

Classification, Halfspaces, the Perceptron algorithm

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Outline

Classification tasks

Half-space model

Perceptron algorithm

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Example of Classification

Use some model to determine a digit that was (hand)written in an image

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- ▶ Convert image to a vector (*in some way*) $\rightarrow \mathbf{x}$.
- ▶ Your model's output: $\hat{y}(\mathbf{x})$ is the (predicted) digit.

Provided with your data, an “observation” $y \in \{0, 1, \dots, 9\}$ of the digit being written.

Example of Classification

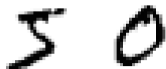
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y and \hat{y} are numbers on number line; but, use them like labels (or, separate buckets) to group points \mathbf{x} . When $y = 5$, predicting $\hat{y} = 4$ is not any better than $\hat{y} = 0$.

A handwritten digit '5' followed by a handwritten digit '0'.

Close only counts in horseshoes ...Regression

In linear regression, on indpt. variables x_0, x_1, \dots, x_{d-1} , had (affine) linear function $\hat{y} = p_0x_0 + p_1x_1 + \dots + p_{d-1}x_{d-1} + p_d$;
values of function \leftrightarrow prediction \hat{y} ; error term ε , so that $y = \hat{y} + \varepsilon$.

¹Should consider the output y here to be a random variable, with distribution that depends on x . In simple linear regression, ε is a random variable and

$$y = p_0x_0 + p_1 + \varepsilon.$$

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“Regression”

“Classification” tasks: the value y is a label and might not even be a number. The prediction \hat{y} is simply wrong, or not; close doesn't count. Good model: when $\hat{y} = y$ as often as possible.

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Using coordinates (x_1, x_2, \dots, x_d) in \mathbb{R}^d , a hyperplane H may be determined from $d + 1$ numbers w_1, w_2, \dots, w_d , and b . It consists of solutions to

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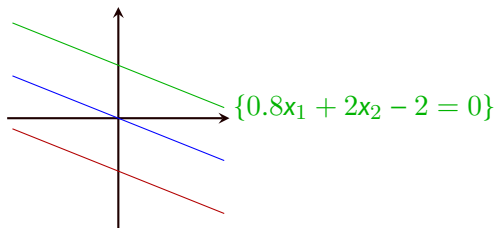


Figure: A few hyperplanes in \mathbb{R}^2 .

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A hyperplane in \mathbb{R}^d is an (affine) linear subspace that separates \mathbb{R}^d in two. Using coordinates (x_1, x_2, \dots, x_d) in \mathbb{R}^d , a hyperplane H may be determined from $d + 1$ numbers w_1, w_2, \dots, w_d , and b . It consists of solutions to

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- Rewriting in vector form: $\mathbf{w} = (w_1, w_2, \dots, w_d)$, look for solutions $\mathbf{x} \in \mathbb{R}^d$ to the equation $\mathbf{w} \cdot \mathbf{x} + b = 0$.

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- ▶ Rewriting in vector form: $\mathbf{w} = (w_1, w_2, \dots, w_d)$, look for solutions $\mathbf{x} \in \mathbb{R}^d$ to the equation $\mathbf{w} \cdot \mathbf{x} + b = 0$.
- ▶ \mathbf{w} is a vector that is orthogonal to a $(d - 1)$ -dimensional subspace of \mathbb{R}^d ; $|b|$ corresponds to a translation away from the origin.

Half-space model

Using the notation from last slide:

a half-space model in \mathbb{R}^d is determined by $d + 1$ parameters w_1, w_2, \dots, w_d, b , which determine a hyperplane H ; the first d parameters grouped into a vector: $\mathbf{w} = (w_1, w_2, \dots, w_d)$.

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Given $\mathbf{x} \in \mathbb{R}^d$, the side of the hyperplane H it is on is determined by the sign of $\mathbf{w} \cdot \mathbf{x} + b$. Our half-space model: $h : \mathbb{R}^d \setminus H \rightarrow \{1, -1\}$.

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- ▶ (Positive side) Say that $h(\mathbf{x}) = 1$ if $\mathbf{w} \cdot \mathbf{x} + b > 0$.
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Given data with $\{\pm 1\}$ labels, if there exists a hyperplane H so that \mathbf{x} has label 1 if and only if it is on the positive side, the labeled data are called **linearly separable**.

Linearly separable

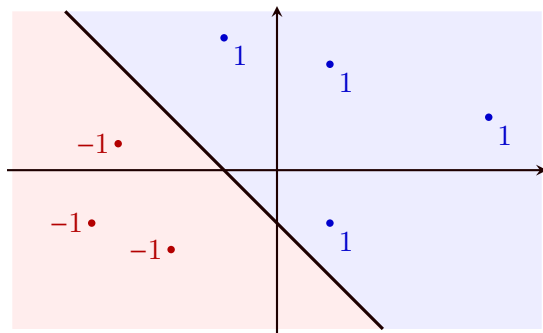


Figure: The hyperplane $H = \{(x_1, x_2) \in \mathbb{R}^2 : x_1 + x_2 + 1 = 0\}$, corresponding positive and negative regions, $\mathbf{w} = (1, 1)$, $b = 1$

Not linearly separable

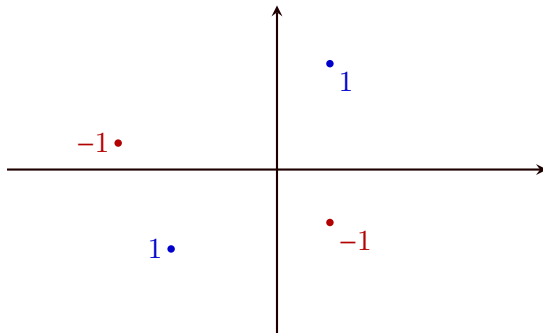


Figure: A data set in \mathbb{R}^2 that is not linearly separable.

Not linearly separable

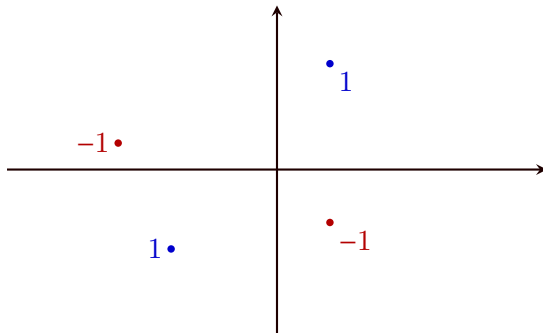


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- A criterion (checkable, in theory) that is equivalent to “not linearly separable”?

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Classification tasks

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Perceptron algorithm

Setup for Perceptron algorithm

Labeled data: $(\mathbf{x}_1, y_1), \dots, (\mathbf{x}_n, y_n)$, with $\mathbf{x}_i \in \mathbb{R}^d$ and $y_i \in \{\pm 1\}$ for all i . Assuming labeled data is linearly separable, the Perceptron algorithm is a procedure that is guaranteed to find a hyperplane that separates the data.²

²Introduced in *The perceptron: A probabilistic model for information storage and organization in the brain*, F. Rosenblatt, *Psychological Review* **65** (1958), 386–407.

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To describe it: for each \mathbf{x}_i , use X_i to denote the $(d + 1)$ -vector consisting of \mathbf{x}_i with 1 appended at the end;

Additionally, use W to denote the vector \mathbf{w} with b appended at the end.

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Additionally, use W to denote the vector \mathbf{w} with b appended at the end. Note that $W \cdot X_i = \mathbf{w} \cdot \mathbf{x}_i + b$.

For linearly separable data, our goal is to find $W \in \mathbb{R}^{d+1}$ so that $W \cdot X_i$ and y_i have the same sign (both positive or both negative), for all $1 \leq i \leq n$.

- Equivalently, we need $y_i W \cdot X_i > 0$ for all $1 \leq i \leq n$.

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Perceptron algorithm

Suppose the data is linearly separable. Also, \mathbf{x} is an $n \times d$ array of points, with i^{th} row equal to \mathbf{x}_i , and \mathbf{y} is array of the labels. The Perceptron algorithm finds \mathbf{W} iteratively as follows.³

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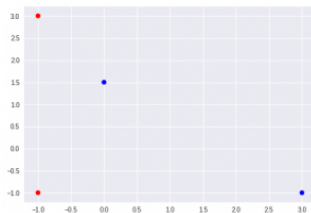
```
input:  $\mathbf{x}, \mathbf{y}$   ##  $\mathbf{x}$  is  $n$  by  $d$ ,  $\mathbf{y}$  is  $1d$  array
 $\mathbf{X} \leftarrow$  append 1 to each row of  $\mathbf{x}$ 
 $\mathbf{W} \leftarrow (0, 0, \dots, 0)$   ## Initial  $\mathbf{W}$ 
while (exists  $i$  with  $\mathbf{y}[i] * \text{dot}(\mathbf{W}, \mathbf{X}[i]) \leq 0$ ) {
     $\mathbf{W} \leftarrow \mathbf{W} + \mathbf{y}[i] * \mathbf{X}[i]$ 
}
return  $\mathbf{W}$ 
```

³Recall, in pseudo-code block, left-facing arrow means *assign* to variable on left.

Example

A simple example in \mathbb{R}^2 , with $n = 4$ points.

$$\mathbf{x}: \begin{bmatrix} -1 & 3 \\ -1 & -1 \\ 3 & -1 \\ 0 & 1.5 \end{bmatrix} \quad \mathbf{y}: \begin{bmatrix} -1 \\ -1 \\ 1 \\ 1 \end{bmatrix}$$



Example, continued

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Next step: $W^{(2)} = \vec{0} + y_1 X_1 = -1 * (-1, 3, 1) = (1, -3, -1)$.

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Next: since $y_1 W^{(2)} \cdot X_1 > 0$, check

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Continue in this way – on each step check dot products (in order) with $y_1 X_1, y_2 X_2, y_3 X_3, y_4 X_4$. Eventually you return the vector $W^{(10)} = (4, -0.5, 1)$.

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i.e., $H = \{(x_1, x_2) \in \mathbb{R}^2 : 4x_1 - 0.5x_2 + 1 = 0\}$ separates the points.

Perceptron algorithm, stopping time

Under our assumptions for Perceptron algorithm, a guarantee on eventually stopping.

Theorem

Define $R = \max_i |X_i|$ and $B = \min_i \{|V| : \forall i, y_i V \cdot X_i \geq 1\}$. Then, the Perceptron algorithm stops after at most $(RB)^2$ iterations and, when it stops with output W , then $y_i W \cdot X_i > 0$ for all $1 \leq i \leq n$.

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Idea of proof: Write W^* for vector that realizes the minimum B . Also, write $W^{(t)}$ for the vector W on the t^{th} step, with $W^{(1)} = (0, 0, \dots, 0)$.

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Now, by Cauchy-Schwarz inequality, $T \leq BR\sqrt{T}$, which we can rearrange to $T \leq (BR)^2$.

Another example, the Iris data set

First discussed by R.A. Fisher in a 1936 paper, Iris data set commonly used in explanations. It contains 150 points in \mathbb{R}^4 , each for an individual iris flower from one of 3 species: *Iris setosa*, *Iris virginica*, and *Iris versicolor*.



Figure: Images by G. Robertson, E. Hunt, Radomil ©CC BY-SA 3.0

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Iris setosa points are linearly separable from the other two.

Labels: *Iris setosa* \leftarrow 1; *Other species* \leftarrow -1.



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Begin by opening the notebook

`'perceptron-iris-notebook.ipynb'` ...After completing the algorithm, should get final $W = (w, b)$, where $w = (1.3, 4.1, -5.2, -2.2)$ and $b = 1$.



Figure: Images by G. Robertson, E. Hunt, Radomil ©CC BY-SA 3.0