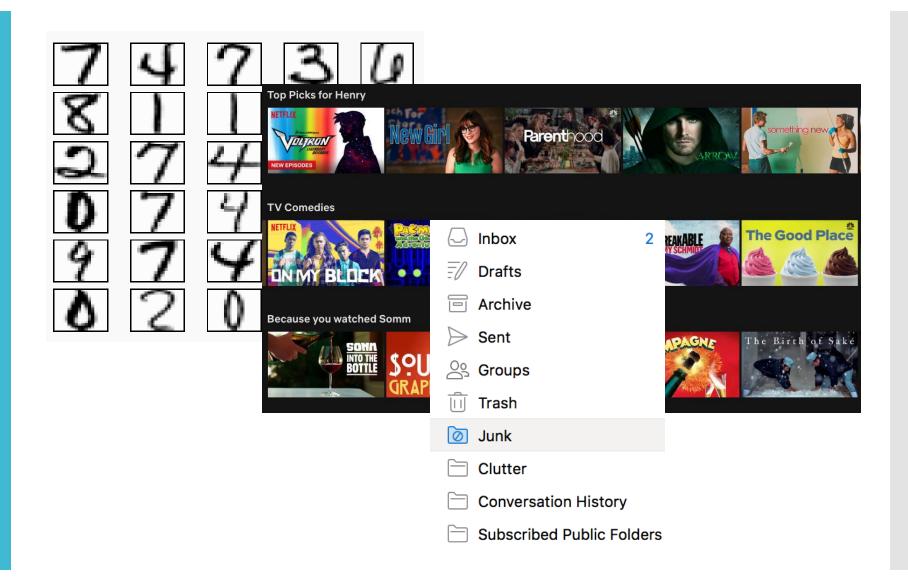
10-301/601: Introduction to Machine Learning Lecture 1 – Problem Formulation & Notation

Henry Chai & Matt Gormley 1/13/25

What is Machine Learning?

Machine
Learning
(A long long
time ago...)



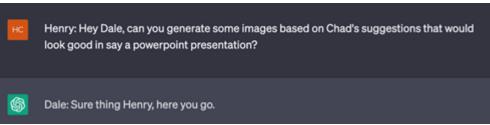
Machine
Learning
(A stime ago...)

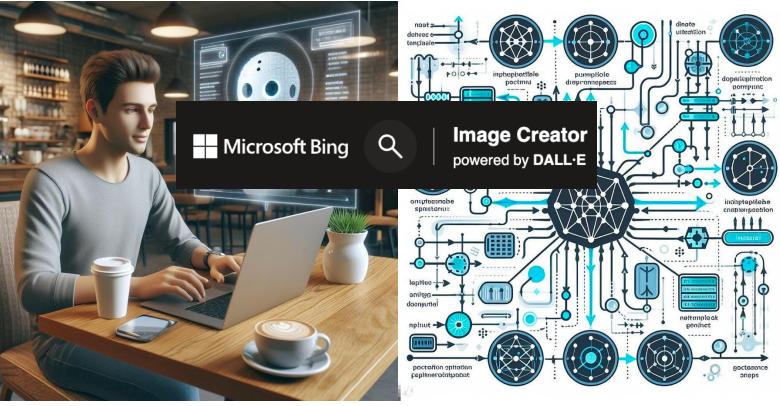


Machine Learning (Now)

Machine Learning (Now)

Machine
Learning
(Now – literally
yesterday)





Source: https://www.bing.com/images/create?FORM=GERRLP

Source: https://chat.openai.com/

What is Machine Learning 10-301/601?

- Supervised Models
 - Decision Trees
 - KNN
 - Perceptron
 - Logistic Regression
 - Linear Regression
 - Neural Networks

- Unsupervised Learning
- Ensemble Methods
- Deep Learning & Generative Al
- Learning Theory
- Reinforcement Learning
- Important Concepts
 - Feature Engineering
 - Regularization and Overfitting
 - Experimental Design
 - Societal Implications

What is Machine Learning?



Defining a Machine Learning Task (Mitchell, 97)

- A computer program **learns** if its *performance*, *P*, at some *task*, *T*, improves with *experience*, *E*.
- Three components
 - Task, T

Performance metric, P

• Experience, E

Defining a Machine Learning Task: Example

Learning to approve loans/lines of credit

- Three components
 - Task, T

Decider whither to approve a loan application.

Performance metric, P

% of loans you approve that are successfully paid back

• Experience, E

Interieus with loan agents

Defining a Machine Learning Task: Example

Learning to approve loans/lines of credit

- Three components
 - Task, T

Determine the maximum amount of news.

Performance metric, P to approve for each suplicant

Interest earned over 5 years

• Experience, E

Historical records of applications, repayments, defaults...

Example Learning Problems

Learning to respond to voice commands (Siri)

1. Task, T:

2. Performance measure, P:

3. Experience, E:

Example Learning Problems

Learning to respond to voice commands (Siri)

1. Task, T:

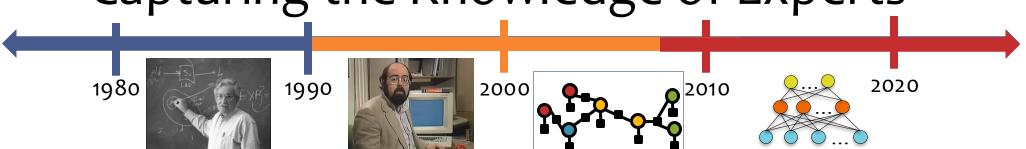


Given a transcribed sentence x predict the command y

Example:

```
x = "Give me directions to Starbucks"
```

y = DIRECTIONS(here, nearest(Starbucks))



Solution #1: Expert Systems

- Over 30 years ago, we had rule-based systems:
 - 1. Put a bunch of linguists in a room
 - 2. Have them think about the structure of their native language and write down the rules they devise

Introspection...

x = "Give me directions
to Starbucks"

x = "Send Jill a txt
asking for directions"

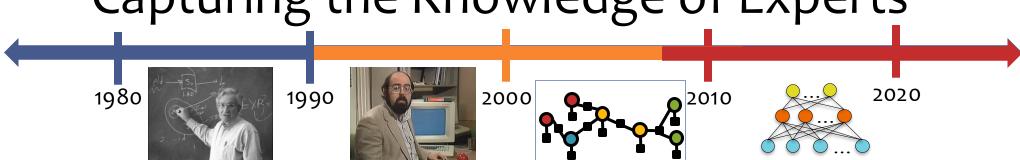
x = "Play the best hit
music by TXT"

x = "How do I get to
Pitt's Department of
Music"

Rules...

```
if "directions" in x:
   type = DIRECTIONS()
if "txt" in x:
   type = TXTMSG()
elif "directions" in x:
   type = DIRECTIONS()
if "music" in x:
   type = MUSIC()
elif "txt" in x:
   type = TXTMSG()
elif "directions" in x:
```

type = DIRECTIONS()



Solution #1: Expert Systems

- Over 30 years ago, we had rule-based systems:
 - 1. Put a bunch of linguists in a room
 - 2. Have them think about the structure of their native language and write down the rules they devise

Introspection...

x = "Give me directions
to Starbucks"

x = "How do I get to
Starbucks?"

x = "Where is the
nearest Starbucks?"

x = "I need directions
to Starbucks"

x = "Is there a
Starbucks nearby?

x = "Starbucks now!"

Rules...

if x matches "give me directions to Z":
 cmd = DIRECTIONS(here, nearest(Z))

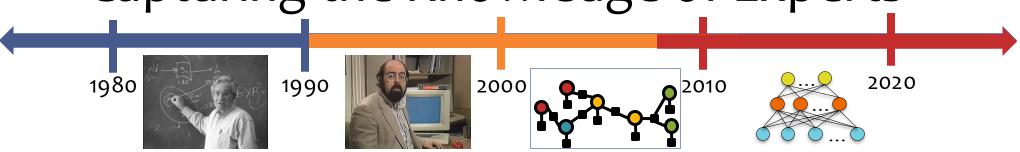
if x matches "how do i get to Z":
 cmd = DIRECTIONS(here, nearest(Z))

if x matches "where is the nearest Z":
 cmd = DIRECTIONS(here, nearest(Z))

if x matches "I need directions to Z":
 cmd = DIRECTIONS(here, nearest(Z))

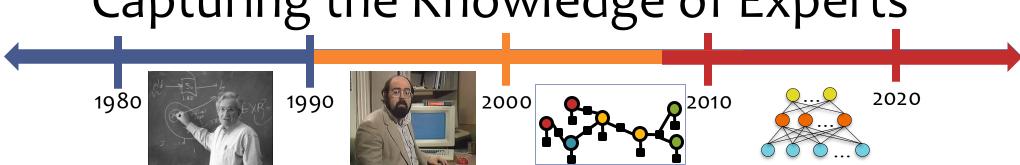
if x matches "Is there a Z nearby":
 cmd = DIRECTIONS(here, nearest(Z))

if x matches "Z now!":
 cmd = DIRECTIONS(here, nearest(Z))



Solution #2: Annotate Data and Learn

- Experts:
 - Very good at answering questions about specific cases
 - Not very good at telling HOW they do it
- 1990s: So why not just have them tell you what they do on SPECIFIC CASES and then let MACHINE LEARNING tell you how to come to the same decisions that they did



Solution #2: Annotate Data and Learn

- 1. Collect raw sentences $\{x^{(1)}, ..., x^{(n)}\}$
- 2. Experts annotate their meaning $\{y^{(1)}, ..., y^{(n)}\}$

 $X^{(1)}$: How do I get to Starbucks?

 $y^{(1)}$: DIRECTIONS (here, nearest (Starbucks))

 $X^{(3)}$: Send a text to John that I'll be late

 $y^{(3)}$: TXTNSG(John, I'll be late)

 $X^{(2)}$: Show me the closest Starbucks

 $\mathbf{y}^{(2)}$: MAP (nearest (Starbucks))

 $X^{(4)}$: Set an alarm for seven in the morning

 $\mathbf{v}^{(4)}$: SETALARM (7:00AM)

Example Learning Problems

Learning to respond to voice commands (Siri)

- Task, T: predicting action from speech
- Performance measure, P:
 percent of correct actions taken in user pilot study
- 3. Experience, E: examples of (speech, action) pairs

Problem Formulation

Often, the same task can be formulated in more than one way.

Example: Loan applications

- creditworthiness/score (regression)
- probability of default (density estimation)
- loan decision(classification)

Problem Formulation:

What is the structure of our output prediction?

boolean Binary Classification

categorical Multiclass Classification

ordinal Ordinal Classification

real Regression

ordering Ranking

multiple discrete Structured Prediction

multiple continuous (e.g. dynamical systems)

both discrete & cont. (e.g. mixed graphical models)

Well-posed Learning Problems

In-Class Exercise

- 1. Select a task, T
- 2. Identify performance measure, P
- 3. Identify **experience**, E
- 4. Report ideas back to rest of class

Example Tasks

- Identify objects in an image
- Translate from one human language to another
- Recognize speech
- Assess risk (e.g. in loan application)
- Make decisions (e.g. in loan application)
- Assess potential (e.g. in admission decisions)
- Categorize a complex situation (e.g. medical diagnosis)
- Predict outcome (e.g. medical prognosis, stock prices, inflation, temperature)
- Predict events (default on loans, quitting school, war)
- Plan ahead under perfect knowledge (chess)
- Plan ahead under partial knowledge (poker, bridge)

In-Class Exercise

- 1. Select a task, T
- 2. Identify **performance measure**, P
- 3. Identify **experience**, E
- 4. Report ideas back to rest of class

Well-posed Learning Problems



task, T	performance measure, P	experience, E
de terminy boil	% of people who disappear	historical buil records
identify genre at song	% of songs correctly categorized	dates of (song, sence) pair
beating our friend at	% of tres won	real somes played+ metao

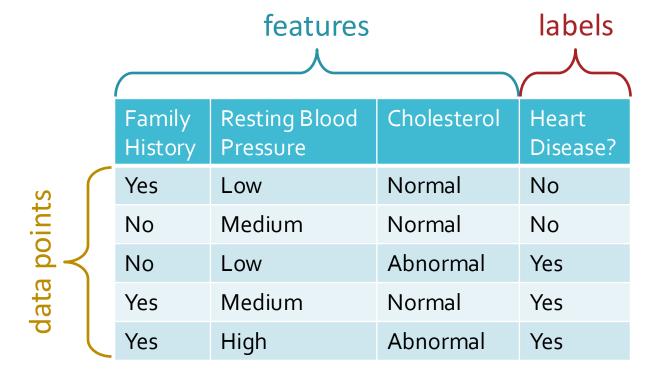
In-Class Exercise

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Well-posed Learning Problems

task, T	performance measure, P	experience, E
1/17/23		

Learning to diagnose heart disease
 as a (supervised) binary classification task

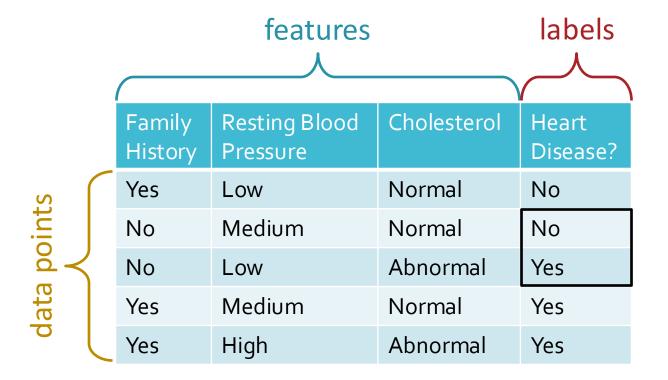


1/13/25 **29**

Learning to diagnose heart disease
 as a (<u>supervised</u>) binary classification task

	features					
	1	Family History	Resting Blood Pressure	Cholesterol	Heart Disease?	
data points		Yes	Low	Normal	No	
		No	Medium	Normal	No	
	<i>)</i>	No	Low	Abnormal	Yes	
		Yes	Medium	Normal	Yes	
7		Yes	High	Abnormal	Yes	

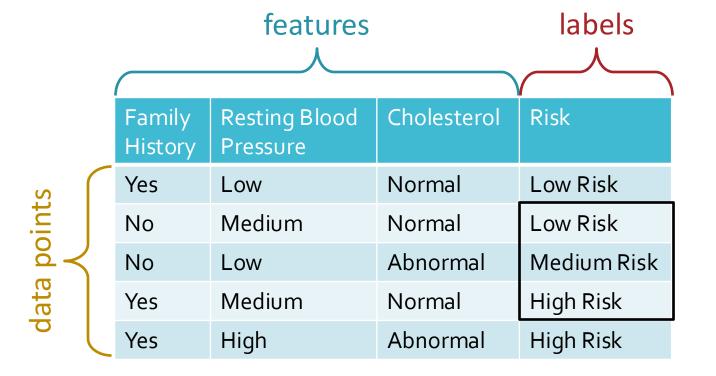
Learning to diagnose heart disease
 as a (supervised) binary classification task



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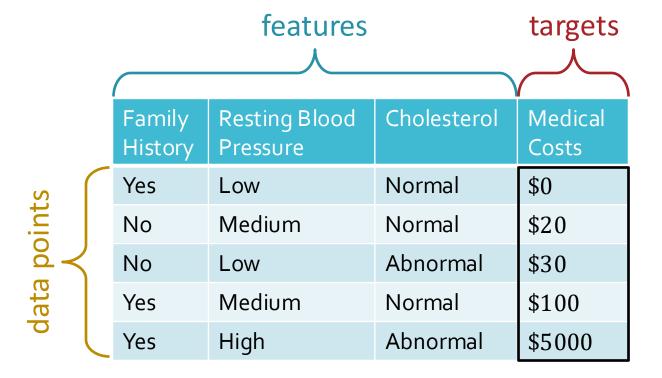
Learning to diagnose heart disease

as a (supervised) <u>classification</u> task



Learning to diagnose heart disease

as a (supervised) regression task



Our first Machine Learning Classifier

 A classifier is a function that takes feature values as input and outputs a label

labala

 Majority vote classifier: always predict the most common label in the dataset

			labels		
		Family History	Resting Blood Pressure	Cholesterol	Heart Disease?
S		Yes	Low	Normal	No
points 人		No	Medium	Normal	No
,	<i>)</i>	No	Low	Abnormal	Yes
data		Yes	Medium	Normal	Yes
O		Yes	High	Abnormal	Yes

Is this a "good" Classifier?

 A classifier is a function that takes feature values as input and outputs a label

 Majority vote classifier: always predict the most common label in the dataset

		labels			
		Family History	Resting Blood Pressure	Cholesterol	Heart Disease?
S		Yes	Low	Normal	No
data points	No	Medium	Normal	No	
	No	Low	Abnormal	Yes	
	Yes	Medium	Normal	Yes	
0		Yes	High	Abnormal	Yes

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Training vs. Testing

- A classifier is a function that takes feature values as input and outputs a label
- Majority vote classifier: always predict the most common label in the training dataset (Yes)

set		Family History	Resting Blood Pressure	Cholesterol	Heart Disease?
ata		Yes	Low	Normal	No
ъ ф<	,	No	Medium	Normal	No
training dataset		No	Low	Abnormal	Yes
		Yes	Medium	Normal	Yes
+		Yes	High	Abnormal	Yes

Training vs. Testing

- A classifier is a function that takes feature values as input and outputs a label
- Majority vote classifier: always predict the most common label in the training dataset (Yes)
- A test dataset is used to evaluate a classifier's predictions

dataset 人		Family History	Resting Blood Pressure	Cholesterol	Heart Disease?	Predictions
λ at λ)	No	Low	Normal	No	Yes
test c) s d	No	High	Abnormal	Yes	Yes
te		Yes	Medium	Abnormal	Yes	Yes

 The error rate is the proportion of data points where the prediction is wrong

Training vs. Testing

- A classifier is a function that takes feature values as input and outputs a label
- Majority vote classifier: always predict the most common label in the training dataset (Yes)
- A test dataset is used to evaluate a classifier's predictions

dataset		Resting Blood Pressure	Cholesterol	Heart Disease?	Predictions
datg ≺	No	Low	Normal	No	Yes
test d	No	High	Abnormal	Yes	Yes
) te	Yes	Medium	Abnormal	Yes	Yes

• The **test error rate** is the proportion of data points in the test dataset where the prediction is wrong (1/3)

A Typical (Supervised) Machine Learning Routine

- Step 1 training
 - Input: a labelled training dataset
 - Output: a classifier
- Step 2 testing
 - Inputs: a classifier, a test dataset
 - Output: predictions for each test data point
- Step 3 evaluation
 - Inputs: predictions from step 2, test dataset labels
 - Output: some measure of how good the predictions are;
 usually (but not always) error rate

Our first Machine Learning Classifier

- A classifier is a function that takes feature values as input and outputs a label
- Majority vote classifier: always predict the most common label in the training dataset

	features		labels	
Family History	Resting Blood Pressure	Cholesterol	Heart Disease?	Predictions
Yes	Low	Normal	No	Yes
No	Medium	Normal	No	Yes
No	Low	Abnormal	Yes	Yes
Yes	Medium	Normal	Yes	Yes
Yes	High	Abnormal	Yes	Yes
	Yes No No Yes	Family Resting Blood History Pressure Yes Low No Medium No Low Yes Medium	Family Resting Blood Cholesterol Pressure Yes Low Normal No Medium Normal No Low Abnormal Yes Medium Normal	Family Resting Blood Cholesterol Heart Disease? Yes Low Normal No No Medium Normal No No Low Abnormal Yes Yes Medium Normal Yes

• The **training error rate** is 2/5

Our first Machine Learning Classifier

- A classifier is a function that takes feature values as input and outputs a label
- Majority vote classifier: always predict the most common label in the training dataset



labels	
Heart Disease?	Predictions
No	Yes
No	Yes
Yes	Yes
Yes	Yes
Yes	Yes

labala

This classifier completely ignores the features...

Our second Machine Learning Classifier

- A classifier is a function that takes feature values as input and outputs a label
- Memorizer: if a set of features exists in the training dataset, predict its corresponding label; otherwise, predict the majority vote

Family History	Resting Blood Pressure	Cholesterol	Heart Disease?
Yes	Low	Normal	No
No	Medium	Normal	No
No	Low	Abnormal	Yes
Yes	Medium	Normal	Yes
Yes	High	Abnormal	Yes

Our second Machine Learning Classifier

- A classifier is a function that takes feature values as input and outputs a label
- Memorizer: if a set of features exists in the training dataset, predict its corresponding label; otherwise, predict the majority vote

Family History	Resting Blood Pressure	Cholesterol	Heart Disease?	Predictions
Yes	Low	Normal	No	No
No	Medium	Normal	No	No
No	Low	Abnormal	Yes	Yes
Yes	Medium	Normal	Yes	Yes
Yes	High	Abnormal	Yes	Yes

• The training error rate is 0!

Is the memorizer learning?

- A classifier is a function that takes feature values as input and outputs a label
- Memorizer: if a set of features exists in the training dataset, predict its corresponding label; otherwise, predict the majority vote

Family History	Resting Blood Pressure	Cholesterol	Heart Disease?	Predictions
Yes	Low	Normal	No	No
No	Medium	Normal	No	No
No	Low	Abnormal	Yes	Yes
Yes	Medium	Normal	Yes	Yes
Yes	High	Abnormal	Yes	Yes

• The training error rate is 0!

Our second Machine Learning Classifier

- A classifier is a function that takes feature values as input and outputs a label
- Memorizer: if a set of features exists in the training dataset, predict its corresponding label; otherwise, predict the majority vote
- The memorizer (typically) does not generalize well, i.e.,
 it does not perform well on unseen data points
- In some sense, good generalization, i.e., the ability to make accurate predictions given a small training dataset, is the whole point of machine learning!

Learning Goals

- You should be able to
- Formulate a well-posed learning problem for a realworld task by identifying the task, performance measure, and training experience
- 2. Describe common learning paradigms in terms of the type of data available, when it's available, the form of prediction, and the structure of the output prediction
- 3. Explain the difference between memorization and generalization [CIML]
- Identify examples of the ethical responsibilities of an ML expert

http://www.cs.cmu.edu/~mgormley/courses/10601/

(or mlcourse.org)

Logistics: Course Website

http://www.cs.cmu.edu/~mgormley/courses/10601/syllabus.html

This whole section is required reading

Logistics: Course Syllabus

Logistics: Grading

http://www.cs.cmu.edu/~mgormley/courses/10601/syllabus.html

- 50% homeworks
- 15% exam 1
- 15% exam 2
- 15% exam 3
- 5% participation

Logistics: Late Policy

http://www.cs.cmu.edu/~mgormley/courses/10601/syllabus.html

- You have 6 grace days for homework assignments
- Only 3 grace days may be used per homework
 - Only <u>2</u> grace days may be used on homeworks leading up to an exam (HW3, HW6, HW9)
- Late submissions w/o grace days will be penalized as:
 - 1 day late = 75% multiplicative penalty
 - 2 days late = 50% multiplicative penalty
 - 3 days late = 25% multiplicative penalty
- No submissions will be accepted more than 3 days late

Logistics: Collaboration Policy

http://www.cs.cmu.edu/~mgormley/courses/10601/syllabus.html

- Collaboration on homework assignments is encouraged but must be documented
- You must always write your own code/answers
 - You may not re-use code/previous versions of the homework,
 whether your own or otherwise
 - You may not use generative AI tools to complete any portion of the assignments
- Good approach to collaborating on programming assignments:
 - 1. Collectively sketch pseudocode on an impermanent surface, then
 - 2. Disperse, erase all notes and start from scratch

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Logistics: Technologies

http://www.cs.cmu.edu/~mgormley/courses/10601/syllabus.html

- Piazza, for course discussion:
 https://piazza.com/class/m5gpeq5rfa3sg
- Gradescope, for submitting homework assignments: https://www.gradescope.com/courses/937548
- Google Forms for in-class polls (more details next week)
- Panopto, for lecture recordings:
 https://scs.hosted.panopto.com/Panopto/Pages/Sessions/List.aspx#
 folderID=%22ae47ec9c-b29d-496a-9c3a-b25d0123781a%22

Logistics: Lecture Schedule

http://www.cs.cmu.edu/~mgormley/courses/10601/schedule.html



Date	Lecture	Readings	Announcements
	Classification &	Regression	
Mon, 13-Jan	[Slides] [In ked]	 Command Line and File I/O Tutorial. 10601 Course Staff (2020). 10601 Learning Objectives. Matt Gormley (2023). Math Resources. 10601 Course Staff (2023). 	HW1 Out
Wed, 15-Jan	Lecture 2 : Machine Learning as Function Approximation	• 10601 Notation Crib Sheet. Matt Gormley (2023).	
Fri, 17-Jan	Recitation: HW1		
Mon, 20-Jan	(MLK Day - No Class)		
Wed, 22-Jan	Lecture 3 : Decision Trees	 Visual Information Theory. Christopher Olah (2015). blog. Decision Trees. Hal Daumé III (2017). CIML, Chapter 1. 	HW1 Due HW2 Out
Fri, 24-Jan	Recitation: HW2		

Logistics: Lectures

- During lecture, you should ask lots of questions!
 - Interrupting (by raising a hand) to ask your question is strongly encouraged
 - Asking questions over Zoom or later via Piazza is also great
- When we ask you all a question, we really do want you to answer!
 - Even if you don't answer, think it through as if we had called on you
- Interaction improves learning, in-class, at office hours and amongst yourselves (to a point of course)

Wait, was there something about a HW in that lecture schedule?

http://www.cs.cmu.edu/~mgormley/courses/10601/schedule.html

Date	Lecture	Readings	Announcements
	Classification &	Regression	
Mon, 13-Jan	Lecture 1 : Course Overview	 Command Line and File I/O Tutorial. 10601 Course Staff (2020). 10601 Learning Objectives. Matt Gormley (2023). Math Resources. 10601 Course Staff (2023). 	HW1 Out
Wed, 15-Jan	Lecture 2 : Machine Learning as Function Approximation	• 10601 Notation Crib Sheet. Matt Gormley (2023).	
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Fri, 24-Jan	Recitation: HW2		

FAQ: Am I prepared to take this course?

- Answer: We don't know!
- But we have designed a way for you to assess your background knowledge for yourselves!
- HW1 released 1/13 (today!), due 1/22 at 11:59 PM
- Most HWs consist of two parts:
 - a written component
 - a programming component
- Unique policies for HW1 only:
 - Any written submission that receives a grade of 90% or higher will receive full credit
 - Any written submission that receives less than 90% can be resubmitted once for a (potentially) higher grade
 - You will have unlimited submissions to the autograder

Logistics: Assignments

http://www.cs.cmu.edu/~mgormley/courses/10601/coursework.html

Assignments

There will be 9 homework assignments during the semester in addition to the exams. The assignments will consist of both theoretical and programming problems. Homework assignments will be released via a Piazza announcement explaining where to find the handout, starter code, LaTeX template, etc.

The links to the Homework Handouts and Overleaf Templates will be provided below.

- Homework 1: Background Material (written / programming)
- Homework 2: Decision Trees (written / programming)
- Homework 3: KNN, Perceptron, and Linear Regression (written)
- Homework 4: Logistic Regression (written / programming)
- Homework 5: Neural Networks (written / programming)
- Homework 6: PAC Learning and Ethics (written)
- Homework 7: RNNs (written / programming)
- Homework 8: Reinforcement Learning (written / programming)
- Homework 9: Learning Paradigms (written)

Tentative release dates and due dates are listed on the Schedule page.

Exams

There will be three exams. The links to the Practice Problems and Exam Exit Polls will be provided below.

- Exam 1 (in-person): Lectures 1-7
- Exam 2 (in-person): Lectures 8-16
- Exam 3 (in-person): Lectures 17-27

Logistics: Exam Schedule

http://www.cs.cmu.edu/~mgormley/courses/10601/schedule.html

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Mon, 17-Feb	Lecture 11 : Neural Networks	 Deep Feedforward Networks. Ian Goodfellow and Yoshua Bengio and Aaron Courville (2016). Deep Learning, Chapter 6.1-6.4. 	
Mon, 17-Feb	Exam 1 (evening exam, details will be announced on Piazza)		HW4 Out

•

Wed, 26-Mar	Lecture 20 : Reinforcement Learning: MDPs	• Reinforcement Learning: A Survey. Kaelbling, et al (1996).	
Wed, 26-Mar	Exam 2 (evening exam, details will be announced on Piazza)		HW7 Out

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TBD, TBD	Exam 3	during Final Exam Period exact time/date TBD b	y the
	registra	; details will be announced on Piazza)	

Logistics: Office Hours

http://www.cs.cmu.edu/~mgormley/courses/10601/officehours.html

