

DATA MINING 2 Explainability

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a.a. 2021/2022



Definitions

- To *interpret* means to give or provide the meaning or to explain and present in understandable terms some concepts.
- In AI, and in data mining and machine learning, interpretability is the *ability to explain* or to provide the meaning *in understandable terms to a human*.



- <u>https://www.merriam-webster.com/</u>
- Finale Doshi-Velez and Been Kim. 2017. *Towards a rigorous science of interpretable machine learning*. arXiv:1702.08608v2.

What is a Black Box Model?





A **black box** is a model, whose internals are either unknown to the observer or they are known but uninterpretable by humans.

Example:

• DNN

y1

- SVM
- Ensemble

- Guidotti, R., Monreale, A., Ruggieri, S., Turini, F., Giannotti, F., & Pedreschi, D. (2018). *A survey of methods for explaining black box models*. *ACM Computing Surveys (CSUR)*, *51*(5), 93.

Interpretable Models



Motivations For Explanation Methods

COMPAS recidivism black bias



DYLAN FUGETT

Prior Offense 1 attempted burglary

Subsequent Offenses 3 drug possessions

BERNARD PARKER

Prior Offense 1 resisting arrest without violence

Subsequent Offenses None

LOW RISK

HIGH RISK

10

Fugett was rated low risk after being arrested with cocaine and marijuana. He was arrested three times on drug charges after that.

2

The background bias

H

H



w 🖹

(a) Husky classified as wolf



(b) Explanation

Right of Explanation

General Data Protection Regulation

Since 25 May 2018, GDPR establishes a right for all individuals to obtain "meaningful explanations of the logic involved" when "automated (algorithmic) individual decision-making", including profiling, takes place.

• Machine Learning



Feature Importance, Partial Dependence Plot, Individual Conditional Expectation





Auto-encoder

Oscar Li, Hao Liu, Chaofan Chen, Cynthia Rudin: Deep Learning for Case-Based Reasoning Through Prototypes: A Neural Network That Explains Its Predictions. AAAI 2018: 3530-3537

Surogate Model

Mark Craven, Jude W. Shavlik: Extracting Tree-Structured Representations of Trained Networks. NIPS 1995: 24-30

- Machine Learning
- Computer Vision



Uncertainty Map

Alex Kendall, Yarin Gal: What Uncertainties Do We Need in Bayesian Deep Learning for Computer Vision? NIPS 2017: 5580-5590



Saliency Map

Julius Adebayo, Justin Gilmer, Michael Muelly, Ian J. Goodfellow, Moritz Hardt, Been Kim: Sanity Checks for Saliency Maps. NeurIPS 2018: 9525-9536

- Machine Learning
- Computer Vision
- Knowledge Representation and Reasoning



Abduction Reasoning (in Bayesian Network)

David Poole: Probabilistic Horn Abduction and Bayesian Networks. Artif. Intell. 64(1): 81-129 (1993)



Diagnosis Inference

Alban Grastien, Patrik Haslum, Sylvie Thiébaux: Conflict-Based Diagnosis of Discrete Event Systems: Theory and Practice. KR 2012

- Machine Learning
- Computer Vision
- Knowledge Representation and Reasoning
- Multi-agent Systems



Agent Strategy Summarization

Ofra Amir, Finale Doshi-Velez, David Sarne: Agent Strategy Summarization. AAMAS 2018: 1203-1207



Explainable Agents

Joost Broekens, Maaike Harbers, Koen V. Hindriks, Karel van den Bosch, Catholijn M. Jonker, John-Jules Ch. Meyer: Do You Get It? User-Evaluated Explainable BDI Agents. MATES 2010: 28-39

- Machine Learning
- Computer Vision
- Knowledge Representation and Reasoning
- Multi-agent Systems
- NLP



Explainable NLP

Hui Liu, Qingyu Yin, William Yang Wang: Towards Explainable NLP: A Generative Explanation Framework for Text Classification. CoRR abs/1811.00196 (2018)

- Machine Learning
- Computer Vision
- Knowledge Representation and Reasoning
- Multi-agent Systems
- NLP
- Planning and Scheduling



Maria Fox, Derek Long, Daniele Magazzeni: Explainable Planning. CoRR abs/1709.10256 (2017)

- Machine Learning
- Computer Vision
- Knowledge Representation and Reasoning
- Multi-agent Systems
- NLP
- Planning and Scheduling
- Robotics

Robot: I have decided to turn left. Human: Why did you do that? Robot: I believe that the correct action is to turn left BECAUSE: I'm being asked to go forward AND This area in front of me was 20 cm higher than me *highlights area* AND the area to the left has maximum protrusions of less than 5 cm *highlights area* AND I'm tilted to the right by more than 5 degrees. Here is a display of the path through the tree that lead to this decision. *displays tree* Human: How confident are you in this decision? Robot: The distribution of actions that reached this leaf node is shown in this histogram. *displays histogram* This action is predicted to be correct 67% of the time. Human: Where did the threshold for the area in front come from? Robot: Here is the histogram of all training examples that reached this leaf. 80% of examples where this area was above 20 cm predicted the appropriate action to be "drive forward".

From Decision Tree to human-friendly information

Raymond Ka-Man Sheh: "Why Did You Do That?" Explainable Intelligent Robots. AAAI Workshops 2017

Explanation as Machine-Human Conversation

[Weld and Bansal 2018]



C: I predict FISH

- Humans may have follow-up questions
- Explanations cannot answer all users' concerns

Role-based Interpretability

"Is the explanation interpretable?" \rightarrow "To whom is the explanation interpretable?" No Universally Interpretable Explanations!

• End users "Am I being treated fairly?"

"Can I contest the decision?"

"What could I do differently to get a positive outcome?"

- Engineers, data scientists: "Is my system working as designed?"
- Regulators " Is it compliant?"

An ideal explainer should model the *user* background.

[Tomsett et al. 2018, Weld and Bansal 2018, Poursabzi-Sangdeh 2018, Mittelstadt et al. 2019]



XAI is Interdisciplinary

- For millennia, philosophers have asked the questions about what constitutes an explanation, what is the function of explanations, and what are their structure
- [Tim Miller 2018]



How to Open the Black Box

Explanation Methods







Explainable by Design Method





Black Box Explanations: Global vs Local



Global Explanation

Local Explanations



Black Box Explanations: Specific vs Agnostic



Types of Data

Table of baby-name data (baby-2010.csv)

name	rank	gender	year	Field
Jacob	1	boy	2010	One row (4 fields)
Isabella	1	girl	2010	
Ethan	2	boy	2010	
Sophia	2	girl	2010	
Michael	3	boy	2010	

Tabular (**TAB**)



Images

(IMG)



Text (**TXT**)

Types of Explanations

- Tabular Data
 - Rule-based
 - Decision Tree
 - Features Importance
 - Prototypes
 - Counter-exemplars
- If Outlook = *Sunny* and Humidity = *Normal* then Play Tennis = *Yes*
 - Outlook: 0.7
 - Humidity: -0.4
 - Wind: 0.0

- Images
 - Saliency Maps
 - Concept Attributions
 - Prototypes
 - Counter-exemplars

- Text
 - Sentence Highlighting
 - Attention-based
 - Prototypes
 - Counter-exemplars



Explanations and Explanation Methods

TREPAN

Trepan

- Global explainer designed to explain NN but usable for any type of black box.
- It aims at approximating a NN with a DT classifier using best-m-of-n rules.
- At each node split the feature to split is selected on the original data extended with random samples respecting the current path.
- It learns to predict the label returned by the black box, not the original one.



Trepan

01

02

03

04

 $T = root_of_the_tree()$ $Q = \langle T, X, \{\} \rangle$

1 benign .65 .35 100% yes - UniformityCellSize < 2.5 - no (J malignant benign .97 .03 .16 .84 60% 40% -UniformityCellShape < 2.5-BareNuclei < 4.5 向 malignant .11 .89 37% UniformityCellSize < 4.5 malignant .31 .69 9% BareNuclei < 2.5 [29] [15] 28 malignant malignant benign .80 .20 .17 .83 .04 .96

2%

7%

27%

while Q not empty & size(T) < limit

N, X_N , $C_N = pop(Q)$

- Mark Craven and JudeW. Shavlik. 1996. Extracting tree-structured representations of trained networks. NIPS.

LIME

Local Explanation

- The overall decision boundary is complex
- In the neighborhood of a single decision, the boundary is simple
- A single decision can be explained by auditing the black box around the given instance and learning a *local* decision.


Local Interpretable Model-agnostic Explanations

- Local model-agnostic explainer that reveals the black box decisions through features importance/saliency maps.
- It locally approximates the behavior of a black box with a local surrogate expressed as a logistic regressor (with Lasso or Ridge penalization).
- Synthetic neighbors are weighted w.r.t. the distance with the instance to explain.





LIME

Sepal length	Sepal width	Petal length	Petal width	b(setosa)	b(versic)	b(virgi)
3	4	3	6	0.1	0.7	0.2



Features Importance LIME duration_in_month <= ... 0.11 account_check_status=... 0.09 01 $Z = \{ \}$ personal_status_sex=... 0.07 02 x instance to explain installment as income ... x' = real2interpretable(x) 0.07 03 credit_history=critical.. for i in {1, 2, ..., N} 04 05 Saliency Map $z_i = sample around(x')$ 06 z = interpretabel2real(z') $Z = Z \cup \{ \langle z_i, b(z_i), d(x, z) \rangle \}$ 07 w = solve Lasso(Z, k)80 black box 09 return w auditing

 Marco Tulio Ribeiro, Sameer Singh, and Carlos Guestrin. 2016. Why should i trust you?: Explaining the predictions of any classifier. KDD.

LIME

- LIME *turns* an image x to a vector x' of interpretable superpixels expressing presence/absence.
- It generates a synthetic neighborhood Z by randomly perturbing x' and labels them with the black box.
- It *trains* a linear regression model (interpretable and locally faithful) and assigns a weight to each superpixel.



Х

LIME Issues

- LIME does not really generate images with different information: it randomly removes some superpixels, i.e. it suppresses the presence of an information rather than modifying it.
- On tabular data LIME generates the neighborhood by changing the feature values with other values of the domain.
- x = {age=24, sex=male, income=1000} (x = x')
- z = {age=30 , sex=male, income=800} (z = z')

LORE

LOcal Rule-based Explainer

- LORE extends LIME adopting as local surrogate a decision tree classifier and by generating synthetic instances through a genetic procedure that accounts for both instances with the same labels and different ones.
- It can be generalized to work on images and text using the same data representation adopted by LIME.





LORE on Medical Images

- The goal is to classify dermoscopic images among categories such as: Melanoma (MEL), Melanocytic Nevus (NV); Basal Cell Carcinoma (BCC), Actinic Keratosis (AK), etc.
- The original is classified as AK
- The counterfactual as BCC.



SHAP

- A prediction can be explained by assuming that each feature value of the instance is a "player" in a game where the prediction is the payout. Shapley values -- a method from coalitional game theory -tells us how to fairly distribute the "payout" among the features.
- Example: A black box predicts apartment prices. For a certain apartment it predicts €300,000 and you need to explain this prediction. The apartment has an area of 50 m², is located on the 2nd floor, has a park nearby and cats are banned.



Shapely Values and Game Theory

- The average prediction is €310,000. How much has each feature value contributed to the prediction compared to the average prediction?
- The "game" is the prediction task for a single instance of the dataset.
- The "gain" is the actual prediction for this instance minus the average prediction for all instances.
- The "players" are the feature values of the instance that collaborate to receive the gain (= predict a certain value).
- The explanation could be: The park-nearby contributed
 €30,000; area-50 contributed €10,000; floor-2nd contributed €0; catbanned contributed -€50,000. The contributions add up to -€10,000, the final prediction minus the average predicted apartment price.

Shapely Values Example

- The Shapley value is the average marginal contribution of a feature value across all possible *coalitions* (combination of fixed feature values).
- We evaluate the contribution of *cat-banned* when it is added to a coalition of parknearby and area-50.
- We simulate that only park-nearby, catbanned and area-50 are in a coalition by randomly drawing another apartment from the data and using its value for the floor feature.
- The floor-2nd is replaced by the randomly drawn floor-1st.
- Then we predict the price of the apartment with this combination (€310,000).



Shapely Values Example

- In a second step, we remove cat-banned from the coalition by replacing it with a random value of the cat allowed/banned from the randomly drawn apartment. In the example it was catallowed, but it could have been catbanned again.
- We predict the apartment price for the coalition of park-nearby and area-50 (€320,000).
- The contribution of cat-banned was €310,000 -€320,000 = -€10,000. This estimate depends on the values of the randomly drawn apartment that served as a "donor" for the cat and floor feature values.
- We get better estimates if we repeat this sampling step and average the contributions.



Shapely Values Example

- We repeat this computation for all possible coalitions.
- The Shapley value is the average of all the marginal contributions to all possible coalitions.
- The computation time increases exponentially with the number of features.
- For each of these coalitions we compute the predicted apartment price with and without the feature value catbanned and take the difference to get the marginal contribution.
- We replace the feature values of features that are not in a coalition with random feature values from the apartment dataset to get a prediction from the black box.
- If we estimate the Shapley values for all feature values, we get the complete distribution of the prediction (minus the average) among the feature values.



SHAP

- SHAP (SHapley Additive exPlanations) assigns each feature an importance value for a particular prediction by means of an additive feature attribution method.
- It assigns an importance value to each feature that represents the effect on the model prediction of including that feature
- Lundberg, Scott M., and Su-In Lee. *A unified approach to interpreting model predictions*. *Advances in Neural Information Processing Systems*. 2017.



prediction

mode

SHAP on Tabular Data

$$\begin{array}{c} \text{Coalitions} \xrightarrow{h_{x}(z')} \\ \text{Teature values} \\ \text{Instance x} \quad x' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{\Lambda} \quad x = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \text{Instance with} \quad z' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{O} \quad z = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \text{Instance with} \quad z' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{O} \quad z = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \text{Teatures} \quad z' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{O} \quad z = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \text{Teatures} \quad z' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{O} \quad z = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \text{Teatures} \quad z' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{O} \quad z = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \text{Teatures} \quad z' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \text{Teatures} \quad z' = \frac{Age}{\Lambda} \xrightarrow{|weight|} \frac{Color}{O} \quad z = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \frac{V}{\Lambda} \xrightarrow{|weight|} \frac{V}{\Lambda} \xrightarrow{|weight|} \frac{Color}{O} \quad z = \frac{Age}{0.5} \xrightarrow{|weight|} \frac{Color}{Blue} \\ \frac{V}{\Lambda} \xrightarrow{|weight|} \frac$$

SHAP on Images



Saliency Maps

Saliency Maps

- A saliency map is an image in which a pixel's brightness represents how salient the pixel is. A positive value (red) means that the pixel has contributed positively to the classification, while a negative one (blue) means that has contributed negatively.
- There are two methods for creating SMs.
 - 1. Assign to *every pixel* a saliency value.
 - 2. Segment the image into different *pixel groups (superpixels or segments)* and then assign a saliency value for each group.



Integrated Gradient

- INTGRAD can only be applied to differentiable models.
- INTGRAD constructs a path from the baseline image x' to the input x and computes the gradients of points along the path.
- The points are taken by overlapping x with x', and gradually modifying the opacity of x. Saliency maps are obtained by cumulating the gradients of these points. 5 6 3 400 dog deer d



Mukund Sundararajan, Ankur Taly, Qiqi Yan. Axiomatic
 Attribution for Deep Networks. arXiv preprint
 arXiv:1703.01365. 2017

MASK



flute: 0.9973

flute: 0.0007

Learned Mask



- Ruth Fong and Andrea Vedaldi. 2017. Interpretable explanations of black boxes by meaningful perturbation. arXiv:1704.03296 (2017).

Example-based Explanations

Example-based Explanations

- Example-based explanation methods select particular instances of the dataset or generate synthetic instances to explain black box behaviors.
- Example-based explainers are mainly local explainers.
- Example-based explanations only make sense if we can represent an instance of the data in a humanly understandable way.
- This works well for:
 - images
 - tabular data with not many features
 - short texts

Example-based Explanations

- We mainly recognize the following example-based explanations:
 - **Prototypes**: a selection of representative instances having the same class of the instance under analysis. Among prototypes we also recognize:
 - *Criticisms:* instances that are not well represented by prototypes.
 - *Influential Instances:* training points that were the most influential for the training of the black-box or for the prediction itself.
 - **Counterfactuals:** a selection of representative instances having a different class w.r.t. the instance under analysis.

Prototypes and Criticism

- A *prototype* is a data instance that is representative of all the data.
- A *criticism* is a data instance that is not well represented by the set of prototypes.
- They can be used independently from a machine learning model to describe the data, but they can also be used to create an interpretable model or to make a black box model interpretable.
- Example of prototypes: K-Medoids centroids, K-Means centroids
- Example of criticism: Outliers
- Method to find them: MMD-critic
- Kim, Been and Khanna, Rajiv and Koyejo, Oluwasanmi. Examples Are Not Enough, Learn to Criticize! Criticism for Interpretability. 2016, NIPS.

Influential Instance

- An influential instance is a data instance whose removal has a strong effect on the trained model.
- The more the model parameters or predictions change when the model is retrained with a particular instance removed from the training data, the more influential that instance is.



Counterfactual Explanations

- A counterfactual explanation describes a causal situation in the form: "If X had not occurred, Y would not have occurred".
- Thinking in counterfactual terms requires imagining a hypothetical reality that contradicts the observed facts.
- Even if the relationship between the inputs and the outcome to be predicted might not be causal, we can see the inputs of a model as the cause of the prediction.
- A counterfactual explanation of a prediction describes the smallest change to the feature values that changes the prediction to a predefined output.

Generating Counterfactual Explanations

- A simple and naive approach to generating counterfactual explanations is *searching by trial and error:* randomly changing feature values of the instance of interest and stopping when the desired output is predicted.
- As an alternative we can define *a loss function* that consider the instance of interest, a counterfactual and the desired (counterfactual) outcome. Then, we can find the *counterfactual explanation that minimizes this loss using an optimization algorithm*.
- Many methods proceed in this way but differ in their definition of the loss function and optimization method.

Optimized CF Search

Wachter et al. suggest minimizing the following loss:

$$egin{aligned} L(x,x',y',\lambda) &= \lambda \cdot (\widehat{f}\,(x')-y')^2 + d(x,x') & d(x,x') = \sum_{j=1}^p rac{|x_j-x'_j|}{MAD_j} \ & ext{balance the prediction} & MAD_j = ext{median}_{i \in \{1,\dots,n\}} (|x_{i,j}- ext{median}_{l \in \{1,\dots,n\}}(x_{l,j})|) \end{aligned}$$

- 1. Sample a random CF x'
- 2. Optimize the loss L
- 3. If not $|\hat{f}(x') y'| \leq \epsilon$
- 4. Increase Lambda. Go to 2.
- 5. Return the CF x' that minimizes the loss.

 Wachter, Sandra and Mittelstadt, Brent and Russell, Chris. *Counterfactual explanations without opening the black box: Automated decisions and the GDPR.* 2017. Harv. JL & Tech

1.1

Partial Dependency Plot

Partial Dependency Plot

• The partial dependence plot (PDP) shows the marginal effect a feature have on the predicted outcome of a model.

$${\hat f}_{x_S}(x_S) = rac{1}{n} \sum_{i=1}^n {\hat f}\left(x_S, x_C^{(i)}
ight)$$

 In particular, the partial function above tells us for given value(s) of features S what the average marginal effect on the prediction is, where x_c are actual feature values from the dataset for the features in which we are not interested, and n is the number of instances.

Partial Dependency Plot

- Introduce *random perturbations* on input values to understand to which extent every feature impact the prediction using PDPs.
- The input is changed *one variable at a time*.



- Ruth Fong and Andrea Vedaldi. 2017. *Interpretable explanations of black boxes by meaningful perturbation*. arXiv:1704.03296 (2017).



Open The Black Box!

- **To empower** individual against undesired effects of automated decision making
- To reveal and protect new vulnerabilities
- To implement the "right of explanation"
- To improve industrial standards for developing Alpowered products, increasing the trust of companies and consumers
- To help people make better decisions
- *To align* algorithms with human values
- To preserve (and expand) human autonomy



Open Research Questions

- There is *no agreement* on *what an explanation is*
- There is **not a formalism** for **explanations**
- How to evaluate the *goodness of explanations*?
- There is *no work* that seriously addresses the problem of *quantifying* the grade of *comprehensibility* of an explanation for humans
- What if there is a *cost* for querying a black box?


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Explanation Toolboxes and Repositories

- <u>https://github.com/jphall663/awesome-machine-learning-interpretability</u>
- <u>https://github.com/pbiecek/xai_resources</u>
- <u>https://github.com/ModelOriented/DrWhy</u>
- <u>https://fat-forensics.org/</u>
- <u>https://github.com/Trusted-AI/AIX360</u>
- https://captum.ai/
- <u>https://github.com/interpretml/interpret</u>
- <u>https://github.com/SeldonIO/alibi</u>
- <u>https://github.com/pair-code/what-if-tool</u>