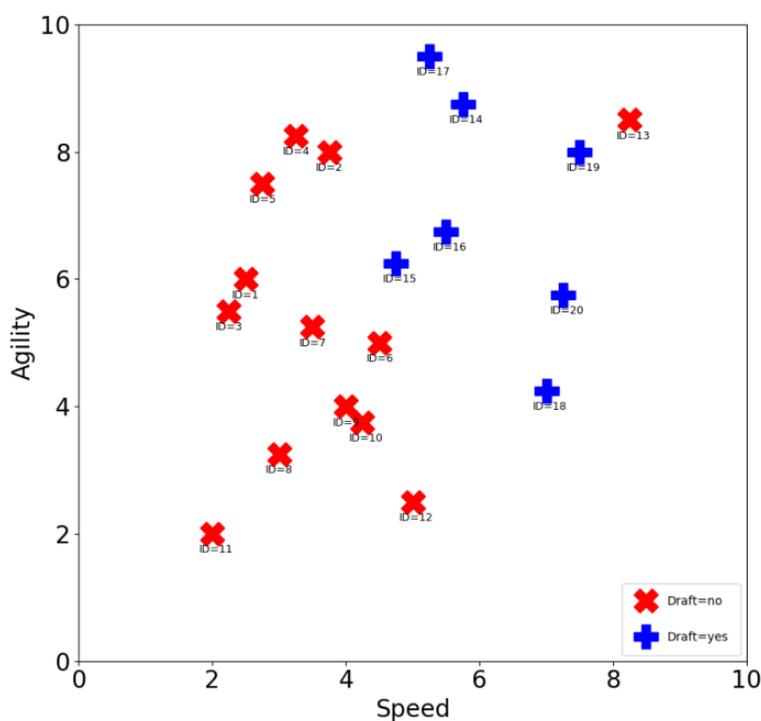


Figure 4: Feature Space Plot for the College Athlete's Dataset

We want to decide on a reasonable **decision boundary** to categorise new unseen examples, such as the one denoted by the purple question mark below. We need algorithms that will generate a hypothesis / model consistent with the training data. Is the decision boundary shown below in thin black lines a good one? It is consistent with all of the training data, but it was drawn manually; in general, it won't be possible to manually draw such decision boundaries when dealing with higher dimensional data (e.g., more than 3 features).

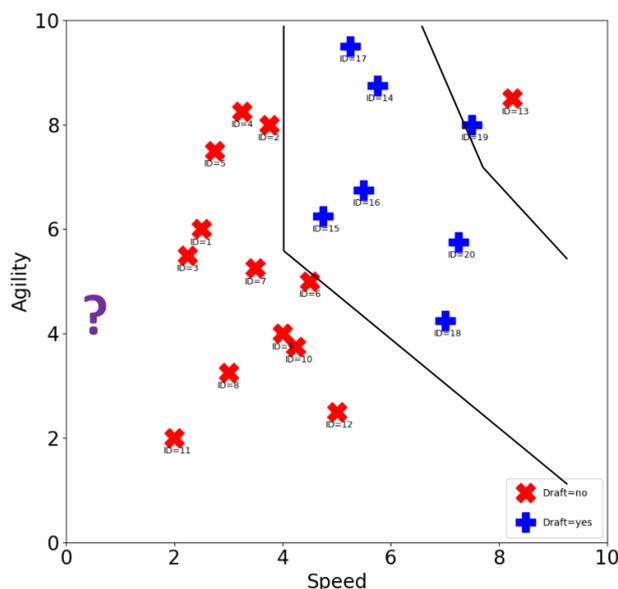


Figure 5: Feature Space Plot for the College Athlete's Dataset

#### 4.2.2 Example Classification Algorithms

There are many machine learning algorithms available to learn a classification hypothesis / model. Some examples (with corresponding scikit-learn classes) are:

- $k$ -nearest neighbours: scikit-learn `KNeighboursClassifier`.
- Decision trees: scikit-learn `DecisionTreeClassifier`.
- Gaussian Processes: scikit-learn `GaussianProcessClassifier`.
- Neural networks: scikit-learn `MLPClassifier`.
- Logistic regression: scikit-learn `LogisticRegression`. Note that despite its name, logistic regression is a linear model for classification rather than regression.

#### 4.2.3 Logistic Regression on the College Athletes Dataset

Below is an example of a very simple hypothesis generated using an ML model – a linear classifier created using the scikit-learn `LogisticRegression` with the default settings.

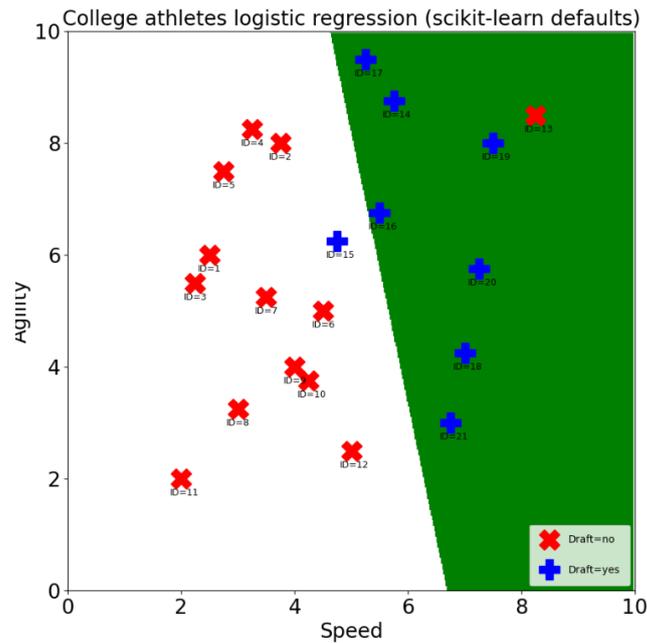


Figure 6: Logistic Regression on the College Athletes Dataset

Is this a good decision boundary?  $\frac{19}{21}$  training examples correct = 90.4% accuracy. Note how the decision boundary is a straight line (in 2D). Note also that using logistic regression makes a strong underlying assumption that the data is **linearly separable**.

#### 4.2.4 Decision Tree on the College Athletes Dataset

Below is an example of a more complex hypothesis, generated using the scikit-learn `DecisionTreeClassifier` with the default settings.

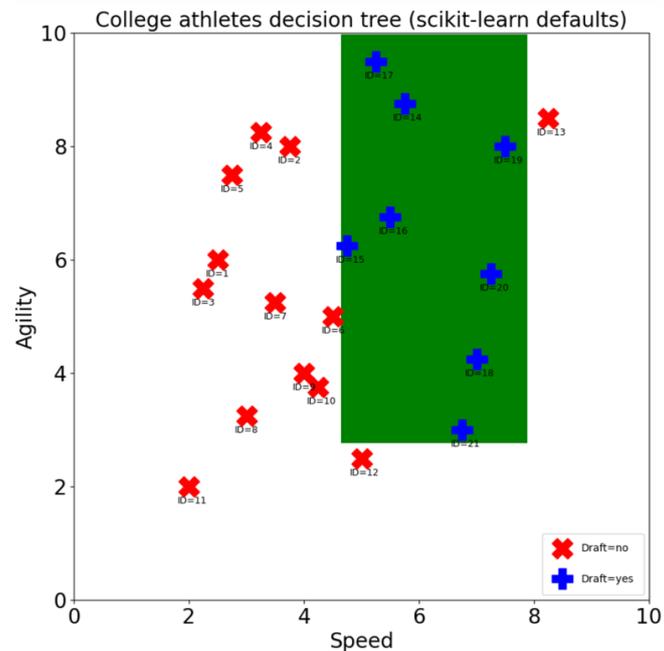


Figure 7: Decision Tree on the College Athletes Dataset

Note the two linear decision boundaries: this is a very different form of hypothesis compared to logistic regression. Is this a good decision boundary?  $\frac{21}{21}$  training examples correct = 100% accuracy.

### 4.2.5 Gaussian Process on the College Athletes Dataset

Below is an example of a much more complex hypothesis generated using the scikit-learn `GaussianProcessClassifier` with the default settings.

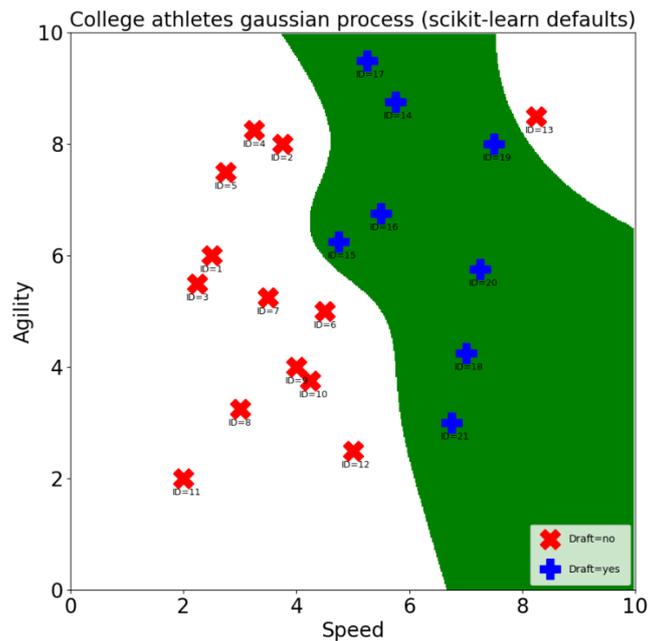


Figure 8: Gaussian Process on the College Athletes Dataset

Note the smoothness of the decision boundary compared to the other methods. Is this a good decision boundary?  $\frac{21}{21}$  training examples correct = 100% accuracy.

Which of the three models explored should we choose? It's complicated; we need to consider factors such as accuracy of the training data & independent test data, complexity of the hypothesis, per-class accuracy etc.

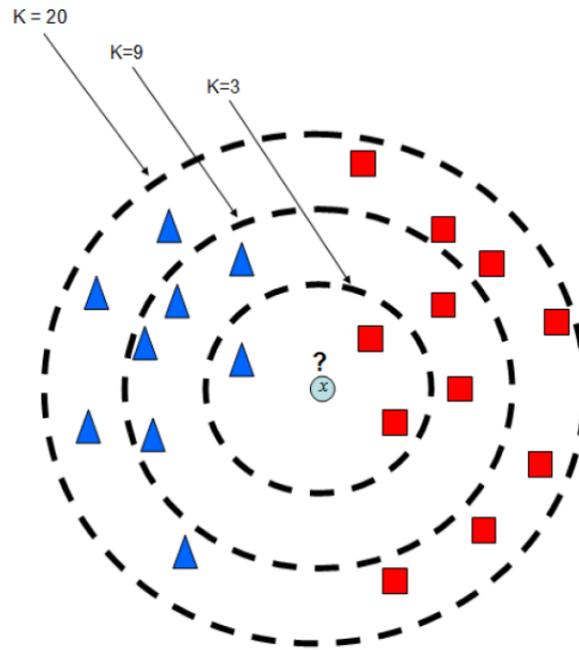
### 4.2.6 Use of Independent Test Data

Use of separate training & test datasets is very important when developing an ML model. If you use all of your data for training, your model could potentially have good performance on the training data but poor performance on new independent test data.

## 5 $k$ -Nearest Neighbours Algorithm

$k$ -nearest neighbours (or  $k$ -NN) is one of the simplest machine learning algorithms. It generates a hypothesis using a very simple principle: predictions for the label or value assigned to a *query instance* should be made based on the most *similar* instances in the training dataset. Hence, this is also known as **similarity-based learning**.

$k$ -NN can be used for both classification & regression tasks, although for now we will focus only on its application to classification tasks using the scikit-learn implementation `KNeighborsClassifier`.

Figure 9:  $K$ -Nearest Neighbour Example

The operation of the  $k$ -NN algorithm is relatively easy to appreciate. The key insight is that each example is a point in the feature space. If samples are close to each other in the feature space, they should be close in their target values. This is related to *code-based reasoning*. When you want to classify a new **query case**, you compare it to the stored set and retrieve the  $k$  most similar instances. The query case is then given a label based on the most similar instances.

The prediction for a query case is based on several ( $k$ ) nearest neighbours. We compute the similarity of the query case to all stored cases, and pick the nearest  $k$  neighbours; the simplest way to do this is to sort the instances by distance and pick the lowest  $k$  instances. A more efficient way of doing this would be to identify the  $k$  nearest instances in a single pass through the list of distances. The  $k$  nearest neighbours then vote on the classification of the test case: prediction is the **majority** class voted for.

### 5.1 The Nearest Neighbour Algorithm

The **1-nearest neighbour algorithm** is the simplest similarity-based / instance-based method. There is no real training phase, we just store the training cases. Given a query case with a value to be predicted, we compute the distance of the query case from all stored instances and select the nearest neighbour case. We then assign the test case the same label (class or regression value) as its nearest neighbour. The main problem with this approach is susceptibility to noise; to reduce susceptibility to noise, use more than one neighbour, i.e., the  $k$ -nearest neighbours algorithm.

1NN with Euclidean distance as the distance metric is equivalent to partitioning the feature space into a **Voronoi Tessellation**: finding the predicted target class is equivalent to finding which Voronoi region it occupies.

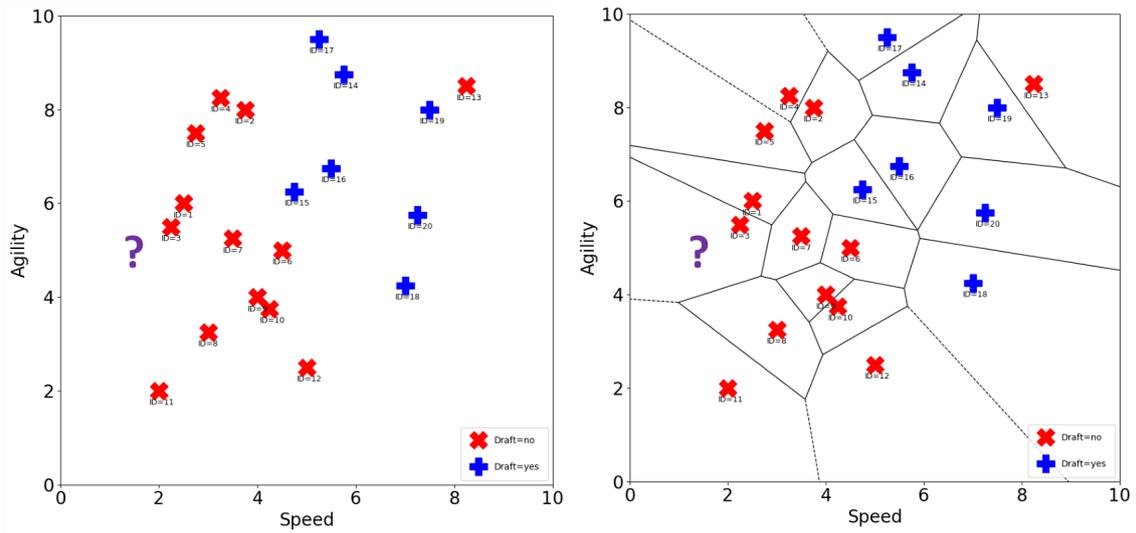


Figure 10: Feature Space Plot (left) & Corresponding Voronoi Tessellation (right)

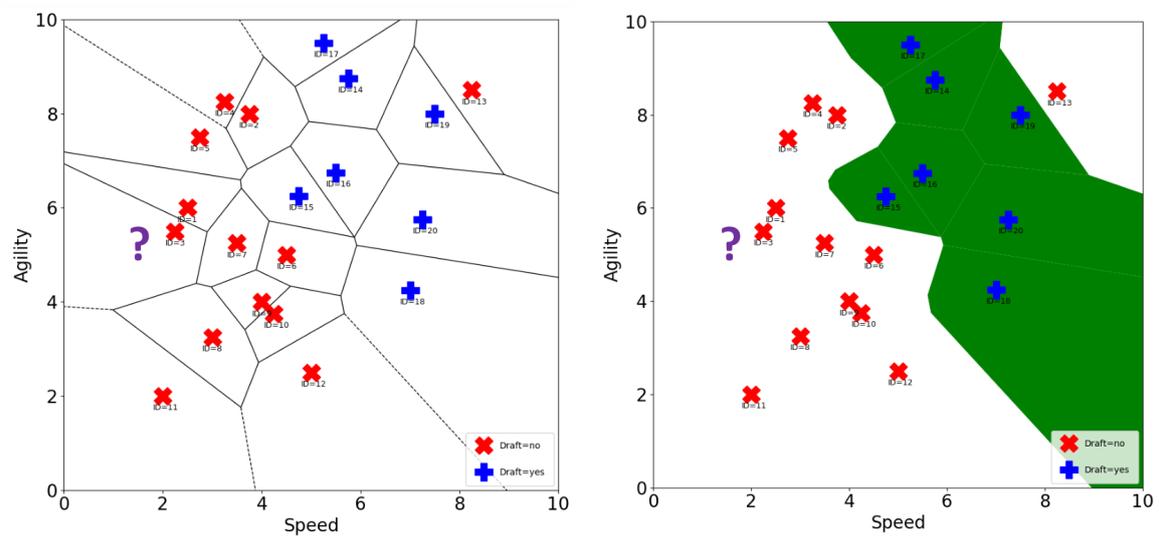


Figure 11: 1NN Decision Boundary from Voronoi Tessellation

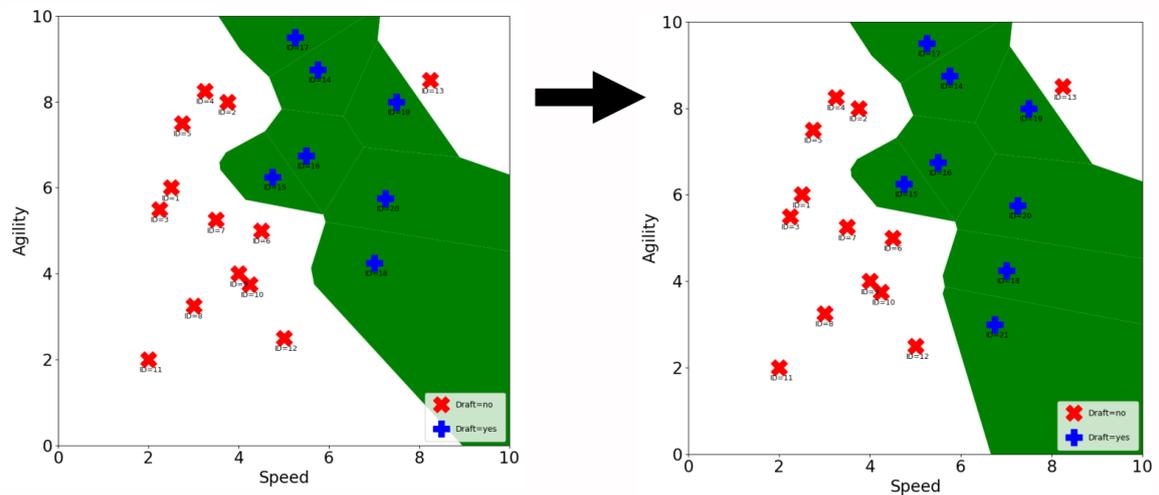


Figure 12: Effect of Adding More Training Data to Voronoi Tessellation

## 5.2 *k*-NN Hyperparameters

The *k*-NN algorithm also introduces a new concept to us that is very important for ML algorithms in general: hyperparameters. In ML algorithms, a **hyperparameter** is a parameter set by the user that is used to control the behaviour of the learning process. Many ML algorithms also have other parameters that are set by the algorithm during its learning process (e.g., the weights assigned to connections between neurons in an artificial neural network). Examples of hyperparameters include:

- Learning rate (typically denoted using the Greek letter  $\alpha$ ).
- Topology of a neural network (the number & layout of neurons).
- The choice of optimiser when updating the weights of a neural network.

Many ML algorithms are very sensitive to the choice of hyperparameters: poor choice of values yields poor performance. Therefore, hyperparameter tuning (i.e., determining the values that yield the best performance) is an important topic in ML. However, some simple ML algorithms do not have any hyperparameters.

*k*-NN has several key hyperparameters that we must choose before applying it to a dataset:

- The number of neighbours *k* to take into account when making a prediction: `n_neighbours` in the scikit-learn implementation of `KNeighboursClassifier`.
- The method used to measure how similar instances are to one another: `metric` in scikit-learn.

## 5.3 Measuring Similarity

### 5.3.1 Measuring Similarity Using Distance

Consider the college athletes dataset from earlier. How should we measure the similarity between instances in this case? **Distance** is one option: plot the points in 2D space and draw a straight line between them. We can think of each feature of interest as a dimension in hyperspace.

A **metric** or distance function may be used to define the distance between any pair of elements in a set.  $\text{metric}(a, b)$  is a function that returns the distance between two instances *a* & *b* in a set. *a* & *b* are vectors containing the values of the attributes we are interested in for the data points we wish to measure between.

### 5.3.2 Euclidean Distance

**Euclidean distance** is one of the best-known distance metrics. It computes the length of a straight line between two points.

$$\text{Euclidean}(a, b) = \sqrt{\sum_{i=1}^m (a[i] - b[i])^2}$$

Here *m* is the number of features / attributes to be used to calculate the distance (i.e., the dimensions of the vectors *a* & *b*). Euclidean distance calculates the square root of the sum of squared differences for each feature.

### 5.3.3 Manhattan Distance

**Manhattan distance** (also known as “taxicab distance”) is the distance between two points measured along axes at right angles.

$$\text{Manhattan}(a, b) = \sum_{i=1}^m \text{abs}(a[i] - b[i])$$

As before, *m* is the number of features / attributes to be used to calculate the distance (i.e., the dimension of the vectors *a* & *b*) and `abs()` is a function which returns the absolute value of a number. Manhattan distance calculates the sum of the absolute differences for each feature.

**Example: Calculating Distance**

Calculate the distance between  $d_{12} = [5.00, 2.50]$  &  $d_5 = [2.75, 7.50]$ .

$$\text{Euclidean}(d_{12}, d_5) = \sqrt{(5.00 - 2.75)^2 + (2.50 - 7.50)^2} = 5.483$$

$$\text{Manhattan}(d_{12}, d_5) = \text{abs}(5.00 - 2.75) + \text{abs}(2.50 - 7.50) = 7.25$$

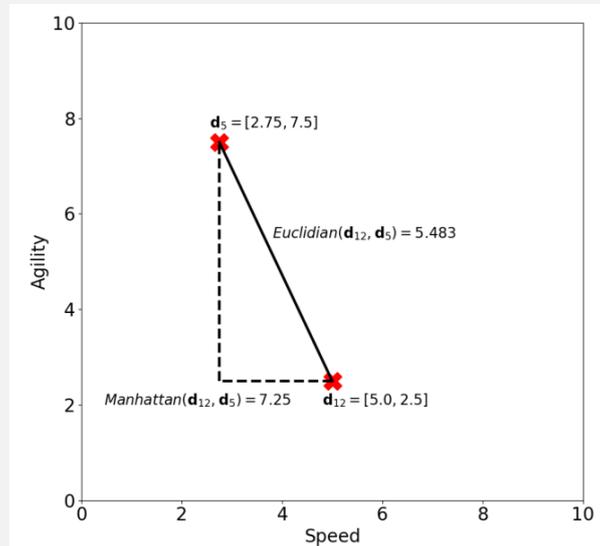


Figure 13: Euclidean vs Manhattan Distance

### 5.3.4 Minkowski Distance

The **Minkowski distance** metric generalises both the Manhattan distance and the Euclidean distance metrics.

$$\text{Minkowski}(a, b) = \left( \sum_{i=1}^m \text{abs}(a[i] - b[i])^p \right)^{\frac{1}{p}}$$

As before,  $m$  is the number of features / attributes to be used to calculate the distance (i.e., the dimension of the vectors  $a$  &  $b$ ). Minkowski distance calculates the absolute value of the differences for each feature.

### 5.3.5 Similarity for Discrete Attributes

Thus far we have considered similarity measures that only apply to continuous attributes<sup>1</sup>. Many datasets have attributes that have a finite number of discrete values (e.g., Yes/No or True/False, survey responses, ratings). One approach to handling discrete attributes is **Hamming distance**: the Hamming distance is calculated as 0 for each attribute where both cases have the same value and 1 for each attribute where they are different. E.g., Hamming distance between the strings “Stephen” and “Stefan” is 3.

### 5.3.6 Comparison of Distance Metrics

Euclidean & Manhattan distance are the most commonly used distance metrics although it is possible to define infinitely many distance metrics using the Minkowski distance. Manhattan distance is cheaper to compute than Euclidean distance as it is not necessary to compute the squares of differences and a square root, so Manhattan distance may be a better choice for very large datasets if computational resources are limited. It’s worthwhile to try out several different distance metrics to see which is the most suitable for the dataset at hand. Many other methods to measure similarity also exist, including cosine similarity, Russel-Rao, Sokal-Michener.

<sup>1</sup>Note that discrete/continuous attributes are not to be confused with classification/regression

### 5.4 Choosing a Value for $k$

The appropriate value for  $k$  is application dependent, and experimentation is needed to find the optimal value. Typically, it is  $> 3$  and often in the range 5 – 21. Increasing  $K$  has a **smoothing effect**:

- If  $k$  is too low, it tends to overfit if the data is noisy.
- If  $k$  is too high, it tends to underfit.

In imbalanced datasets, the majority target class tends to dominate for large  $k$  values. It's important to note that  $k$  does not affect computational cost much: most of the computation is in calculating the distances from the query to all stored instances.

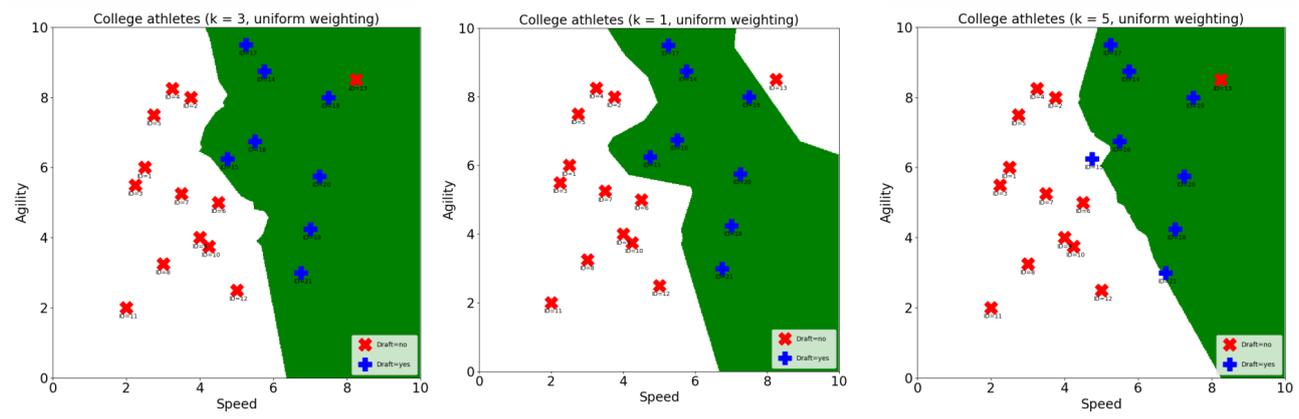


Figure 14: Effect of Increasing  $k$  (1)

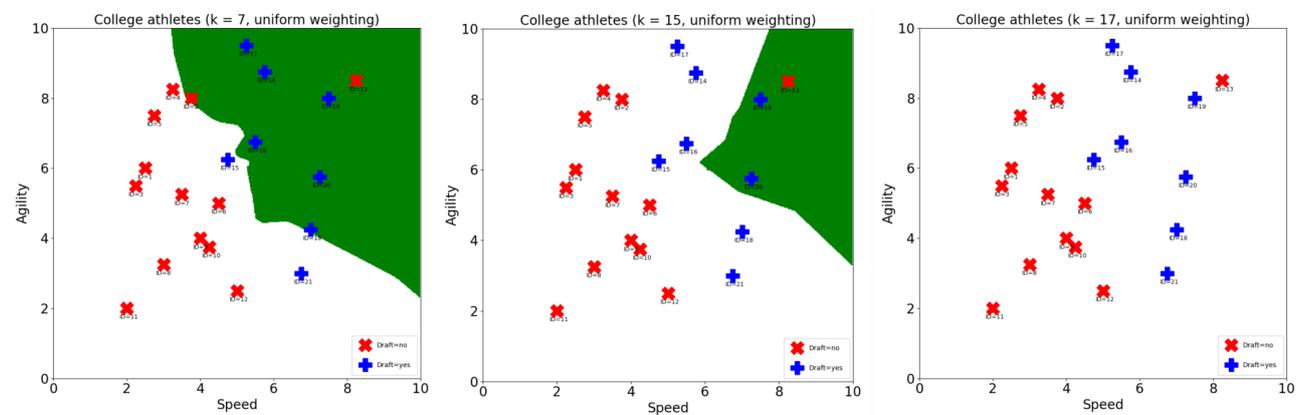
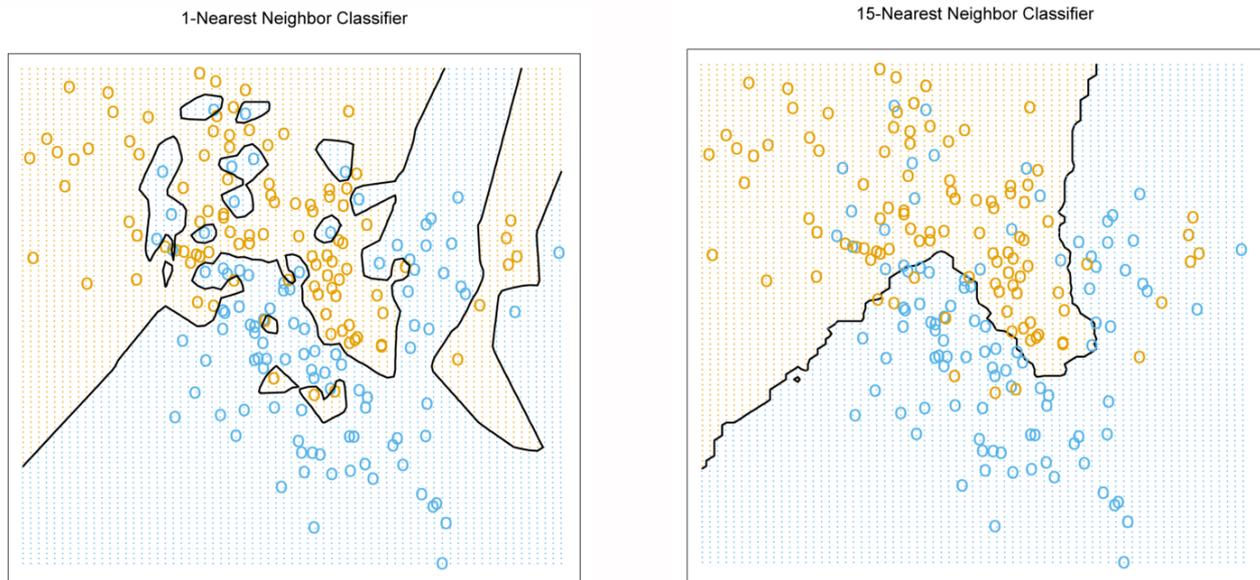


Figure 15: Effect of Increasing  $k$  (2)

Figure 16: Smoothing Effect of  $k$ 

#### 5.4.1 Distance-Weighted $k$ -NN

In **distance-weighted**  $k$ -NN, we give each neighbour a weight equal to the inverse of its distance from the target. We then take the weighted vote or weighted average to classify the target case. It's reasonable to use  $k = [\text{all training cases}]$ .

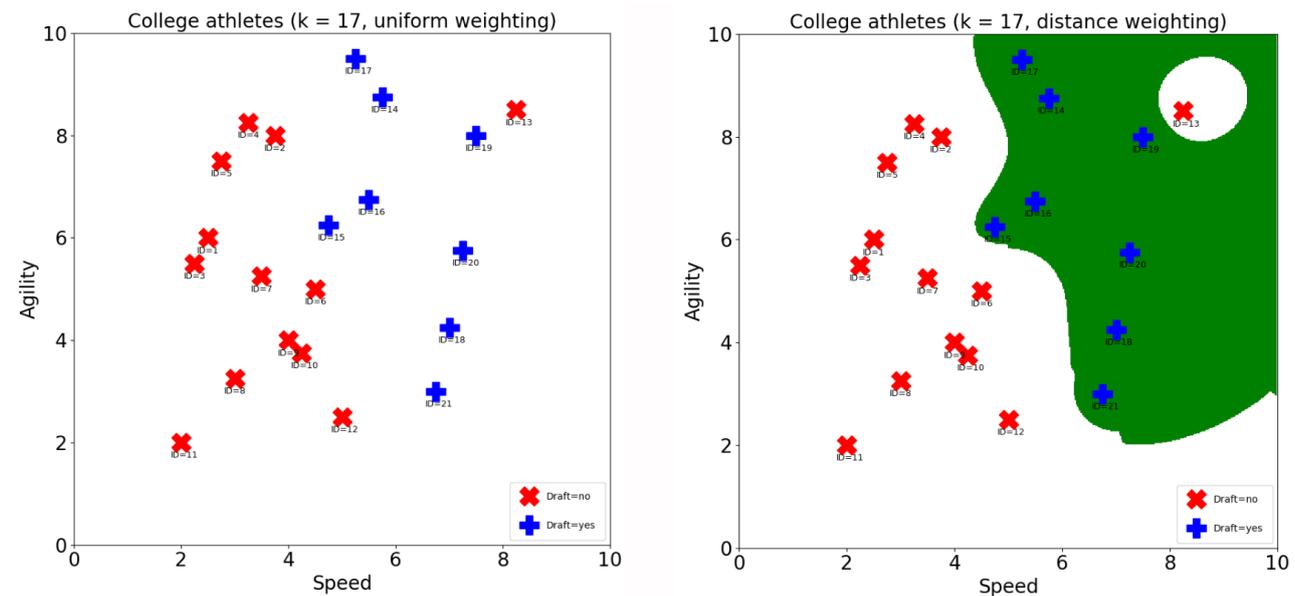


Figure 17: Effect of Distance Weighting

## 6 Decision Trees

**Decision trees** are a fundamental structure used in information-based machine learning. The idea is to use a decision tree as a predictive model to decide what category/label/class an item belongs to based on the values of its features. Decision trees consist of **nodes** (where two branches intersect) which are decision points which partition the data. Observations about an item (values of features) are represented using branches. The terminal nodes are called **leaves** and specify the target label for an item. The inductive learning of a decision tree is as follows:

1. For all attributes that have not yet been used in the tree, calculate their impurity (**entropy** or **Gini index**) and **information/Gini gain** values for the training samples.

2. Select the attribute that has the **highest** information gain.
3. Make a tree node containing that attribute.
4. This node **partitions** the data: apply the algorithm recursively to each partition.

The main class used in scikit-learn to implement decision tree learning for classification tasks is `DecisionTreeClassifier`. The default measure of impurity is the Gini index, but entropy is also an option.

## 6.1 Computing Entropy

We already saw how some descriptive features can more effectively discriminate between (or predict) classes which are present in the dataset. Decision trees partition the data at each node, so it makes sense to use features which have higher discriminatory power “higher up” in a decision tree. Therefore, we need to develop a formal measure of the discriminatory power of a given attribute.

Claude Shannon (often referred to as “the father of information theory”) proposed a measure of the impurity of the elements in the set called **entropy**. Entropy may be used to measure the uncertainty of a random variable. The term “entropy” generally refers to disorder or uncertainty, so the use of this term in the context of information theory is analogous to other well-known uses of the term such as in statistical thermodynamics. The acquisition of information (**information gain**) corresponds to a **reduction in entropy**.

The **entropy** of a dataset  $S$  with  $n$  different classes may be calculated as:

$$\text{Ent}(S) = \sum_{i=1}^n -p_i \log_2 p_i$$

where  $p_i$  is the proportion of the class  $i$  in the dataset. This is an example of a probability mass function. Entropy is typically measured in **bits** (note the  $\log_2$  in the equation above): the lowest possible entropy output from this function is 0 ( $\log_2 1 = 0$ ), while the highest possible entropy is  $\log_2 n$  (which is equal to 1 when there are only two classes).

We use the binary logarithm because a useful measure of uncertainty should assign high uncertainty to outcomes with a low probability and assign low uncertainty values to outcomes with a high probability.  $\log_2$  returns large negative values when  $P$  is close to 0 and small negative values when  $P$  is close to 1. We use  $-\log_2$  for convenience, as it returns positive entropy values with 0 as the lowest entropy.

**Worked Entropy Example**

| Anyone for Tennis? |          |      |          |       |       |
|--------------------|----------|------|----------|-------|-------|
| ID                 | Outlook  | Temp | Humidity | Windy | Play? |
| A                  | sunny    | hot  | high     | false | no    |
| B                  | sunny    | hot  | high     | true  | no    |
| C                  | overcast | hot  | high     | false | yes   |
| D                  | rainy    | mild | high     | false | yes   |
| E                  | rainy    | cool | normal   | false | yes   |
| F                  | rainy    | cool | normal   | true  | no    |
| G                  | overcast | cool | normal   | true  | yes   |
| H                  | sunny    | mild | high     | false | no    |
| I                  | sunny    | cool | normal   | false | yes   |
| J                  | rainy    | mild | normal   | false | yes   |
| K                  | sunny    | mild | normal   | true  | yes   |
| L                  | overcast | mild | high     | true  | yes   |
| M                  | overcast | hot  | normal   | false | yes   |
| N                  | rainy    | mild | high     | true  | no    |

Figure 18: Example Data

Workings;

$$\begin{aligned}
 \text{Ent}(S) &= \text{Ent}([9+, 5-]) \\
 &= \frac{-9}{14} \log_2 \left( \frac{9}{14} \right) - \frac{5}{14} \log_2 \left( \frac{5}{14} \right) \\
 &= 0.9403
 \end{aligned}$$

Note that if you are calculating entropy using a spreadsheet application such as Excel, make sure that you are using  $\log_2$ , e.g. LOG(9/14, 2).

## 6.2 Computing Information Gain

The **information gain** of an attribute is the reduction of entropy from partitioning the data according to that attribute:

$$\text{Gain}(S, A) = \text{Ent}(S) - \sum_{v \in \text{Values}(A)} \frac{|S_v|}{|S|} \text{Ent}(S_v)$$

Here  $S$  is the entire set of data being considered and  $S_v$  refers to each partition of the data according to each possible value  $v$  for the attribute.  $|S|$  &  $|S_v|$  refer to the cardinality or size of the overall dataset, and the cardinality or size of a partition respectively. When selecting an attribute for a node in a decision tree, we use whichever attribute  $A$  that gives the greatest information gain.

**Worked Information Gain Example**

Given  $|S| = 14$ ,  $|S_{\text{windy=true}}| = 6$ , &  $|S_{\text{windy=false}}| = 8$ , calculate the information gain of the attribute “windy”.

$$\begin{aligned}\text{Gain}(S, \text{windy}) &= \text{Ent}(S) - \frac{|S_{\text{windy=true}}|}{|S|} \text{Ent}(S_{\text{windy=true}}) - \frac{|S_{\text{windy=false}}|}{|S|} \text{Ent}(S_{\text{windy=false}}) \\ &= \text{Ent}(S) - \left(\frac{6}{14}\right) \text{Ent}([3+, 3-]) - \left(\frac{8}{14}\right) \text{Ent}([6+, 2-]) \\ &= 0.940 - \left(\frac{6}{14}\right) 1.00 - \left(\frac{8}{14}\right) 0.811 \\ &= 0.048\end{aligned}$$