

# CS-449 Project Milestone 2: Neighbourhood-based Personalized Recommendations with k-NN

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## Abstract

In this milestone, you will develop empirical understanding of a simple implementation of the k-NN algorithm by using it in your recommender system from the last Milestone. You will also analyze and measure the memory consumption and CPU time used to make predictions to compare against the previous simpler baseline.

## 1 Motivation: *Personalized* Recommendations

While some movies are highly rated by most users, most movies might appeal only to subsets of users<sup>1</sup>. In effect, to best answer the tastes of a maximum of users, you would like to provide *personalized* recommendations beyond the usual blockbusters. The approach you will try in this milestone is based on *collaborative filtering* [3], i.e. automatically identifying *similarities* in ratings between users to recommend highly rated movies from those users that are most similar. When tuned correctly, similarity approaches give higher prediction accuracy at the cost of higher computational complexity. Keeping all similarity values in memory, and using them for prediction, may be prohibitive in memory and computation time, so you will only keep the  $k$  most similar in a user's neighbourhood to reduce both, effectively basing your design on the k-NN algorithm.

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<sup>1</sup>This is an instance of the Long Tail distribution [https://en.wikipedia.org/wiki/Long\\_tail](https://en.wikipedia.org/wiki/Long_tail)

## 1.1 Dataset: MovieLens 100K

For this milestone, you will again use the MovieLens 100K dataset [1]. Again, for the sake of simplicity, you will only test on the `ml-100k/u1.test` dataset (with the corresponding `ml-100k/u1.base`).

## 2 Similarity-based Predictions

The global average deviation (Milestone 1, Eq. 4) gives an equal weight of  $\frac{1}{n}$  to all  $n$  users that provided ratings for item  $i$ . The core insight behind similarity-based techniques is that not all users are equally useful for predictions. Giving a different weight to different users, with higher weights to *similar* users, can therefore improve prediction accuracy.

There are many similarity metrics to choose from [2, 3] to determine how similar two users are. The adjusted cosine similarity [4] works relatively well and is simple, you will therefore use it for the rest of the project (in which  $I(u)$  are the items rated by user  $u$ ):

$$s_{u,v} = \frac{\sum_{i \in (I(u) \cap I(v))} \hat{r}_{u,i} * \hat{r}_{v,i}}{\sqrt{\sum_{i \in I(u)} (\hat{r}_{u,i})^2} * \sqrt{\sum_{i \in I(v)} (\hat{r}_{v,i})^2}} \quad (1)$$

The set intersection on the numerator selects only items that are in common. The summation in each term on the denominator normalizes the sum on the numerator. The root of a squared sum gives a higher weight to large deviations than a regular average. This similarity function ranges between  $[-1, 1]$ , with  $-1$  if two users rate at the maximum of the rating scale in opposite ways on all the same items, and  $1$  if two users rate in exactly the same direction at the maximum of the rating scale on the same items (e.g. if the two users are actually the same). Most of the similarity values will be between those two extremes.

You can now compute the user-specific weighted-sum deviation for an item  $i$  ( $\bar{\hat{r}}_{\bullet,i}(u)$ ), which is similar to Eq. 4 from Milestone 1 but gives a different weight to ratings of other users based on their similarity:

$$\bar{\hat{r}}_{\bullet,i}(u) = \frac{\sum_{v \in U(i)} s_{u,v} * \hat{r}_{v,i}}{\sum_{v \in U(i)} |s_{u,v}|} \quad (2)$$

The prediction equation is similar to Eq. 5 from Milestone 1 but incorporates the user-specific  $\bar{\hat{r}}_{\bullet,i}(u)$  of Eq. 2 instead of  $\bar{\hat{r}}_{\bullet,i}$  of Eq. 4 from Milestone 1.

$$p_{u,i} = \bar{r}_{u,\bullet} + \bar{\hat{r}}_{\bullet,i}(u) * scale((\bar{r}_{u,\bullet} + \bar{\hat{r}}_{\bullet,i}(u)), \bar{r}_{u,\bullet}) \quad (3)$$

### 2.1 Preprocessing Ratings

Notice that each term of the denominator of Eq. 1, i.e.  $\sqrt{\sum_{j \in I(u)} (\hat{r}_{u,j})^2}$ , is independent of the deviation  $\hat{r}_{u,i}$  for all  $j \in I(u)$ , the items rated by user  $u$ . By

virtue of the law of multiplication for fractions ( $\frac{a*c}{b*d} = \frac{a}{b} * \frac{c}{d}$ ), each term of the denominator can be applied independently, before the multiplication, to each  $\hat{r}_{u,i}$ :

$$\check{r}_{u,i} = \begin{cases} \frac{\hat{r}_{u,i}}{\sqrt{\sum_{j \in I(u)} (\hat{r}_{u,j})^2}} & \text{if } i \in I(u) \\ 0 & \text{otherwise} \end{cases} \quad (4)$$

You can use that property to preprocess ratings such that only the numerator multiplication of Eq. 1 remains to be computed:

$$s_{u,v} = \sum_{i \in (I(u) \cap I(v))} \check{r}_{u,i} * \check{r}_{v,i} \quad (5)$$

This should make your implementation faster.

## 2.2 Suggested Scala Implementation

Putting the previous pieces together, here is a suggestion of how to implement similarity computations in Scala (Algorithm 1):

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### Algorithm 1 Suggested Similarity Pseudo-Code

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```

1: Input  $r_{\bullet,\bullet}$  (ratings)
2:  $\check{r}_{\bullet,\bullet} \leftarrow \text{preprocess}(r_{\bullet,\bullet})$  ▷ Similar to Milestone 1 + Eq. 4
3: procedure  $\text{block}(u)$ 
4:   return  $\text{similarities}(u, \check{r}_{\bullet,\bullet})$  ▷ Compute all similarities for user  $u$ 
5: end procedure
6: return  $\text{range}(0, \text{nb\_users}).\text{map}(\text{block})$ 
```

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This is not strictly necessary, but by following this, you will find it easier to parallelize and scale in the next Milestone.

In the following questions, you will measure the effect of the previous similarity method on prediction accuracy, as well as analyze and measure its additional CPU and memory usage.

## 2.3 Questions

1. Compute the prediction accuracy (MAE on `ml-100k/u1.test`) of (Eq. 3). Report the result. Compute the difference between the Adjusted Cosine similarity and the baseline (*cosine* – *baseline*). Is the prediction accuracy better or worst than the baseline (Eq. 5 from Milestone 1)? (Use a baseline MAE of 0.7669)
2. Implement the Jaccard Coefficient<sup>2</sup>. Provide the mathematical formulation of your similarity metric in your report. Compute the prediction accuracy and report the result. Compute the difference between the Jaccard

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<sup>2</sup>[https://en.wikipedia.org/wiki/Jaccard\\_index](https://en.wikipedia.org/wiki/Jaccard_index)

Coefficient and the Adjusted Cosine similarity (Eq. 1, *jaccard – cosine*) Is the Jaccard Coefficient better or worst than Adjusted Cosine similarity?

3. How many  $s_{u,v}$  computations, as a function of the size of  $U$  (the set of users), have to be performed? How many does that represent for the 'ml-100k' dataset?
4. Compute the minimum number of multiplications required for each  $s_{u,v}$  on the `ml-100k/u1.base`.<sup>3</sup> (Tip: This is the number of common items,  $|I(u) \cap I(v)|$ , between  $u$  and  $v$ .) What are the min, max, average, and standard deviation for all similarities computed? Report those in a table.
5. How much memory, as a function of the size of  $U$ , is required to store all  $s_{u,v}$ , both zero and non-zero values? How many bytes are needed to store only the non-zero  $s_{u,v}$  on the 'ml-100k' dataset, assuming each non-zero  $s_{u,v}$  is stored as a double (64-bit floating point value)?
6. Measure the time required for computing predictions (with 1 Spark executor), including computing the similarities  $s_{u,v}$ . Provide the min, max, average, and standard-deviation over ten measurements. Discuss in your report whether the average is higher than the previous methods you measured in Milestone 1 (Q.3.1.5)? If this is so, discuss why.
7. Measure only the time for computing similarities (with 1 Spark executor). Provide the min, max, average and standard-deviation over ten measurements. What is the average time per  $s_{u,v}$  in microseconds? On average, what is the ratio between the computation of similarities and the total time required to make predictions? Are the computation of similarities significant for predictions?

## 2.4 Tips

- Using equal similarities, such as  $s_{u,v} = 1$  for all users, should result in a MAE for Eq. 3, equal to that of Eq.5 of Milestone 1. Once, you have ensured this, the only reason why you may not observe an improvement compared to the baseline is that your similarity computation (Eq. 1) is incorrect.
- The denominator of Eq. 1 and Eq. 4 should really be a sum over items, and not users. It can be easy to confuse the two with some data structures.
- The user-specific weighted-sum deviation (Eq. 2) should be computed for all users  $u$  and all items  $i$  (for all ratings to be predicted). Moreover,  $v$  is independent from  $u$  but  $u$  may also be included in  $U(i)$  in some cases.

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<sup>3</sup>This is a lower bound. As an alternative, you could choose to implement the numerator of Eq. 1 with a matrix multiplication or dot product, by setting to 0 the value of ratings not provided by either user. This would increase the number of multiplications but may still result in a faster implementation than performing a set intersection beforehand.

### 3 Neighbourhood-Based Predictions

The similarity method of the previous section lowers the weight of some ratings such that they become much less significant for the final prediction. The insight of neighbourhood method is that the least significant can actually be ignored, with limited negative, and sometimes positive, impact on predictions. Formally, that means we nullify the similarity values for a majority of pairs of users ( $s_{u,v} = 0$ ) and therefore the deviations (ratings) multiplied by a null similarity (in Eq. 2) are not considered.

Keeping only the  $k$  nearest neighbours, according to a similarity metric (ex: Eq. 1), gives us the  $k$ -NN algorithm which has the added benefit of lowering memory usage, data transfers, and prediction time. The actual impact of the neighbourhood size  $k$  on the prediction accuracy is dependent on the dataset, similarity metric, and prediction methods. This needs to be investigated empirically for every specific problem, which you will do in the following questions. You will also investigate the reduction in memory usage possible, and the capabilities of modern hardware to support large number of users.

#### 3.1 Suggested Scala Implementation

The k-NN algorithm, at the core of your personalized recommender, can be implemented as suggested in Algorithm 2. It essentially only adds  $top(k, s)$ , to select the top similarities, to Algorithm 1 (this should not include the self-similarity of a user, which will always be 1 and will never be used for prediction of unrated items).

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#### Algorithm 2 Suggested k-NN Pseudo-Code

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```

1: Input  $r_{\bullet,\bullet}$  (ratings),  $k$ 
2:  $\check{r}_{\bullet,\bullet} \leftarrow \text{preprocess}(r_{\bullet,\bullet})$  ▷ Similar to Milestone 1 + Denom. of Eq. 1
3: procedure  $block(u)$ 
4:    $s_{u,\bullet} \leftarrow \text{similarities}(u, \check{r}_{\bullet,\bullet})$  ▷ Compute all similarities for user  $u$ 
5:   return  $top(k, s_{u,\bullet})$  ▷ Return the  $k$  highest
6: end procedure
7: return  $\text{range}(0, nb\_users).map(block)$ 

```

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Note that  $top(k, s_{u,\bullet})$  should not only return the highest similarity values, but also the corresponding users  $v$  to distinguish them from the others with a similarity of 0. You may use a sparse data structure, a dictionary/map, or any other data structure that can associate a user id to a similarity value.

#### 3.2 Questions

1. What is the impact of varying  $k$  on the prediction accuracy? Provide the MAE (on `ml-100k/u1.test`) for  $k = 10, 30, 50, 100, 200, 300, 400, 800, 943$ . What is the lowest  $k$  such that the MAE is lower than for the baseline

method (Eq. 5 of Milestone 1)? How much lower? (Use a baseline MAE of 0.7669, and compute *lowest $k$  – baseline*)

2. What is the minimum number of bytes required, as a function of the size of  $U$ , to store only the  $k$  nearest similarity values for all possible users  $u$ , i.e. top  $k$   $s_{u,v}$  for every  $u$ , for all previous values of  $k$  (with the `ml-100k` dataset)? Assume an ideal implementation that stored only similarity values with a double (64-bit floating point value) and did not use extra memory for the containing data structures (this represents a lower bound on memory usage). Provide the formula in the report. Compute the number of bytes for each value of  $k$  in your code.
3. Provide the RAM available in your laptop. Given the lowest  $k$  you have provided in Q.3.2.1, what is the maximum number of users you could store in RAM? Only count the similarity values, and assume you were storing values in a simple sparse matrix implementation that used 3x the memory than what you have computed in the previous section (2 64-bit integers for indices and 1 double for similarity values).
4. Does varying  $k$  has an impact on the number of similarity values ( $s_{u,v}$ ) to compute, to obtain the exact  $k$  nearest neighbours? If so, which? Provide the answer in your report.
5. Report your personal top 5 recommendations with the neighbourhood predictor (Eq. 3) with  $k = 30$  and  $k = 300$ . How much do they differ between the two different values of  $k$ ? How much do they differ from those of the previous Milestone?
  - If you are using your `personal.csv` file from last Milestone, modify line 177 to use the updated title `The Good the Bad and the Ugly`, without quotes or comma, if that was not already the case. The previous versions in Template 1 instead used `"Good, the Bad and the Ugly The"` which tripped up some simple CSV parsers. The empty `personal.csv` file from the second template already incorporates the change.
  - Please ensure the `personal.csv` file with your ratings does use commas (',' ) and not semi-colons (';') as separators after being saved, as sometimes Excel does. The simplest way is simply to open the file in a text editor, such as Notepad, and add your ratings at the end of the line.

### 3.3 Tips

- Check that the prediction scores for the recommended items are indeed close to 5.
- You may be tempted to avoid storing all similarities, and instead keep only the top  $k$  as they are computed to make your code efficient. Remember

to always make your code *correct* first, and *efficient* later: this way you can compare your optimized version against a correct one to ensure you are not breaking anything.

## 4 Deliverables

You can start from the latest version of the template:

- Zip Archive: <https://gitlab.epfl.ch/sacs/cs-449-sds-public/project/cs449-Template-M2/-/archive/master/cs449-Template-M2-master.zip>
- Git Repository:

```
git clone
```

```
https://gitlab.epfl.ch/sacs/cs-449-sds-public/project/cs449-Template-M2.  
git
```

We may update the template to clarify or simplify some aspects based on student feedback during the semester, so please refer back to <https://gitlab.epfl.ch/sacs/cs-449-sds-public/project/cs449-Template-M2> to see the latest changes.

Provide answers to the previous questions in a **pdf** report (if your document saves in any other format, export/print to a pdf for the submission). Also, provide your source code (in Scala) and your personal movie ratings in a single archive:

```
CS449-YourID-M2/  
  README.md  
  report-YourID-M2.pdf  
  build.sbt  
  data/personal.csv  
  project/build.properties  
  project/plugins.sbt  
  src/main/scala/similarity/Predictor.scala  
  src/main/scala/knn/Predictor.scala  
  src/main/scala/recommend/Recommender.scala
```

Add any other packages or source files you have created. Remove all other unnecessary folders (ex: `project/project`, `project/target`, and `target`). Ensure your project automatically and correctly downloads the missing dependencies and correctly compile from only the files you are providing. Ensure the `similarity.json`, `knn.json`, and `recommendations.json` files are re-generated correctly using the commands listed in `README.md`. If in doubt, refer to the `README.md` file for more detail.

Once you have ensured the previous, remove again all unnecessary folders, as well as the dataset (`data/ml-100k` and `data/ml-100k.zip`, if present), zip your archive (`CS449-YourID-M1.zip`), and submit to the TA. Your archive should be around or less than 1MB.

## 5 Grading

We will use the following grading scheme:

	<b>Points</b>
Questions	25
Source Code Quality & Organisation	5
<b>Total</b>	<b>30</b>

Points for 'Source Code' will reflect how easy it was for the TA to run your code and check your answers. We will enforce both the location of input files (`personal.csv`), the minimal project structure of the previous section, as well as the JSON output format: deviations will cost points. If you really need to change any of those, please ask on the Moodle forum first.

Grading for answers to the questions without accompanying executable code will be 0.

Ensure your code takes less than 10 minutes to produce all answers on your machine, we will kill scripts that take more than that amount of time when grading. Unanswered questions will obtain 0.

### 5.1 Collaboration vs Plagiarism

You are encouraged to help each other better understand the material of the course and the project by asking questions and sharing answers. You are also very much encouraged to help each other learn the Scala syntax, semantics, standard library, and idioms and Spark's Resilient Distributed Data types and APIs. It is also fine if you compare answers to the questions before submitting your report and code for grading. The dynamics of peer learning can enable the entire class to go much further than each person could have gone individually, so it is very welcome.

However, you should write the report and code individually. You should also compare answers *only after having attempted the best shot you can do alone*, well ahead of the deadline, and after doing your best to understand the material and hone your skills. The main reason is pedagogical: we have done our best to prepare a project that removes much of the accidental complexity of the topic, would be much more accessible than learning directly from the research literature, and would be deeper and more balanced than marketing material for the latest technologies. But for that pedagogical experience to give its fruits, you have to put enough efforts to have it grow on you.

To make grading simpler and scalable, so you will have feedback in a timely manner, we have opened the possibility to short-cutting the entire learning process and go for maximal grade with minimal effort. If you do so, you will not only completely waste a great personal opportunity to develop useful skills, you will lower the reputation of an EPFL education for all your colleagues, and you will be wasting the resources Society is collectively investing in your education. So we will be remorseless and drastically give 0 to all submissions that are copies of one another.



## 6 Updates

Since the original release of the Milestone description on April 8th, we have made the following changes:

- Explicitly put the definition of  $\hat{r}_{u,i}$  from Milestone 1 in the Notation section to remove any ambiguity. Prompted by Raphael and Sorin-Sebastian questions: <https://moodle.epfl.ch/mod/forum/discuss.php?d=57655#p117259>.
- Added clarification that a user’s self-similarity should not be included in k-NN. Prompted by Dhruti’s question: <https://moodle.epfl.ch/mod/forum/discuss.php?d=57768#p117495>.

## References

- [1] HARPER, F. M., AND KONSTAN, J. A. The MovieLens datasets: History and context. *ACM Transactions on Interactive Intelligent Systems* 5, 4 (Dec. 2015), 19:1–19:19.
- [2] HERLOCKER, J., KONSTAN, J. A., AND RIEDL, J. An empirical analysis of design choices in neighborhood-based collaborative filtering algorithms. *Information retrieval* 5, 4 (2002), 287–310.
- [3] KARYDI, E., AND MARGARITIS, K. Parallel and distributed collaborative filtering: A survey. *ACM Comput. Surv.* 49, 2 (Aug. 2016).
- [4] SARWAR, B., KARYPIS, G., KONSTAN, J., AND RIEDL, J. Item-based collaborative filtering recommendation algorithms. In *Proceedings of the 10th international conference on World Wide Web* (2001), pp. 285–295.

## A Notation

- $u$  and  $v$ : *users* identifiers
- $i$  and  $j$ : *items* identifiers
- $\bar{r}_{\bullet,\bullet}$ : average over a range, with  $\bullet$  representing all possible identifiers, either *users*, *items*, or both (ex:  $\bar{r}_{\bullet,i}, \bar{r}_{u,\bullet}, \bar{r}_{\bullet,\bullet}$ ), ex:  $\bar{r}_{u,\bullet} = \frac{\sum_{r_{u,i} \in \text{Train}} r_{u,i}}{\sum_{r_{u,i} \in \text{Train}} 1}$
- $\hat{r}_{u,i}$ : normalized deviation from the average  $\bar{r}_{u,\bullet}$ :

$$\hat{r}_{u,i} = \frac{r_{u,i} - \bar{r}_{u,\bullet}}{\text{scale}(r_{u,i}, \bar{r}_{u,\bullet})} \quad (6)$$

with a scale specific to a user's average rating:

$$scale(x, \bar{r}_{u,\bullet}) = \begin{cases} 5 - \bar{r}_{u,\bullet} & \text{if } x > \bar{r}_{u,\bullet} \\ \bar{r}_{u,\bullet} - 1 & \text{if } x < \bar{r}_{u,\bullet} \\ 1 & \text{if } x = \bar{r}_{u,\bullet} \end{cases} \quad (7)$$

- $r_{u,i}$ : rating of user  $u$  on item  $i$ , ( $u$  is always written before  $i$ )
- $p_{u,i}$ : predicted rating of user  $u$  on item  $i$
- $|X|$ : number of items in set  $X$
- $*$ : scalar multiplication
- $r_{u,i}, r_{v,i} \in \text{Train}$ : both  $r_{u,i}$  and  $r_{v,i}$  are elements of  $\text{Train}$  for the same  $i$
- $1_x$ : indicator function,  $\begin{cases} 1 & \text{if } x \text{ is true} \\ 0 & \text{otherwise} \end{cases}$
- $u, v \in U$ : shorthand for  $\forall u \in U, \forall v \in U$
- $R(u, n)$ : top  $n$  recommendations for user  $u$  as a list
- $sorted_{\searrow}(x)$ : sort the list  $x$  in decreasing order
- $[x|y]$ : create a list with elements  $x$  such that  $y$  is true for each of them
- $top(n, l)$ : return the highest  $n$  elements of list  $l$
- $U$ : set of users
- $I$ : set of items
- $U(i)$ : is the set of users with a rating for item  $i$  ( $\{u | r_{u,i} \in \text{Train}\}$ )
- $I(u)$ : is the set of items for which user  $u$  has a rating ( $\{i | r_{u,i} \in \text{Train}\}$ )
- $I(u) \cap I(v)$ : Intersection of (common) items rated by both  $u$  and  $v$