



# Machine Learning in Production Versioning, Provenance, and Reproducability

# Foundational Technology for Responsible Engineering

## Fundamentals of Engineering AI-Enabled Systems

**Holistic system view:** AI and non-AI components, pipelines, stakeholders, environment interactions, feedback loops

### Requirements:

System and model goals  
User requirements  
Environment assumptions  
Quality beyond accuracy  
Measurement  
Risk analysis  
Planning for mistakes

### Architecture + design:

Modeling tradeoffs  
Deployment architecture  
Data science pipelines  
Telemetry, monitoring  
Anticipating evolution  
Big data processing  
Human-AI design

### Quality assurance:

Model testing  
Data quality  
QA automation  
Testing in production  
Infrastructure quality  
Debugging

### Operations:

Continuous deployment  
Contin. experimentation  
Configuration mgmt.  
Monitoring  
Versioning  
Big data  
DevOps, MLOps

**Teams and process:** Data science vs software eng. workflows, interdisciplinary teams, collaboration points, technical debt

## Responsible AI Engineering

Provenance,  
versioning,  
reproducibility

Safety

Security and  
privacy

Fairness

Interpretability  
and explainability

Transparency  
and trust

Ethics, governance, regulation, compliance, organizational culture

# Readings

## Required readings

- Sculley, D., Holt, G., Golovin, D., Davydov, E., Phillips, T., Ebner, D., Chaudhary, V., Young, M., Crespo, J.F. and Dennison, D., 2015. **Hidden Technical Debt in Machine Learning Systems**. In Advances in neural information processing systems (pp. 2503-2511).

# Learning Goals

- Judge the importance of data provenance, reproducibility and explainability for a given system
- Create documentation for data dependencies and provenance in a given system
- Propose versioning strategies for data and models
- Design and test systems for reproducibility

# Case Study: Credit Scoring



DHH   
@dhh · [Follow](#)



The [@AppleCard](#) is such a fucking sexist program. My wife and I filed joint tax returns, live in a community-property state, and have been married for a long time. Yet Apple's black box algorithm thinks I deserve 20x the credit limit she does. No appeals work.

8:34 PM · Nov 7, 2019



23K Reply Copy link

[Read 1.2K replies](#)



DHH · Nov 8, 2019

@dhh · [Follow](#)

Replying to @dhh

I wasn't even pessimistic to expect this outcome, but here we are: [@AppleCard](#) just gave my wife the VIP bump to match my credit limit, but continued to be an utter fucking failure of a customer service experience. Let me explain...



DHH · Nov 8, 2019

@dhh · [Follow](#)

She spoke to two Apple reps. Both very nice, courteous people representing an utterly broken and reprehensible system. The first person was like "I don't know why, but I swear we're not discriminating, IT'S JUST THE ALGORITHM". I shit you not. "IT'S JUST THE ALGORITHM!".

11:20 PM · Nov 8, 2019



3.7K Reply Copy link

[Read 54 replies](#)

- What model was used? Can we reproduce?
- What caused the issue? What data was used?



# Debugging?

What went wrong? Where? How to fix?



# Debugging Questions beyond Interpretability

- Can we reproduce the problem?
- What were the inputs to the model?
- Which exact model version was used?
- What data was the model trained with?
- What pipeline code was the model trained with?
- Where does the data come from? How was it processed/extracted?
- Were other models involved? Which version? Based on which data?
- What parts of the input are responsible for the (wrong) answer?
- How can we fix the model?

# Breakout Discussion: Movie Predictions

*Assume you are receiving complains that a child gets many recommendations about R-rated movies*

In a group, discuss how you could address this in your own system and post to #lecture, tagging team members:

- How could you identify the problematic recommendation(s)?
- How could you identify the model that caused the prediction?
- How could you identify the training code and data that learned the model?
- How could you identify what training data or infrastructure code "caused" the recommendations?

K.G Orphanides. [Children's YouTube is still churning out blood, suicide and cannibalism](#). Wired UK, 2018; Kristie Bertucci. [16 NSFW Movies Streaming on Netflix](#). Gadget Reviews, 2020

# Practical Data and Model Versioning

- Versioning the data
- Versioning the model

# Versioning Large Datasets

- Track the history of data
- Trace back the data used to train a model, even after we make some changes to the data

# How to Version Large Datasets?

```
InquiryID,CustomerID,InquiryDate,LoanType,LoanAmount,AccountSt  
1001,001,2020-01-15,Mortgage,250000,Open,Current  
1002,002,2020-02-20,Auto Loan,20000,Closed,Paid Off  
1003,003,2020-03-05,Credit Card,5000,Open,Late (30 days)  
1004,004,2020-04-10,Personal Loan,10000,Open,Current  
1005,005,2020-05-15,Student Loan,30000,Closed,Paid Off  
1006,001,2020-06-20,Mortgage,200000,Open,Current  
1007,002,2020-07-25,Credit Card,7000,Open,Late (60 days)  
1008,003,2020-08-30,Auto Loan,15000,Closed,Paid Off  
1009,004,2020-09-10,Personal Loan,8000,Open,Current  
1010,005,2020-10-15,Credit Card,10000,Open,Late (90 days)
```

(example customer data from the credit scenario, can be TBs!)

# How to Version Large Datasets?



# Recall: Event Sourcing

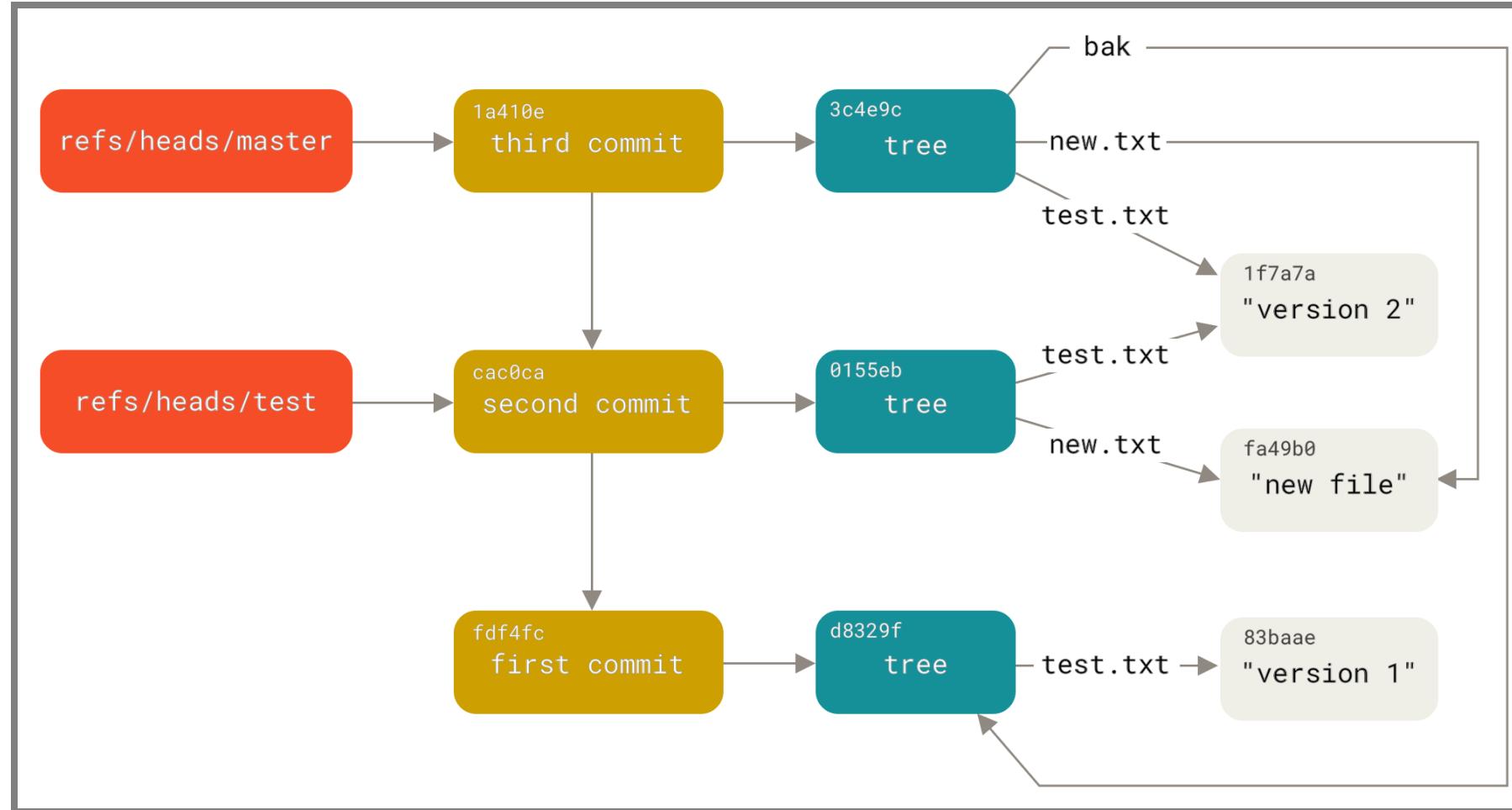
- Append only databases + offsets
- Record edit events, never mutate data
- Compute current state from all past events, can reconstruct old state
- For efficiency, take state snapshots
- Similar to traditional database logs

```
createUser(id=5, name="Christian", dpt="SCS")
updateUser(id=5, dpt="ISR")
deleteUser(id=5)
```

# Versioning Strategies for Datasets

1. Store copies of entire datasets (like Git), identify by checksum
2. Store deltas between datasets (like Mercurial)
3. History of individual database records (e.g. S3 bucket versions)
  - some databases specifically track provenance (who has changed what entry when and how)
  - specialized data science tools eg [Hangar](#) for tensor data
4. Offsets in append-only database (like Kafka), identify by offset
5. Version pipeline to recreate derived datasets ("views", different formats)
  - e.g. version data before or after cleaning?

# Aside: Git Internals



# Versioning Models



# Versioning Models

Usually no meaningful delta/compression, version as binary objects

Any system to track versions of blobs

# Versioning Models: Multiple Parts!



Associate model version with:

- pipeline code version
- data version
- hyperparameters

# ML Versioning Tools (MLOps)

Tracking data, pipeline, and model versions

Modeling pipelines: inputs and outputs and their versions

- automatically tracks how data is used and transformed

Often tracking also metadata about versions

- Accuracy
- Training time
- ...

# Example: ModelDB

- Low complexity
- Your responsibility to design what to log and when!

```
from verta import Client
client = Client("http://localhost:3000")

proj = client.set_project("My first ModelDB project")
expt = client.set_experiment("Default Experiment")

# log the first run
run = client.set_experiment_run("First Run")
run.log_hyperparameters({"regularization": 0.5})
run.log_dataset_version("training_and_testing_data", dataset_v
model1 = # ... model training code goes here
```

# Example w/ Metadata: Experiment Tracking

Log information within pipelines: **hyperparameters used, evaluation results, and model files**

The screenshot shows the mlflow UI interface for a "Price Prediction" experiment. At the top, there's a search bar with the query "metrics.R2 > 0.24" and a "Search" button. Below it are filter parameters for "alpha, lr" and "rmse, r2" with a "Clear" button. A message indicates "4 matching runs". There are two buttons at the bottom: "Compare Selected" and "Download CSV". The main area displays a table with columns: Time, User, Source, Version, Parameters (alpha, l1\_ratio), and Metrics (MAE, R2, RMSE). The data rows are:

| Time  | User  | Source    | Version | Parameters |          | Metrics |       |       |
|-------|-------|-----------|---------|------------|----------|---------|-------|-------|
|       |       |           |         | alpha      | l1_ratio | MAE     | R2    | RMSE  |
| 17:37 | matei | linear.py | 3a1995  | 0.5        | 0.2      | 84.27   | 0.277 | 158.1 |
| 17:37 | matei | linear.py | 3a1995  | 0.2        | 0.5      | 84.08   | 0.264 | 159.6 |
| 17:37 | matei | linear.py | 3a1995  | 0.5        | 0.5      | 84.12   | 0.272 | 158.6 |
| 17:37 | matei | linear.py | 3a1995  | 0          | 0        | 84.49   | 0.249 | 161.2 |

## Speaker notes

Image from Matei Zaharia. [Introducing MLflow: an Open Source Machine Learning Platform](#), 2018

# Compatibility in Versioning



Bansal, Gagan, et al. "Updates in human-ai teams: Understanding and addressing the  
≡ performance/compatibility tradeoff." AAAI 2019

# Example: DVC (Data Version Control)

```
dvc add images  
dvc run -d images -o model.p cnn.py  
dvc remote add myrepo s3://mybucket  
dvc push
```

- Tracks models and datasets, built on Git
- Define a sequence of steps (e.g. data processing, training, evaluation) in a reproducible pipeline, incrementalization
- Orchestrates learning in cloud resources: Detect changes in any step and re-run only the necessary parts when there's an update

# DVC Example

- Higher complexity and constraints
- More automation and less manual work

```
stages:  
  features:  
    cmd: jupyter nbconvert --execute featurize.ipynb  
    deps:  
      - data/clean  
    params:  
      - levels.no  
  outs:  
    - features  
metrics:  
  - performance.json
```

# Google's Goods

Automatically derive data dependencies from system log files

Track metadata for each table

No manual tracking/dependency declarations needed

Requires homogeneous infrastructure

Similar systems for tracking inside databases, MapReduce, Sparts, etc.

# Versioning Dependencies

Pipelines depend on many frameworks and libraries

Ensure reproducible builds

- Declare versioned dependencies from stable repository (e.g. requirements.txt + pip)
- Avoid floating versions
- Optionally: commit all dependencies to repository ("vendorizing")

Optionally: Version entire environment (e.g. Docker container)

Test build/pipeline on independent machine (container, CI server, ...)

# From Model Versioning to Deployment

Decide which model version to run where

- automated deployment and rollback (cf. canary releases)
- Kubernetes, Cortex, BentoML, ...

Track which prediction has been performed with which model version  
(logging)

# Logging and Audit Traces

**Key goal:** If a customer complains about an interaction, can we reproduce the prediction with the right model? Can we debug the model's pipeline and data? Can we reproduce the model?

- Version everything
- Record every model evaluation with model version
- Append only, backed up

```
<date>,<model>,<model version>,<feature inputs>,<output>
<date>,<model>,<model version>,<feature inputs>,<output>
<date>,<model>,<model version>,<feature inputs>,<output>
```

# Logging for Composed Models

*Ensure all predictions are logged*



# Provenance Tracking

*Historical record of data and its origin*

# Data Provenance

- Track origin of all data
  - Collected where?
  - Modified by whom, when, why?
  - Extracted from what other data or model or algorithm?
- ML models often based on data driven from many sources through many steps, including other models



# Versioning vs Provenance

| Feature       | Data Versioning                        | Data Provenance                                    |
|---------------|--|--|
| Purpose       | Tracks changes in data over time       | Documents data's origin, lifecycle, usage          |
| Primary Focus | Data states / changes between versions | Data lineage, sources, and transformations         |
| Granularity   | Focuses on entire datasets or files    | Tracks individual data entries and transformations |
| Application   | Rollbacks, collaborative editing       | Compliance, auditing, trust, and traceability      |
| Example       | Version 1.0, 1.1, 2.0 of a dataset     | Source, timestamp, consent for each entry          |

# Excursion: Provenance Tracking in Databases

Whenever value is changed, record:

- who changed it
- time of change
- history of previous values
- possibly also justification of why

Embedded as feature in some databases or implemented in business logic

Possibly signing with cryptographic methods



# Tracking Data Lineage



# Tracking Data Lineage

Document all data sources

Identify all model dependencies and flows

Ideally model all data and processing code

Avoid "visibility debt"

(Advanced: Use infrastructure to automatically capture/infer dependencies and flows as in [Goods](#))

# Example: Data Provenance Initiative

Key idea: Need to recover data provenance for existing datasets!



# Example: Data Provenance Initiative

Can make many interesting observations...

| COLLECTION      | PROPERTY COUNTS |         |       |       |        |         |         | TEXT LENS |      | DATASET TYPES |   |   |   |   |   |     |   |
|-----------------|-----------------|---------|-------|-------|--------|---------|---------|-----------|------|---------------|---|---|---|---|---|-----|---|
|                 | DATASETS        | DIALOGS | TASKS | LANGS | TOPICS | DOMAINS | DOWNS   | INPT      | TGT  | SOURCE        | Z | F | C | R | M | USE | O |
| Airoboros       | 1               | 17k     | 5     | 2     | 10     | 1       | 1k      | 347       | 1k   | 🤖             | ✓ |   |   |   |   | ●   | ✓ |
| Alpaca          | 1               | 52k     | 8     | 1     | 10     | 1       | 100k    | 505       | 270  | 🤖             | ✓ |   |   |   |   | ●   | ✓ |
| Anthropic HH    | 1               | 161k    | 3     | 1     | 10     | 1       | 82k     | 69        | 311  | 🤖             |   | ✓ |   |   |   | ●   |   |
| BaizeChat       | 4               | 210k    | 12    | 2     | 37     | 3       | <1k     | 74        | 234  | 🤖             | ✓ |   |   |   |   | ●   | ✓ |
| BookSum         | 1               | 7k      | 4     | 1     | 10     | 1       | <1k     | 14k       | 2k   | 🌐             | ✓ |   |   |   |   | ●   |   |
| CamelAI Sci.    | 3               | 60k     | 2     | 1     | 29     | 1       | <1k     | 190       | 2k   | 🤖             | ✓ |   |   |   |   | ●   | ✓ |
| CoT Coll.       | 6               | 2,183k  | 12    | 7     | 29     | 1       | <1k     | 728       | 265  | 🤖             |   | ✓ |   |   |   | ●   | ✓ |
| Code Alpaca     | 1               | 20k     | 3     | 2     | 10     | 1       | 5k      | 97        | 196  | 🤖             | ✓ |   |   |   |   | ●   |   |
| CommitPackFT    | 277             | 702k    | 1     | 278   | 751    | 1       | 4k      | 645       | 784  | 🌐             | ✓ |   |   |   |   | ●   |   |
| Dolly 15k       | 7               | 15k     | 5     | 1     | 38     | 1       | 10,116k | 423       | 357  | 🌐             | ✓ |   |   |   |   | ●   |   |
| Evol-Instr.     | 2               | 213k    | 11    | 2     | 17     | 1       | 2k      | 570       | 2k   | 🤖             | ✓ |   |   |   |   | ●   | ✓ |
| Flan Collection | 450             | 9,813k  | 19    | 39    | 1k     | 23      | 19k     | 2k        | 128  | 🌐             | ✓ | ✓ | ✓ | ✓ |   | ●   | ✓ |
| GPT-4-Alpaca    | 1               | 55k     | 7     | 1     | 10     | 1       | 1k      | 130       | 543  | 🤖             | ✓ |   |   |   |   | ●   | ✓ |
| GPT4AllJ        | 7               | 809k    | 10    | 1     | 56     | 1       | <1k     | 883       | 1k   | 🤖             | ✓ |   |   |   |   | ●   |   |
| GPTeacher       | 4               | 103k    | 8     | 2     | 33     | 1       | <1k     | 227       | 360  | 🤖             | ✓ |   |   |   |   | ●   |   |
| Gorilla         | 1               | 15k     | 4     | 2     | 10     | 2       | <1k     | 119       | 76   | 🤖             | ✓ |   |   |   |   | ●   |   |
| HC3             | 12              | 37k     | 6     | 2     | 102    | 6       | 2k      | 119       | 652  | 🤖             |   | ✓ |   |   |   | ●   | ✓ |
| Joke Expl.      | 1               | <1k     | 2     | 1     | 10     | 1       | <1k     | 96        | 547  | 🌐             | ✓ |   |   |   |   | ●   |   |
| LAION OIG       | 26              | 9,211k  | 12    | 1     | 171    | 11      | <1k     | 343       | 595  | 🌐             | ✓ |   |   |   |   | ●   |   |
| LIMA            | 5               | 1k      | 10    | 2     | 43     | 6       | 3k      | 228       | 3k   | 🌐             | ✓ | ✓ |   |   |   | ●   |   |
| Longform        | 7               | 23k     | 11    | 1     | 63     | 4       | 3k      | 810       | 2k   | 🤖             | ✓ |   |   |   |   | ●   |   |
| OpAsst OctoPack | 1               | 10k     | 3     | 20    | 10     | 1       | <1k     | 118       | 884  | 🌐             |   |   |   |   |   | ●   |   |
| OpenAI Summ.    | 1               | 93k     | 5     | 1     | 10     | 1       | 14k     | 1k        | 134  | 🤖             |   |   |   |   |   | ●   |   |
| OpenAssistant   | 19              | 10k     | 4     | 20    | 99     | 1       | 14k     | 118       | 711  | 🌐             |   |   |   |   |   | ●   |   |
| OpenOrca        | 4               | 4,234k  | 11    | 1     | 30     | 23      | 28k     | 1k        | 492  | 🤖             | ✓ |   |   |   |   | ●   | ✓ |
| SHP             | 18              | 349k    | 6     | 2     | 151    | 1       | 4k      | 824       | 496  | 🌐             |   |   |   |   |   | ●   |   |
| Self-Instruct   | 1               | 83k     | 6     | 2     | 10     | 1       | 3k      | 134       | 104  | 🤖             | ✓ |   |   |   |   | ●   |   |
| ShareGPT        | 1               | 77k     | 9     | 1     | 10     | 2       | <1k     | 303       | 1k   | 🤖             |   | ✓ |   |   |   | ●   |   |
| StackExchange   | 1               | 10,607k | 1     | 2     | 10     | 1       | <1k     | 1k        | 901  | 🌐             | ✓ |   |   |   |   | ●   |   |
| StarCoder       | 1               | <1k     | 1     | 2     | 10     | 1       | <1k     | 195       | 504  | 🤖             | ✓ |   |   |   |   | ●   |   |
| Tasksource Ins. | 288             | 3,397k  | 13    | 1     | 582    | 20      | <1k     | 518       | 18   | 🌐             | ✓ |   |   |   |   | ●   |   |
| Tasksource ST   | 229             | 338k    | 15    | 1     | 477    | 18      | <1k     | 3k        | 6    | 🌐             | ✓ |   |   |   |   | ●   |   |
| TinyStories     | 1               | 14k     | 4     | 1     | 10     | 1       | 12k     | 517       | 194k | 🤖             | ✓ |   |   |   |   | ●   |   |
| Tool-Llama      | 1               | 37k     | 2     | 2     | 10     | 1       | -       | 7k        | 1k   | 🤖             | ✓ |   |   |   |   | ●   |   |
| UltraChat       | 1               | 1,468k  | 7     | 1     | 11     | 2       | 2k      | 282       | 1k   | 🤖             | ✓ |   |   |   |   | ●   |   |

# Example: Data Provenance Initiative

Can make many interesting observations, on creators...

- Most data come from academic, then industry labs
- Also from Wikimedia, then social media

| NAME                      | PCT   |
|---------------------------|-------|
| ACADEMIC                  | 68.7% |
| University of Washington  | 8.9%  |
| Stanford University       | 6.8%  |
| New York University       | 5.4%  |
| University of Southern... | 3.5%  |
| Carnegie Mellon Univer... | 3.5%  |
| Saarland University       | 2.6%  |
| Cardiff University        | 2.3%  |
| INDUSTRY LAB              | 21.4% |
| Facebook AI Research      | 8.4%  |
| Microsoft Research        | 4.1%  |
| Google Research           | 2.9%  |
| DeepMind                  | 1.9%  |
| Microsoft Semantic Mac... | 0.9%  |
| NAVER AI Lab              | 0.8%  |
| Salesforce Research       | 0.7%  |
| RESEARCH GROUP            | 17.1% |
| AI2                       | 12.3% |
| CLUE team                 | 0.5%  |
| Alan Turing Institute     | 0.5%  |
| CodeX                     | 0.4%  |
| Qatar Computing Resear... | 0.4%  |
| Barcelona Supercomputi... | 0.4%  |
| BigCode                   | 0.2%  |
| CORPORATION               | 15.8% |
| Google                    | 2.1%  |
| IBM                       | 2.0%  |
| Microsoft                 | 1.4%  |
| Wind Information Co.      | 1.4%  |
| Snap Inc.                 | 1.3%  |
| Meta                      | 1.1%  |
| QUESTION ANSWERING        | 36.0% |
| Question Answering        | 27.7% |
| Multiple Choice Questi... | 3.9%  |
| Information Extraction    | 1.8%  |
| TEXT CLASSIFICATION       | 29.9% |
| Text Classification       | 16.1% |
| Sentiment Analysis        | 9.8%  |
| Named Entity Recognition  | 4.3%  |
| NATURAL LANGUAGE INF...   | 21.1% |
| Textual Entailment        | 14.6% |
| Natural Language Infer... | 5.3%  |
| Fact Verification         | 1.3%  |
| OPEN-FORM TEXT GENER...   | 11.3% |
| Open-form Text Generation | 2.2%  |
| Title Generation          | 1.5%  |
| Inverted Summarization    | 1.2%  |
| SHORT TEXT GENERATION     | 10.9% |
| Question Generation       | 4.0%  |
| Fill in The Blank         | 1.4%  |
| Inverted Multiple-Choi... | 0.9%  |
| DIALOG GENERATION         | 9.0%  |
| Dialogue Generation       | 4.2%  |
| Dialog Generation         | 3.7%  |
| Dialogue Act Recognition  | 0.4%  |
| SUMMARIZATION             | 6.3%  |
| Summarization             | 5.7%  |
| Simplification            | 0.5%  |
| Summarization of US Co... | 0.1%  |
| ENCYCLOPEDIAS             | 21.5% |
| wikipedia.org             | 14.6% |
| wikihow.com               | 2.7%  |
| dbpedia                   | 1.4%  |
| SOCIAL MEDIA              | 15.9% |
| reddit                    | 6.2%  |
| twitter                   | 4.0%  |
| quora                     | 1.6%  |
| GENERAL WEB               | 11.2% |
| undisclosed web           | 7.0%  |
| commoncrawl.org           | 2.5%  |
| data.world/samayo/coun... | 0.6%  |
| NEWS                      | 11.1% |
| cnn.com                   | 1.6%  |
| financial news            | 1.5%  |
| press releases            | 1.4%  |
| ENTERTAINMENT             | 8.5%  |
| opensubtitles.org         | 2.5%  |
| imdb.com                  | 1.6%  |
| travel guides             | 1.3%  |
| CODE                      | 5.7%  |
| stackexchange.com         | 2.0%  |
| github                    | 1.2%  |
| opus software projects    | 0.9%  |
| EXAMS                     | 5.6%  |
| web exams                 | 2.9%  |
| gmat                      | 1.1%  |
| gre exams                 | 0.9%  |

# Example: Data Provenance Initiative

Can make many interesting observations, on data source...

- More synthesized datasets
- Very different distribution



Longpre et al. "A large-scale audit of dataset licensing and attribution in AI." Nature Machine Intelligence 2024

# Example: Data Provenance Initiative

Observe issues in data provenance: Many datasets are annotated to have more permissive licenses than they actually have!

| LICENSE        | COUNT          | CORRECT LICENSE |           |            |           |            |
|----------------|----------------|-----------------|-----------|------------|-----------|------------|
|                |                | AGG.            | COMM.     | UNSPEC.    | NON-COMM. | ACAD.-ONLY |
| Commercial     | 856<br>(46.1%) | ⌚               | 349       | 507        | 0         | 0          |
|                |                | 🟡               | 176       | 677        | 1         | 2          |
|                |                | 🟩               | 313       | 520        | 1         | 22         |
| Unspecified    | 570<br>(30.7%) | ⌚               | 112       | 458        | 0         | 0          |
|                |                | 🟡               | 164       | 395        | 6         | 5          |
|                |                | 🟩               | 31        | 523        | 1         | 15         |
| Non-Commercial | 352<br>(19.0%) | ⌚               | 49        | 303        | 0         | 0          |
|                |                | 🟡               | 113       | 152        | 80        | 7          |
|                |                | 🟩               | 2         | 191        | 157       | 2          |
| Academic-Only  | 80<br>(4.3%)   | ⌚               | 9         | 71         | 0         | 0          |
|                |                | 🟡               | 9         | 65         | 2         | 4          |
|                |                | 🟩               | 5         | 65         | 2         | 8          |
| Total          | 1858<br>(100%) | ⌚               | 519 (28%) | 1339 (72%) | 0 (0%)    | 0 (0%)     |
|                |                | 🟡               | 462 (25%) | 1289 (69%) | 89 (5%)   | 18 (1%)    |
|                |                | 🟩               | 351 (19%) | 1299 (70%) | 161 (9%)  | 47 (3%)    |

Longpre et al. "A large-scale audit of dataset licensing and attribution in AI." Nature Machine Intelligence 2024

# Example: Data Provenance Initiative

Make interesting observations on what you can and cannot train models on (blue is commercially usable, red is not)



# Feature Provenance

How are features extracted from raw data?

- during training
- during inference

Has feature extraction changed since the model was trained?

Recommendation: Modularize and version feature extraction code

Example?

# DVC Example

```
stages:  
  features:  
    cmd: jupyter nbconvert --execute featurize.ipynb  
    deps:  
      - data/clean  
    params:  
      - levels.no  
    outs:  
      - features  
  metrics:  
    - performance.json
```

# Advanced Practice: Feature Store

Stores feature extraction code as functions, versioned

Catalog features to encourage reuse

Compute and cache features centrally

Use same feature used in training and inference code

Advanced: Immutable features -- never change existing features, just add new ones (e.g., creditscore, creditscore2, creditscore3)

# Model Provenance

How was the model trained?

What data? What library? What hyperparameter? What code?

Ensemble of multiple models?

# Unified Model Record (UMR)

UMR tracks the entire lifecycle of a model, including design, development, testing, and deployment phases.

| Feature       | Model Card  | Unified Model Record (UMR)                             |
|---------------|---|--|
| Purpose       | Summarizes model's purpose, limitations, and usage    | Tracks full model lifecycle and operations             |
| Content Focus | Usage guidelines, ethical considerations, limitations | Technical specs, lifecycle history, compliance records |
| Compliance    | Limited focus on regulatory compliance                | Aligned with governance and regulatory standards       |
| Maintenance   | Updated occasionally, typically per major update      | Continuous updates with lifecycle events and audits    |

 <https://modelrecord.com/>

# In Real Systems: Tracking Provenance Across Multiple Models



*Version all models involved!*

Example adapted from Jon Peck. [Chaining machine learning models in production with Algorithmia](#).  
Algorithmia blog, 2019

# Complex Model Composition: ML Models for Feature Extraction



Image: Peng, Zi, Jinqiu Yang, Tse-Hsun Chen, and Lei Ma. "A first look at the integration of machine learning models in complex autonomous driving systems: a case study on Apollo." In Proc. FSE. 2020.

# How about Provenance for Foundation Models?



# Complicated Foundation Models

Unified Model Records All cards GitHub

## LLaVA-1.6 Vicuna 13B

Type: Model

**THE CARDS**

**UMR CARD**

**MODEL CARD**

**METADATA**

General information.

**Name**  
LLaVA-1.6 Vicuna 13B

**Description**  
Science QA is a dataset designed for evaluating and training models in the task of answering science-related questions.

**Version**  
1.0.0

**Publisher**  
LMSYS Org

**Model type**  
Chatbot

**Release date**  
2023-03-30

**RELATIONS**

- LLaVA
- vicuna-13b
- science-qc
- coco
- CC3M
- mm-instruct-data

**DETAILED MODEL CARD**

**LLaVA-1.6 Vicuna 13B**  
Unified Model Record

Released: 2023-03-30

**MODEL DETAILS**

General information about the model  
Science QA is a dataset designed for evaluating and training models in the task of answering science-related questions.

**PACKAGES**

- llama2
- mm-instruct-data
- llama2-13b
- gpt4
- science-qc
- coco
- vicuna-13b
- CC3M
- openai-gpt
- vicuna-70k-gpt4
- LLaVA
- vicuna

**TRAINING DATA**

- GPT-4 used for preliminary evaluation to benchmark against ChatGPT and Google Bard.
- Responses compared for detailed and well-structured answers.
- Eight question categories devised to assess various aspects of chatbot performance.
- Comparison based on helpfulness, relevance, accuracy, and detail of responses.

**INTENDED USE**

- Research and academic purposes to advance the field of natural language processing and chatbot design.
- Developers and enthusiasts to explore chatbot technologies and implement in non-commercial projects.
- Educational institutions for teaching concepts related to AI and machine learning.
- Non-profit organizations to enhance their customer support or engagement through chatbots.
- Open-source community contribution and improvement.

**FACTORS**

- Performance comparison with other models like ChatGPT and Google Bard.
- Cost-effectiveness of training the model.
- Accessibility of the model for non-commercial use.
- Potential for the community to contribute to model improvement.
- Ease of integration into existing systems for developers.

**EVALUATION DATA**

- 70K user-shared ChatGPT conversations were used for fine-tuning.

Page 1 of 1

```
graph TD; OAG[OpenAI GPT] --> L2[Llama 2]; OAG --> G4[GPT 4]; G4 --> L2_13B[Llama 2 13B]; G4 --> V70K[Vicuna 70k ChatGPT]; G4 --> V[Vicuna]; G4 --> LLaVa_MM_Instruct[LLaVa MM-Instruct]; V70K --> V13B[Vicuna-13B]; V --> V13B; LLaVa_MM_Instruct --> V13B; COCO((COCO)) --> V13B; LLAVA((LLava)) --> V13B; SCQA((Science QA)) --> V13B; CC3M((CC3M)) --> V13B;
```

Wang, Keyu, et al. "Mitigating Downstream Model Risks via Model Provenance." arXiv 2024

# Summary: Provenance

Data provenance

Feature provenance

Model provenance

# Breakout Discussion: Movie Predictions (Revisited)

*Assume you are receiving complains that a child gets mostly recommendations about R-rated movies*

Discuss again, updating the previous post in #lecture:

- How would you identify the model that caused the prediction?
- How would you identify the code and dependencies that trained the model?
- How would you identify the training data used for that model?

# Reproducability

# On Terminology



**Replicability:** ability to reproduce results exactly

- Ensures everything is clear and documented
- All data, infrastructure shared; requires determinism

**Reproducibility:** the ability of an experiment to be repeated with minor differences, achieving a consistent expected result

- In science, reproducing important to gain confidence
- many different forms distinguished: conceptual, close, direct, exact, independent, literal, nonexperimental, partial, retest, ...

Juristo, Natalia, and Omar S. Gómez. "[Replication of software engineering experiments.](#)" In Empirical software engineering and verification, pp. 60-88. Springer, Berlin, Heidelberg, 2010.

# "Reproducibility" of Notebooks

2019 Study of 1.4M notebooks on GitHub:

- 21% had unexecuted cells
- 36% executed cells out of order
- 14% declare dependencies
- success rate for installing dependencies <40% (version issues, missing files)
- notebook execution failed with exception in >40% (often ImportError, NameError, FileNotFoundError)
- only 24% finished execution without problem, of those 75% produced different results

2020 Study of 936 executable notebooks:

- 40% produce different results due to nondeterminism (randomness without seed)
- 12% due to time and date
- 51% due to plots (different library version, API misuse)
- 2% external inputs (e.g. Weather API)
- 27% execution environment (e.g., Python package versions)



Pimentel, João Felipe, et al. "A large-scale study about quality and reproducibility of jupyter notebooks." In Proc. MSR, 2019. and Wang, Jiawei, K. U. O. Tzu-Yang, Li Li, and Andreas Zeller.

# Practical Reproducibility

Ability to generate the same research results or predictions

Recreate model from data

Requires versioning of data and pipeline (incl. hyperparameters and dependencies)

# Nondeterminism

- Model inference almost always deterministic for a given model
- Many machine learning algorithms are nondeterministic
  - Nondeterminism in neural networks initialized from random initial weights
  - Nondeterminism from distributed computing, random forests
  - Determinism in linear regression and decision trees
- Many notebooks and pipelines contain nondeterminism
  - Depend on time or snapshot of online data (e.g., stream)
  - Initialize random seed
  - Different memory addresses for figures
- Different library versions installed on the machine

# Recommendations for Reproducibility

- Version pipeline and data (see above)
- Document each step
  - document intention and assumptions of the process (not just results)
  - e.g., document why data is cleaned a certain way
  - e.g., document why certain parameters chosen
- Ensure determinism of pipeline steps (-> test)
- Modularize and test the pipeline
- Containerize infrastructure -- see MLOps

# Summary

Provenance is important for debugging and accountability

Data provenance, feature provenance, model provenance

Reproducibility vs replicability

*Version everything!*

- Strategies for data versioning at scale
- Version the entire pipeline and dependencies
- Adopt a pipeline view, modularize, automate
- Containers and MLOps, many tools



# Further Readings

- Sugimura, Peter, and Florian Hartl. “Building a Reproducible Machine Learning Pipeline.” *arXiv preprint arXiv:1810.04570* (2018).
- Chattopadhyay, Souti, Ishita Prasad, Austin Z. Henley, Anita Sarma, and Titus Barik. “[What’s Wrong with Computational Notebooks? Pain Points, Needs, and Design Opportunities.](#)” In Proceedings of the CHI Conference on Human Factors in Computing Systems, 2020.
- Sculley, D, et al. “[Hidden technical debt in machine learning systems.](#)” In Advances in neural information processing systems, pp. 2503–2511. 2015.

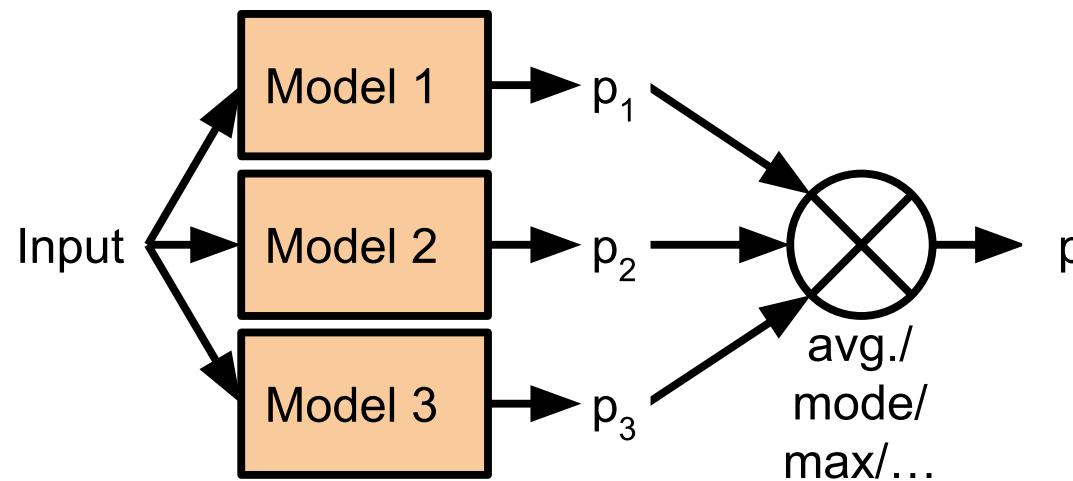
# Bonus: Debugging and Fixing Models

See also Hulten. Building Intelligent Systems. Chapter 21

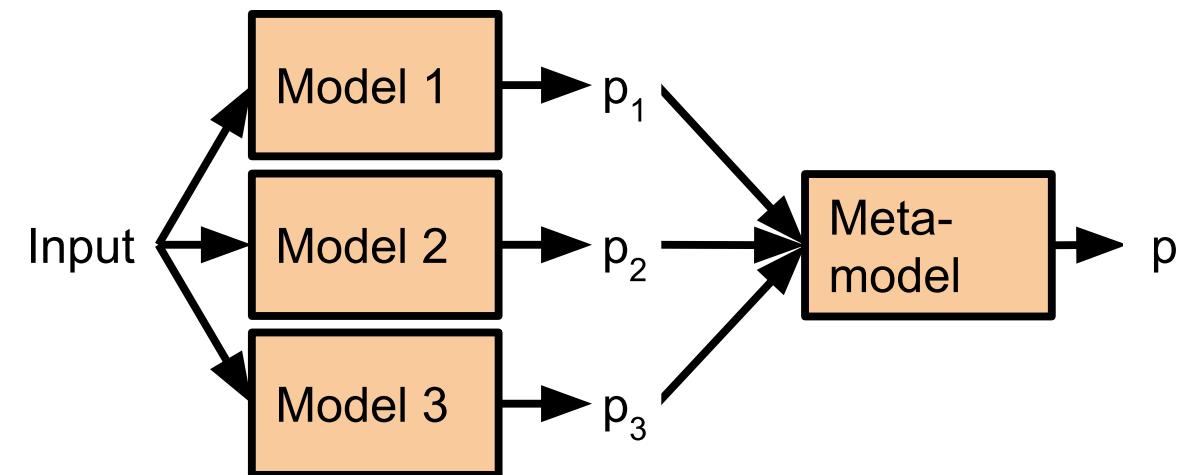
See also Nushi, Besmira, Ece Kamar, Eric Horvitz, and Donald Kossman. "[On human intellect and machine failures: troubleshooting integrative machine learning systems.](#)" In *Proceedings of the Thirty-first AAAI Conference on Artificial Intelligence*, pp. 1017-1025. 2017.

# Recall: Composing Models: Ensemble and metamodels

**Ensemble**

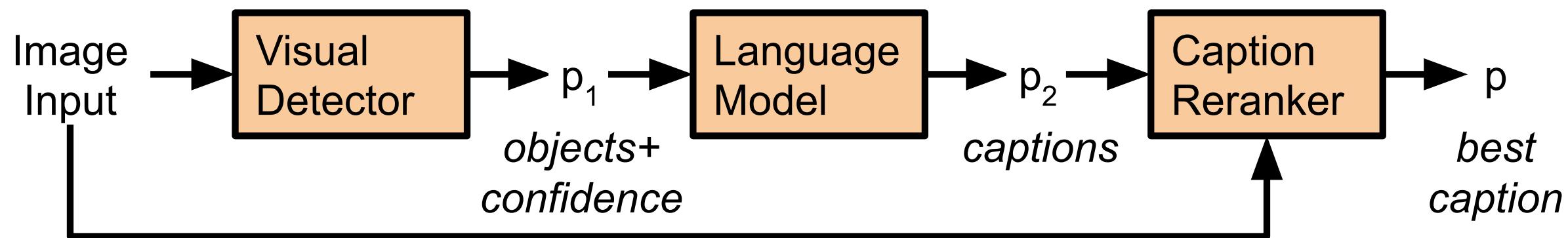


**Metamodel / model stacking**



Legend: machine-learned model, non-ML aggregation function, prediction

# Recall: Composing Models: Decomposing the problem, sequential



# Recall: Composing Models: Cascade/two-phase prediction



# Decomposing the Image Captioning Problem?



## Speaker notes

Using insights of how humans reason: Captions contain important objects in the image and their relations. Captions follow typical language/grammatical structure



# State of the Art Decomposition (in 2015)



Example and image from: Nushi, Besmira, Ece Kamar, Eric Horvitz, and Donald Kossmann. "[On human intellect and machine failures: troubleshooting integrative machine learning systems.](#)" In Proc. AAAI. 2017.

# Blame assignment?

|  |                | Visual Detector | Language Model                                  | Caption Reranker                                    |
|--|----------------|-----------------|---|---|
| 1.   | teddy          | 0.92            | 1. A teddy bear.                                | 1. A <b>blender</b> sitting on top of a cake.       |
| 2.   | on             | 0.92            | 2. A stuffed bear.                              | 2. A teddy bear <b>in front of</b> a birthday cake. |
| 3.   | cake           | 0.90            | ...   | 3. A cake sitting on top of a <b>blender</b> .      |
| 4.   | bear           | 0.87            |   |   |
| 5.   | stuffed        | 0.85            |   |   |
| ...  |                |                 | ...   |   |
| 15.  | <b>blender</b> | 0.57            | 108. A <b>blender</b> sitting on top of a cake. |   |

Example and image from: Nushi, Besmira, Ece Kamar, Eric Horvitz, and Donald Kossmann. "[On human intellect and machine failures: troubleshooting integrative machine learning systems.](#)" In Proc. AAAI. 2017.

# Nonmonotonic errors



## Visual Detector

|          |      |
|----------|------|
| teddy    | 0.92 |
| computer | 0.91 |
| bear     | 0.90 |
| wearing  | 0.87 |
| keyboard | 0.84 |
| glasses  | 0.63 |

1. A teddy bear  
sitting on top  
of a computer.

## Fixed Visual Detector

|          |     |
|----------|-----|
| teddy    | 1.0 |
| bear     | 1.0 |
| wearing  | 1.0 |
| keyboard | 1.0 |
| glasses  | 1.0 |

1. a person wearing  
glasses and holding  
a teddy bear sitting  
on top of a keyboard.

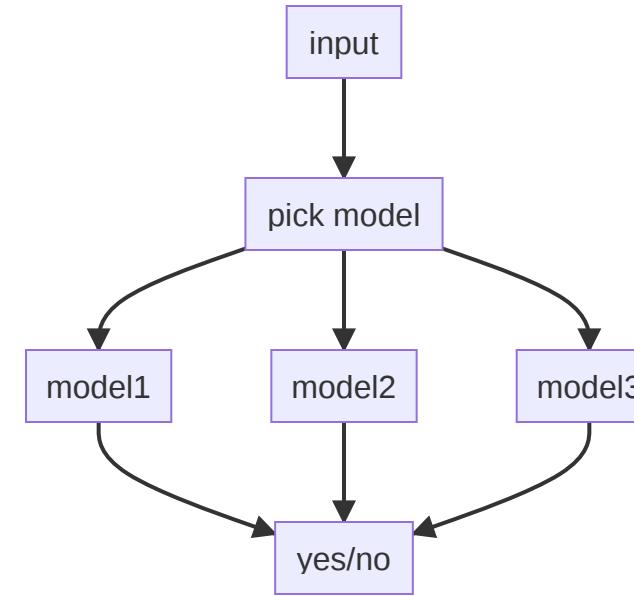
Example and image from: Nushi, Besmira, Ece Kamar, Eric Horvitz, and Donald Kossmann. "[On human intellect and machine failures: troubleshooting integrative machine learning systems.](#)" In Proc. AAAI. 2017.

# Chasing Bugs

- Update, clean, add, remove data
- Change modeling parameters
- Add regression tests
- Fixing one problem may lead to others, recognizable only later

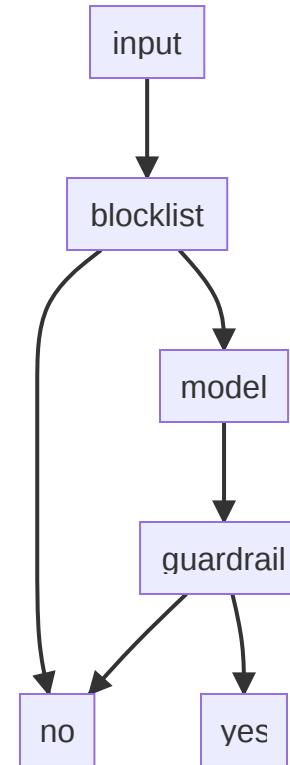
# Partitioning Contexts

- Separate models for different subpopulations
- Potentially used to address fairness issues
- ML approaches typically partition internally already



# Overrides

- Hardcoded heuristics (usually created and maintained by humans) for special cases
- Blocklists, guardrails
- Potential neverending attempt to fix special cases



# Ideas?



