# CSE 417T Introduction to Machine Learning

Lecture 14

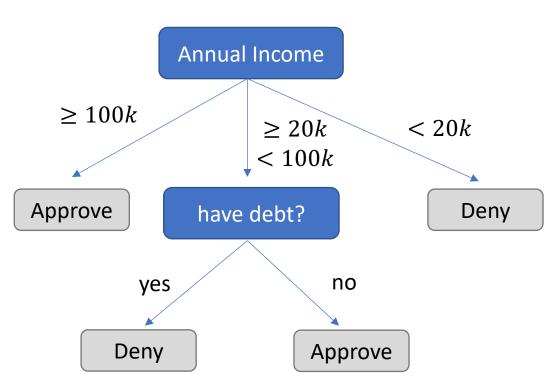
Instructor: Chien-Ju (CJ) Ho

#### Logistics

- Homework 3: due yesterday (Wednesday)
  - If you still have late days, the final due is tomorrow
  - Track your own late-day usages
    - Assignments over-using late days won't be graded
- Exam 1: October 27 (Thursday)
  - Topics: LFD Chapters 1 to 5
  - Timed exam (75 min) during lecture time
  - Location TBD
  - Closed-book exam with 2 letter-size cheat sheets allowed (4 pages in total)
    - No format limitations (it can be typed, written, or a combination)
- October 25 (Tuesday) will be a review session
  - Practice questions are posted on Piazza (will be discussed during the review session)

# Recap

#### Decision Tree <u>Hypothesis</u>



#### Pros

- Easy to interpret (interpretability is getting attention and is important in some domains)
- Can handle multi-type data (Numerical, categorical. ...)
- Easy to implement (Bunch of if-else rules)

#### Cons

- Generally speaking, bad generalization
- VC dimension is infinity
- High variance (small change of data leads to very different hypothesis)
- Easily overfit
- Why we care?
  - One of the classical model
  - Building block for other models (e.g., random forest)

Credit Card Approval Example

### ID3: Using Information Gain as Selection Criteria

- Information gain of choosing feature A to split
  - $Gain(D,A) = H(D) \sum_{i} \frac{|D_{i}|}{|D|} H(D_{i})$  [The amount of decrease in entropy]
- ID3: Choose the split that maximize Gain(D, A)

Notations: H(D): Entropy of D |D| is the number of points in D

#### DecisionTreeLearn(D)

Create a root node r

If termination conditions are met

return a single node tree with leaf prediction based on

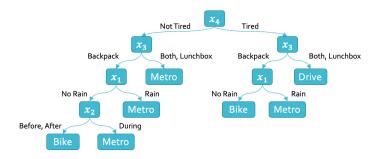
Else: Greedily find a feature A to split according to split criteria For each possible value  $v_i$  of A

Let  $D_i$  be the dataset containing data with value  $v_i$  for feature ACreate a subtree DecisionTreeLearn( $D_i$ ) that being the child of root r

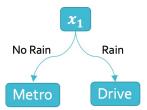
- ID3 termination conditions
  - If all labels are the same
  - If all features are the same
  - If dataset is empty
- ID3 leaf predictions
  - Most common labels (majority voting)
- ID3 split criteria
  - Information gain

#### Ensemble Learning

- Goal: Utilize a set of weak learners to obtain a strong learner.
- One common way to construct weak learners is via decision trees
  - Fully grown decision trees
    - High variance
    - Low bias



- Decision stump (One-depth decision trees, split on only one attribute)
  - Low variance
  - High bias



#### Ensemble Learning

Goal: Utilize a set of weak learners to obtain a strong learner.

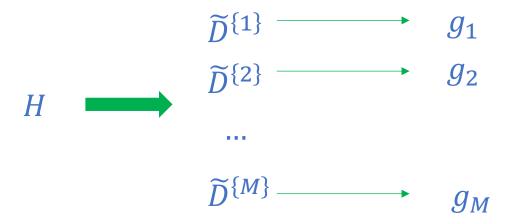
- Format of ensemble learning
  - Construct many diverse weak learners
  - Aggregate the weak learners

#### **Bagging**

- Construct diverse weak learners
  - (Simultaneously) bootstrap datasets
  - Train weak learners on them
- Aggregate the weak learners
  - Uniform aggregation

#### Bagging - Bootstrapped Aggregating

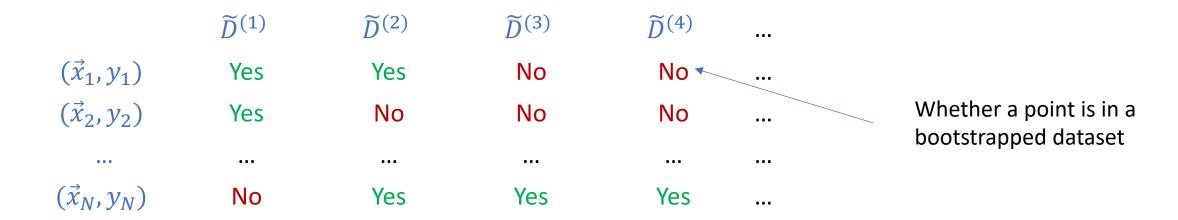
- Bootstrap M datasets  $\{\widetilde{D}^{\{m\}}\}$  (Sample with replacement from D)
- Learn a hypothesis from each of them



• Aggregate the learned hypothesis (assume we are doing classification)

$$G(\vec{x}) = \bar{g}(\vec{x}) = sign\left(\frac{1}{M}\sum_{m=1}^{M} g_m(\vec{x})\right)$$

### Out-Of-Bag (OOB) Error



- $G_n^-$ : the aggregation of hypothesis that  $\vec{x}_n$  is OOB of
  - $G_1^- = \operatorname{aggregate}(g_3, g_4, \dots)$
  - $G_2^- = aggregate(g_2, g_3, g_4, ...)$
  - $G_N^- = \operatorname{aggregate}(g_1, \dots)$

#### Aggregate:

Majority voting for classification Average for regression

- OOB Error
  - $E_{OOB}(G) = \frac{1}{N} \sum_{n=1}^{N} \text{error}(G_n^-(\vec{x}_n), y_n)$

#### Error:

Binary error for classification Squared error for regression

### Out-Of-Bag (OOB) Error

$$E_{OOB}(G) = \frac{1}{N} \sum_{n=1}^{N} \operatorname{error}(G_n^-(\vec{x}_n), y_n)$$

- Bagging provided an intrinsic mechanism for us to perform validation
- Practical issues (you might face this in HW4)
  - What if some  $\vec{x}_n$  appears in all bootstrapped datasets?
    - The probability of this happening is small when the number of bags M is large
  - Let S be the set of points that is out of bag for at least one bootstrapped dataset

• 
$$E_{OOB}(G) = \frac{1}{|S|} \sum_{(\vec{x}_n, y_n) \in S} \operatorname{error}(G_n^-(\vec{x}_n), y_n)$$

#### Random Forest

- Construct many random trees
  - Bootstrapping datasets and learn a max-depth tree for each of them
  - Other randomizations (not required in HW4)
    - When choosing split features, choose from a random subset (instead of all features)
    - Randomly project features (similar to non-linear transformation) for each tree
- Aggregate the random trees
  - Classification: Majority vote  $\bar{g}(\vec{x}) = sign\left(\frac{1}{M}\sum_{m=1}^{M}g_m(\vec{x})\right)$
  - Regression: Average  $\bar{g}(\vec{x}) = \frac{1}{M} \sum_{m=1}^{M} g_m(\vec{x})$

# Today's Lecture

The notes are not intended to be comprehensive. They should be accompanied by lectures and/or textbook. Let me know if you spot errors.

# Boosting

#### Ensemble Learning

Goal: Utilize a set of weak learners to obtain a strong learner.

- Format of ensemble learning
  - Construct many diverse weak learners
  - Aggregate the weak learners

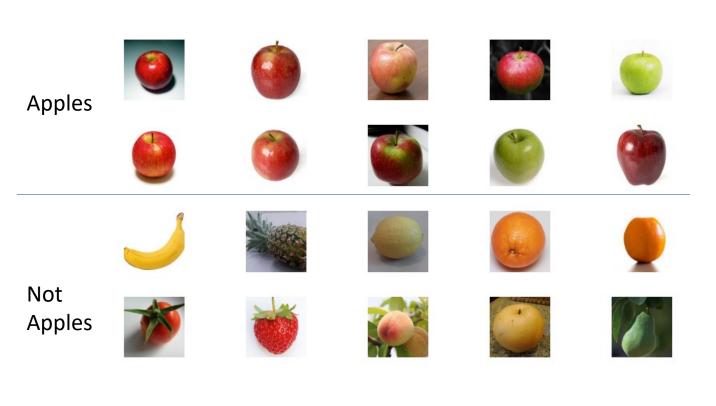
#### Bagging:

- Construct diverse weak learners
  - (Simultaneously) bootstrapping datasets
  - Train weak learners on them
- Aggregate the weak learners
  - Uniform aggregation

#### **Boosting**

- Construct diverse weak learners
  - Adaptively generating datasets
  - Train weak learners on them
- Aggregate the weak learners
  - Weighted aggregation

• Example: Teach a class of kids to identify apples from data



Alice: Apples are circular

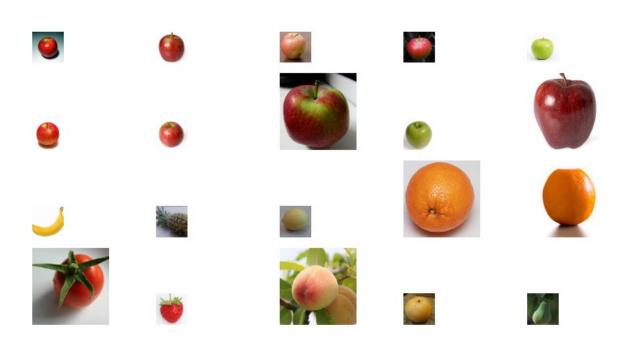
• Teacher:

Circular is a good feature, but using this feature might make some mistakes

Let me highlight the mistakes.

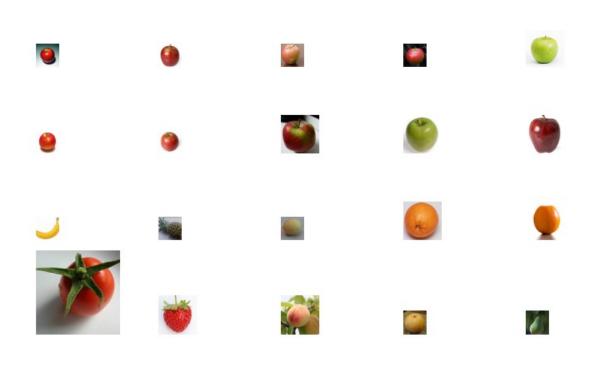
- Make correct images smaller
- Make incorrect images larger

• Example: Teach a class of kids to identify apples from data



- Alice: Apples are circular
- Bob: Apples are red

• Example: Teach a class of kids to identify apples from data



- Alice: Apples are circular
- Bob: Apples are red
- Charlie: Apples could be green

• Example: Teach a class of kids to identify apples from data



- Alice: Apples are circular
- Bob: Apples are red
- Charlie: Apples could be green
- David: Apples have stems at the top
- Class: Apples are somewhat circular, somewhat red, possibly green, and may have stems at the top

• Example: Teach a class of kids to identify apples from data

#### Key steps of this process:

- Learn a simple hypothesis for each dataset
- Iteratively update the dataset to focus on what we got wrong (i.e., create diversity)
- Aggregate the learned simple hypothesis

- Alice: Apples are circular
- Bob: Apples are red
- Charlie: Apples could be green
- David: Apples have stems at the top
- Class: Apples are somewhat circular, somewhat red, possibly green, and may have stems at the top

#### Outline of a Boosting Algorithm

- Initialize  $D_1$  (usually the same as the initial dataset D)
- For t = 1 to T
  - Learn  $g_t$  from  $D_t$
  - Reweight the distribution and obtain  $D_{t+1}$  based on  $g_t$  and  $D_t$
- Output weighted-aggregate( $g_1, ..., g_T$ )
  - Classification:  $G(\vec{x}) = \bar{g}(\vec{x}) = sign\left(\frac{1}{T}\sum_{t=1}^{M} \alpha_t g_t(\vec{x})\right)$

#### Questions

How to learn  $g_t$  from  $D_t$ How to reweight the distribution and obtain  $D_{t+1}$ How to perform weighted aggregation

### Discussion on Re-weighted $D_t$ (What does re-weighting mean?)

- Original Dataset  $D = \{(\vec{x}_1, y_1), \dots, (\vec{x}_N, y_N)\}$
- Notation of  $D_t$ 
  - $D_t(n)$  is the weight/probability of data point  $(\vec{x}_n, y_n)$  in  $D_t$
  - $\sum_{n=1}^{N} D_t(n) = 1$
- What is  $E_{in}(h)$  on  $D_t$ ? (Expressed as  $E_{in}^{(D_t)}(h)$ )
  - Re-sample dataset (noisier)
    - Re-sample the dataset from D according to distribution  $D_t$
    - Calculate  $E_{in}$  on the re-sampled dataset as usual
  - Calculate weighted error
    - $E_{in}^{(D_t)}(h) = \sum_{n=1}^{N} D_t(n) \operatorname{error}(h(\vec{x}_n), y_n)$

When  $D_t(n) = 1/N$ . This reduces to standard definition of  $E_{in}$ .

# AdaBoost – Adaptive Boosting

How to learn  $g_t$  from  $D_t$ How to reweight the distribution and obtain  $D_{t+1}$ How to perform weighted aggregation

[AdaBoost focuses on classification problem]

#### **Boosting Background**

- A theoretical question asked by Kearns and Valiant
  - Whether a "weak" learning algorithm which performs just slightly better than random guessing in the PAC model can be "boosted" into an arbitrarily accurate "strong" learning algorithm
- AdaBoost
  - The first adaptive boosting algorithm that
    - has nice theoretical guarantees
    - successfully deployed in real-world applications

#### What Does AdaBoost Do?

#### Outline of a Boosting Algorithm

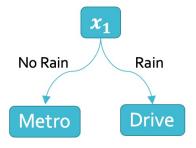
Initialize  $D_1$  (usually the same as the initial dataset D)

```
For t=1 to T
Learn g_t from D_t
Reweight the distribution and obtain D_{t+1} based on g_t and D_t
Output weighted-aggregate(g_1, \ldots, g_T)
Classification: G(\vec{x}) = \bar{g}(\vec{x}) = sign\left(\frac{1}{T}\sum_{t=1}^{M} \alpha_t g_t(\vec{x})\right)
```

- Will discuss the following for AdaBoost
  - 1. How to learn  $g_t$  from  $D_t$
  - 2. How to reweight the distribution and obtain  $D_{t+1}$
  - 3. How to perform weighted aggregation

### 1. Learn a Weak Learner $g_t$ from $D_t$

- AdaBoost uses simple weak learners
  - low variance, high bias
  - Decision stump (one-level decision tree) is one good option



- How to learn  $g_t$  from  $D_t$ 
  - Find the decision stump that
    - Minimizes  $E_{in}^{(D_t)}$  (recall the definition on this weighted in-sample error earlier)
    - Approximately: Maximize (weighted) information gain (you can call decision tree library directly)

#### 2. How to Reweight $D_{t+1}$ (based on $g_t$ and $D_t$ )

- We want to make  $g_{t+1}$  (learned from  $D_{t+1}$ ) to be diverse from  $g_t$ 
  - Increase the weights of points that  $g_t$  makes wrong predictions
  - Decrease the weights of points that  $g_t$  makes correct predictions
- Define a parameter  $\gamma > 1$ 
  - If  $g_t$  makes wrong predictions on  $\vec{\chi}_n$ 
    - $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \cdot \gamma$  (increase the weight)
  - If  $g_t$  makes correct predictions on  $\vec{x}_n$ 
    - $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) / \gamma$  (decrease the weight)

 $Z_t$ : normalization constant We need to ensure  $\sum_{n=1}^{N} D_{t+1}(n) = 1$ 

- Goal:

  - Choose  $\gamma$  such that  $E_{in}^{(D_{t+1})}(g_t)=0.5$  Since  $g_{t+1}$  minimizes  $E_{in}^{(D_{t+1})}=>g_t$  and  $g_{t+1}$  are diverse

Choose 
$$\gamma$$
 such that  $E_{in}^{(D_{t+1})}(g_t)=0.5$ 

Math derivations in the next few slides

- Define  $\epsilon_t = E_{in}^{(D_t)}(g_t) = \sum_{n=1}^N D_t(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n]$ 
  - Weighted in-sample error of  $g_t$  on  $D_t$
  - $\epsilon_t < 0.5$  (requirement of weak learners)
- Goal: Want to make  $E_{in}^{(D_{t+1})}(g_t) = 0.5$

We consider the case weak learners are better than random guessing:  $\epsilon_t < 0.5$ 

$$E_{in}^{(D_t)}(h) = \sum_{n=1}^{N} D_t(n) \operatorname{error}(h(\vec{x}_n), y_n)$$

- If  $g_t$  makes wrong predictions on  $\vec{x}_n$ 
  - $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \cdot \gamma$  (increase the weight)
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• Define 
$$\epsilon_t = E_{in}^{(D_t)}(g_t) = \sum_{n=1}^{N} D_t(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n]$$

- Weighted in-sample error of  $g_t$  on  $D_t$
- $\epsilon_t < 0.5$  (requirement of weak learners)
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$$E_{in}^{(D_{t+1})}(g_t) = \sum_{n=1}^{N} D_{t+1}(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n]$$

$$= \sum_{n=1}^{N} \frac{1}{Z_t} D_t(n) \gamma \mathbb{I}[g_t(\vec{x}_n) \neq y_n]$$

$$= \frac{\gamma}{Z_t} \sum_{n=1}^{N} D_t(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n] = \frac{\gamma}{Z_t} \epsilon_t$$

• Remember  $Z_t$  is the normalization constant

We consider the case weak learners are better than random guessing:  $\epsilon_t < 0.5$ 

$$E_{in}^{(D_t)}(h) = \sum_{n=1}^{N} D_t(n) \operatorname{error}(h(\vec{x}_n), y_n)$$

- If  $g_t$  makes wrong predictions on  $\vec{x}_n$ 
  - $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \cdot \gamma$  (increase the weight)
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• Define 
$$\epsilon_t = E_{in}^{(D_t)}(g_t) = \sum_{n=1}^{N} D_t(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n]$$

- Weighted in-sample error of  $g_t$  on  $D_t$
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$$E_{in}^{(D_{t+1})}(g_t) = \sum_{n=1}^{N} D_{t+1}(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n]$$

$$= \sum_{n=1}^{N} \frac{1}{Z_t} D_t(n) \gamma \mathbb{I}[g_t(\vec{x}_n) \neq y_n]$$

$$= \frac{\gamma}{Z_t} \sum_{n=1}^{N} D_t(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n] = \frac{\gamma}{Z_t} \epsilon_t$$

$$E_{in}^{(D_t)}(h) = \sum_{n=1}^{N} D_t(n) \operatorname{error}(h(\vec{x}_n), y_n)$$

- If  $g_t$  makes wrong predictions on  $\vec{x}_n$ 
  - $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \cdot \gamma$  (increase the weight)
- If  $g_t$  makes correct predictions on  $\vec{x}_n$ 
  - $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) / \gamma$  (decrease the weight)

• Remember  $Z_t$  is the normalization constant

$$Z_t = \sum_{n=1}^N \gamma D_t(n) \mathbb{I}[g_t(\vec{x}_n) \neq y_n] + \sum_{n=1}^N \frac{1}{\gamma} D_t(n) \mathbb{I}[g_t(\vec{x}_n) = y_n]$$
$$= \gamma \epsilon_t + \frac{1}{\gamma} (1 - \epsilon_t)$$

• Want to make  $E_{in}^{(D_{t+1})}(g_t) = 0.5$ 

• 
$$E_{in}^{(D_{t+1})}(g_t) = \frac{\gamma}{Z_t} \epsilon_t$$

• 
$$Z_t = \gamma \epsilon_t + \frac{1}{\gamma} (1 - \epsilon_t)$$

• Want to make  $E_{in}^{(D_{t+1})}(g_t) = 0.5$ 

• 
$$E_{in}^{(D_{t+1})}(g_t) = \frac{\gamma}{Z_t} \epsilon_t$$

• 
$$Z_t = \gamma \epsilon_t + \frac{1}{\gamma} (1 - \epsilon_t)$$

• 
$$\frac{\gamma \epsilon_t}{\gamma \epsilon_t + (1 - \epsilon_t)/\gamma} = 0.5 \implies \frac{1 - \epsilon_t}{\gamma} = \gamma \epsilon_t \implies \gamma = \sqrt{\frac{1 - \epsilon_t}{\epsilon_t}}$$

• The rule for reweighting

• If 
$$g_t(\vec{x}_n) \neq y_n$$
, then  $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \left( \sqrt{\frac{1-\epsilon_t}{\epsilon_t}} \right)$ 

• If 
$$g_t(\vec{x}_n) = y_n$$
, then  $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \left(\sqrt{\frac{1-\epsilon_t}{\epsilon_t}}\right)^{-1}$ 

Both  $g_t(\vec{x}_n)$  and  $y_n$  are either +1 or -1 If  $g_t(\vec{x}_n) \neq y_n$ ,  $g_t(\vec{x}_n)y_n = -1$ If  $g_t(\vec{x}_n) = y_n$ ,  $g_t(\vec{x}_n)y_n = 1$  • Want to make  $E_{in}^{(D_{t+1})}(g_t) = 0.5$ 

• 
$$E_{in}^{(D_{t+1})}(g_t) = \frac{\gamma}{Z_t} \epsilon_t$$

• 
$$Z_t = \gamma \epsilon_t + \frac{1}{\gamma} (1 - \epsilon_t)$$

• 
$$\frac{\gamma \epsilon_t}{\gamma \epsilon_t + (1 - \epsilon_t)/\gamma} = 0.5 \implies \frac{1 - \epsilon_t}{\gamma} = \gamma \epsilon_t \implies \gamma = \sqrt{\frac{1 - \epsilon_t}{\epsilon_t}}$$

• The rule for reweighting

• If 
$$g_t(\vec{x}_n) \neq y_n$$
, then  $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \left( \sqrt{\frac{1-\epsilon_t}{\epsilon_t}} \right) = \frac{1}{Z_t} D_t(n) \left( \sqrt{\frac{1-\epsilon_t}{\epsilon_t}} \right)^{-g_t(x_n)y_n}$ 

• If 
$$g_t(\vec{x}_n) = y_n$$
, then  $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \left( \sqrt{\frac{1-\epsilon_t}{\epsilon_t}} \right)^{-1} = \frac{1}{Z_t} D_t(n) \left( \sqrt{\frac{1-\epsilon_t}{\epsilon_t}} \right)^{-g_t(\vec{x}_n)y_n}$ 

• Reweight rule: 
$$D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \left( \sqrt{\frac{1-\epsilon_t}{\epsilon_t}} \right)^{-g_t(\vec{x}_n)y_n}$$

### 2. How to Reweight $D_{t+1}$ : Summary

• Reweight rule:

• 
$$D_{t+1}(n) = \frac{1}{Z_t} D_t(n) \left( \sqrt{\frac{1-\epsilon_t}{\epsilon_t}} \right)^{-g_t(\vec{x}_n)y_n}$$

- A bit more manipulations (the reason will be clear later)
  - Define  $\alpha_t = \frac{1}{2} \ln \left( \frac{1 \epsilon_t}{\epsilon_t} \right)$
  - $e^{\alpha_t} = \sqrt{\frac{1-\epsilon_t}{\epsilon_t}}$
- Final reweight rule:  $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) e^{-\alpha_t g_t(\vec{x}_n) y_n}$

#### 3. How to Aggregate Weak Learners

#### • Intuition:

- We want to put more weights on better weak learners
- $\epsilon_t = E_{in}^{(D_t)}(g_t)$  is a proxy on how well  $g_t$  performs (smaller  $\epsilon_t$  => better  $g_t$ )
- Recall that  $\alpha_t = \frac{1}{2} \ln \left( \frac{1 \epsilon_t}{\epsilon_t} \right)$ 
  - Better  $g_t$ , smaller  $\epsilon_t$ , higher  $\alpha_t$
  - When  $\epsilon_t = 0.5$ ,  $\alpha_t = 0$  (random guessing leads to 0 weights)
  - When  $\epsilon_t = 0$ ,  $\alpha_t = \infty$  (if a feature perfectly classifies the data, use it as our final hypothesis)

#### Aggregation rule

• 
$$G(\vec{x}) = sign(\sum_{t=1}^{T} \alpha_t g_t(\vec{x}))$$

#### AdaBoost Algorithm

- Given  $D = \{(\vec{x}_1, y_1), ..., (\vec{x}_N, y_N)\}$
- Initialize  $D_1(n) = 1/N$  for all n = 1, ..., N
- For t = 1, ..., T
  - Learn  $g_t$  from  $D_t$  (using decision stumps)
  - Calculate  $\epsilon_t = E_{in}^{(D_t)}(g_t)$
  - Set  $\alpha_t = \frac{1}{2} \ln \left( \frac{1 \epsilon_t}{\epsilon_t} \right)$
  - Update  $D_{t+1}(n) = \frac{1}{Z_t} D_t(n) e^{-\alpha_t y_n g_t(\vec{x}_n)}$
- Output  $G(\vec{x}) = sign(\sum_{t=1}^{T} \alpha_t g_t(\vec{x}))$

### Theoretical Properties of AdaBoost

- See <u>Freund & Schapire's Tutorial</u> for more discussion
- The training error of AdaBoost converges fast
  - Let  $\gamma_t = \frac{1}{2} \epsilon_t$  (how good each weak learner is better than random guessing)
  - $E_{in} \leq e^{-2\sum_{t=1}^{T} \gamma_t^2}$

Generalization error

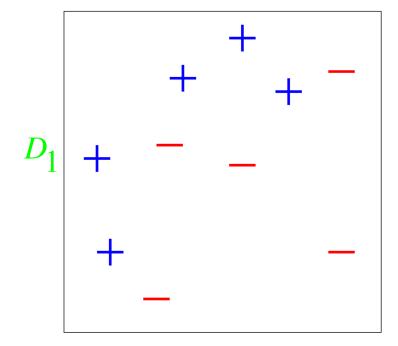
- VC analysis gives us  $E_{out} \leq E_{in} + \tilde{O}\left(\sqrt{\frac{Td_{vc}}{m}}\right)$
- It seems as T goes large, overfitting could happen
- Empirically, AdaBoost is relatively robust to overfitting
- There are some more delicate analysis using the idea of margins to explain why

 $d_{vc}$  is the VC dimension of the weak learner

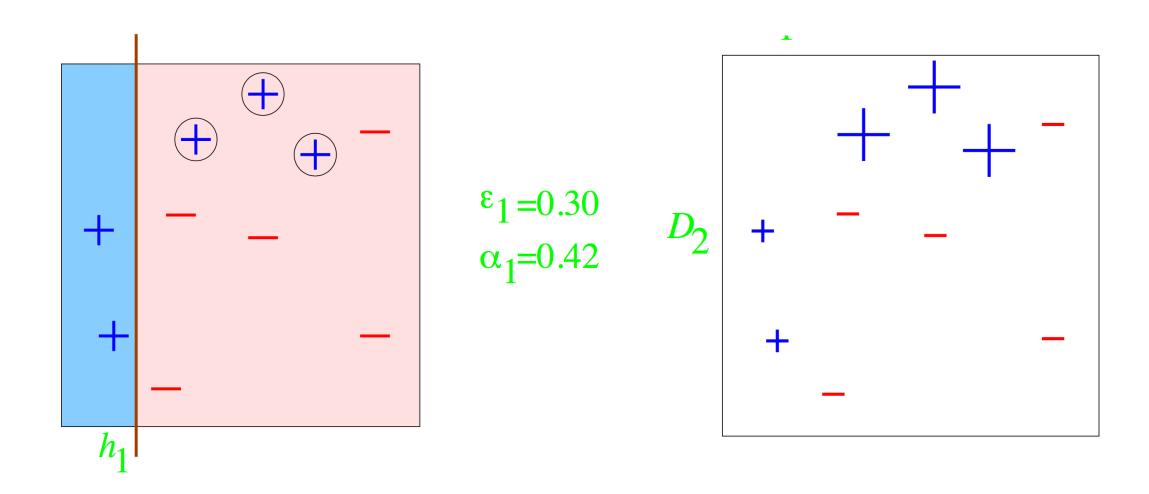
### AdaBoost in Action

#### AdaBoost in Action

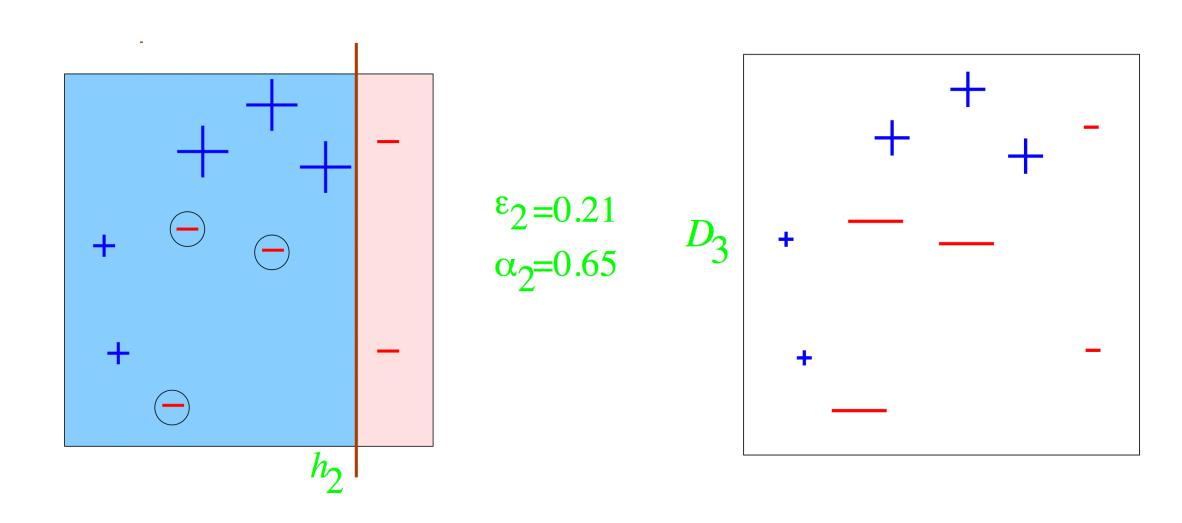
- A toy example (by Yoav Freund Rob Schapire)
- Weak learner: decision stump (one-level decision tree)



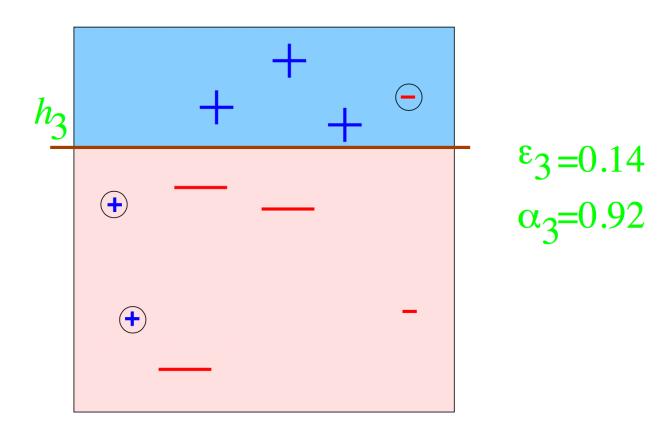
### Round 1

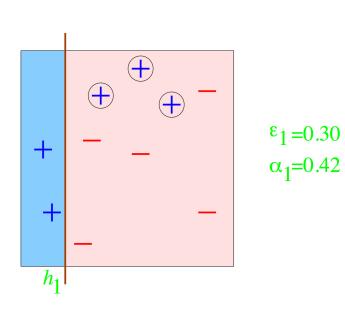


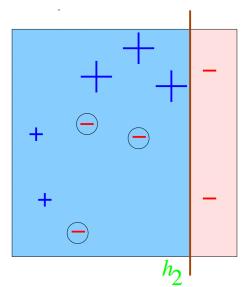
### Round 2

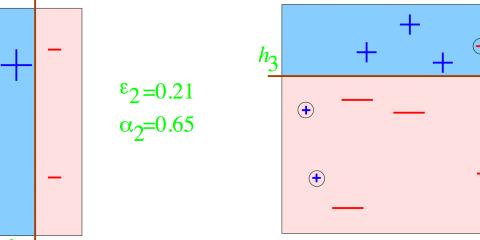


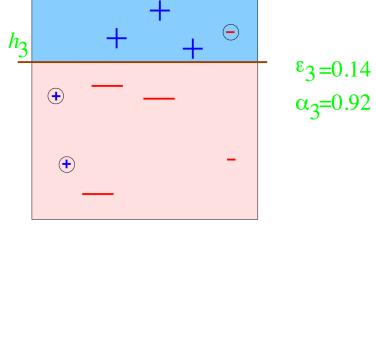
#### Round 3

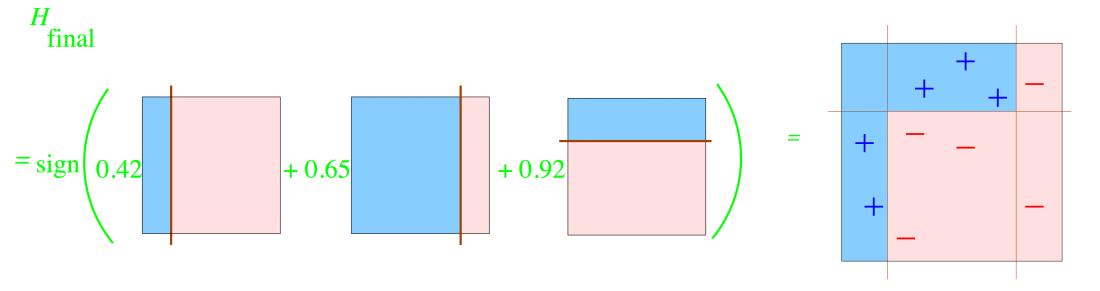








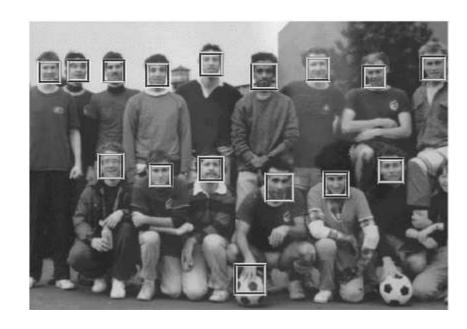


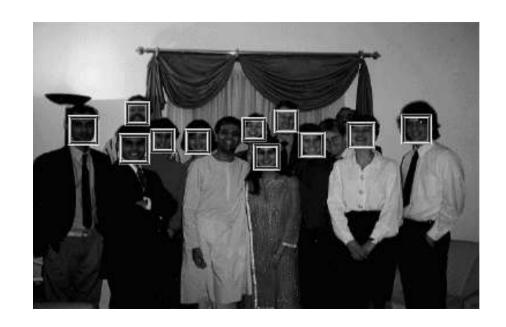


## Practical Success of AdaBoost

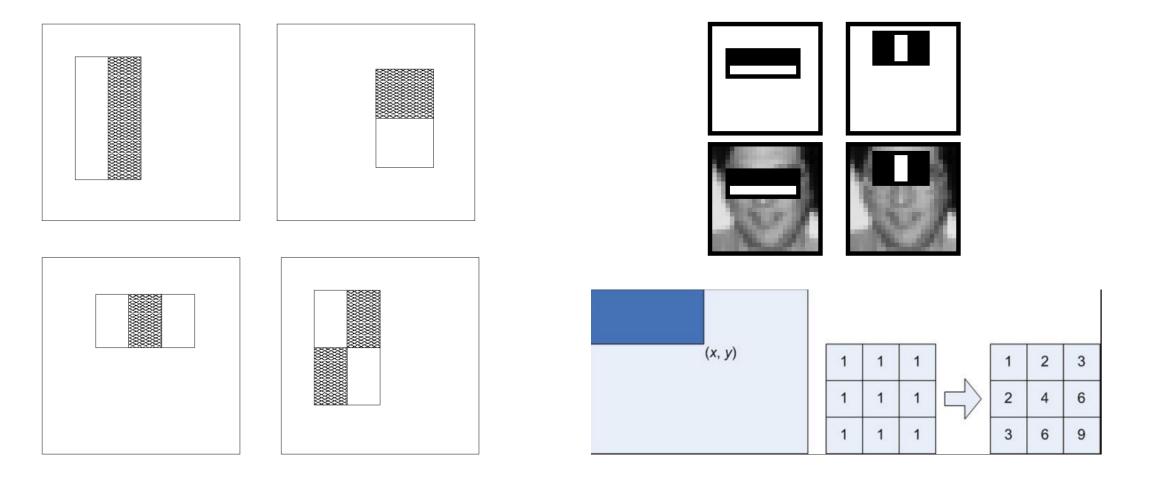
#### Viola-Jones Face Detection (2001)

- First real-time object detection framework
- Paul Viola and Michael Jones. Rapid object detection using a boosted cascade of simple features. CVPR 2001.

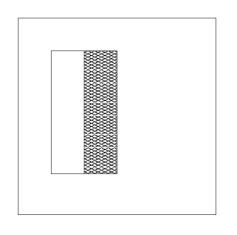


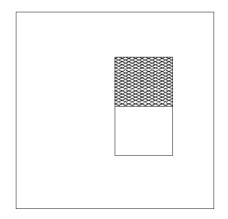


### Weak Learners (Haar wavelet features)

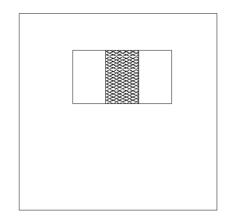


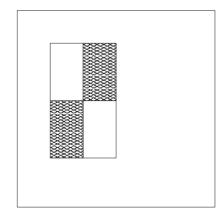
### Weak Learners (Haar wavelet features)





- Each hypothesis is very weak.
- There are many possible features.
  - For a 24x24 detection region, more then 160,000 features





- AdaBoost!
  - Training is slow
  - Testing is fast
    - (inherent feature selection)