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# CLIMBING THE LATTER OF CAUSATION WITH tnreasoN

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RESEARCH NOTES IN THE ENEXA AND QROM PROJECTS

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## ABSTRACT

We here describe how to represent Causal AI models in the tnreasoN formalism.

We find tensor network models for the different rungs of the *ladder of causation* Pearl and Mackenzie (2018). The notes are organized to follow the three rungs of the ladder:

- **Rung 1: Association** – captured by Bayesian Networks
- **Rung 2: Intervention** – captured by do-calculus, for which we introduce intervention variables
- **Rung 3: Counterfactuals** – captured by functional causal models (see Chapter 21 in Koller and Friedman (2009)) involving response variables

Following the formalism of Chapter 21 in Koller and Friedman (2009):

- Mutilation of the Bayesian network is captured by contractions with one-hot encodings to do-variables  $D_k$ .
- Intervention queries are formalized by contractions with one-hot encodings to all do-variables
- Response variables are formalized by selection variables
- Counterfactual queries are modeled as intervention queries on counterfactual twin networks (see (Koller and Friedman, 2009, Chapter 21))

## 1 Rung 1: Association

See main report: Bayesian Networks are tensor networks and probabilistic queries can be answered by their contractions.

## 2 Rung 2: Intervention

So far, there are several hypergraphs to model a probability distributions by a Bayesian Network. We now want to understand the directed hyperedges as causal relationships between the variables, beyond encoding of conditional independencies (see Example 1). To this end, we model the effects of interventions, which will distinguish between multiple Bayesian Networks modeling the same joint distribution.

**Example 1** (Patient treatment outcome). *We model a relationship about the treatment of a sick patient and the outcome of the treatment. Whether a treatment is conducted is modelled by the binary variable  $X_T$  and whether the patient improves after the treatment by the variable  $X_O$ .*

*There are in general two possibilities of representing the joint distribution of  $X_T$  and  $X_O$  by a Bayesian Network:*

- *Treatment directs to outcome:*

$$\mathcal{G} = (\{X_T, X_O\}, \{(\emptyset, X_T), (\{X_T\}, \{X_O\})\})$$

- *Outcome directs to treatment:*

$$\mathcal{G} = (\{X_T, X_O\}, \{(\emptyset, X_T), (\{X_O\}, \{X_T\})\})$$

In the typical intuition, we expect the treatment to have a causal effect on the outcome and not the other way round. From a Bayesian Network perspective, both models are however equivalent and represent the same joint distribution.

Interventions on Bayesian Networks are modeled by the do-calculus Pearl (2009), which we capture here based on do-variables.

## 2.1 Do calculus

We introduce the do-variables  $D_k$  taking values in  $[m_k + 1]$  for each variable  $X_k$  of dimension  $m_k$ , which model the effects of interventions. The states are interpreted as

- $d_k \in [m_k]$ : An intervention setting  $X_k$  to the value  $d_k$
- $d_k = m_k$ : No intervention on  $X_k$

**Definition 1.** The causally augmented conditional probability core is defined as

$$\begin{aligned} \mathbb{P}^c[X_k | D_k, X_{\text{Pa}(k)}] &= \mathbb{P}[X_k | X_{\text{Pa}(k)}] \otimes \epsilon_{m_k}[D_k] \\ &+ \sum_{d_k \in [m_k]} \epsilon_{d_k}[X_k] \otimes \epsilon_{d_k}[D_k] \otimes \mathbb{I}[X_{\text{Pa}(k)}]. \end{aligned}$$

The causally augmented Bayesian Network is the tensor network

$$\langle \{\mathbb{P}^c[X_k | D_k, X_{\text{Pa}(k)}] : k \in [d]\} \rangle_{[X_{[d]}, D_{[d]}]}.$$

The Bayesian Networks investigated so far are retrieved by contractions with  $\epsilon_{m_k}[D_k]$ . This corresponds with the situation, where no interventions are performed on any variable.

**Lemma 1.** For any Bayesian Network  $\mathbb{P}[X_{[d]}]$  on a directed acyclic hypergraph  $\mathcal{G} = ([d], \mathcal{E})$  we have

$$\mathbb{P}[X_{[d]}] = \langle \{\mathbb{P}^c[X_k | D_k, X_{\text{Pa}(k)}] : k \in [d]\} \cup \{\epsilon_{m_k}[D_k] : k \in [d]\} \rangle_{[X_{[d]}]}.$$

*Proof.* By construction we have

$$\mathbb{P}^c[X_k | D_k = m_k, X_{\text{Pa}(k)}] = \mathbb{P}[X_k | X_{\text{Pa}(k)}].$$

Performing this on each causally augmented conditional distribution retrieves thus the original Bayesian Network.  $\square$

## 2.2 Intervention Queries

In a Bayesian Network, when intervening on a variable  $X_v$ , the corresponding conditional probability gets trivialized. The probability tensor is then captured by

$$\mathbb{P}[X_{\mathcal{U}} | \text{do}(X_{\mathcal{W}} = x_{\mathcal{W}})] = \left\langle \{\mathbb{P}[X_v | X_{\text{Pa}(v)}] : v \notin \mathcal{W}\} \cup \left\{ \frac{1}{m_v} \mathbb{I}[X_v, X_{\text{Pa}(v)}] : v \in \mathcal{W} \right\} \cup \{\epsilon_{x_v}[X_v] : v \in \mathcal{W}\} \right\rangle_{[X_{\mathcal{U}}]}.$$

Since  $\frac{1}{m_v} \mathbb{I}[X_v, X_{\text{Pa}(v)}]$  is directed with  $X_{\text{Pa}(v)}$  incoming and  $X_v$  outgoing, the partition function of the network stays 1 and the normalization is captured by the contraction.

## 2.3 Simplifications

The back-door and front-door criterion provide conditions for intervention queries being equal to conditional queries. We can proof them in the tensor network formalism based on network separations, which contribution to contractions are scalar multiplications, which therefore are dropped in normalizations.

An example for a simplification is given by the randomized controlled trial.

**Example 2** (Randomized controlled trial). *The randomized controlled trial is a joint distribution of variables*

- Confounding variable  $X_C$  summarizing other factors affecting the outcome.
- Treatment assignment  $X_T$  with values in  $\{0, 1\}$ . Here, 1 indicates assignment to the treatment group and 0 to the control group. The experiment is conducted such that the treatment variable is independent of the confounding variable  $X_C$ .

- *Outcome  $X_O$ .*

We want to estimate the causal effect of the treatment on the outcome, namely calculate the intervention query

$$\mathbb{P}[X_O | D_T = 1].$$

By design of the randomized control, the confounding variable has no causal effect on  $X_T$ . Thus, we have

$$\mathbb{P}[X_O | D_T = 1] = \mathbb{P}[X_O | X_T = 1]$$

that is, the intervention query is equal to the conditional probability.

### 3 Rung 3: Counterfactuals

Following the formalism of Chapter 21 in Koller and Friedman (2009), counterfactual queries are modeled as intervention queries on counterfactual twin networks. Counterfactual twin networks are two copies of the original causal model, one representing the factual world and one representing the counterfactual world. They further share response variables, which capture the functional relationships between variables in the causal model. These response variables are modeled as selection variables in the tñreason formalism.

**Example 3** (Patient counterfactual query). *Let us assume, that we know whether a patient did not get assigned to the treatment group, and we know whether he did improve. We want to ask, whether he would have improved, if he had been assigned to the treatment group. This is not an intervention query, but a counterfactual query, since we reason about a different outcome, although we already know that the patient has not been treated.*

The causally augmented Bayesian Network is not rich enough to answer such queries. Let us consider a situation where  $X_T$  is chosen uniformly from [2]. There might be situations, where the probabilistic (and intervention) queries are the same, but the counterfactual queries differ:

- (i) *The outcome is independent of the treatment.*
- (ii) *With probability 0.5, the treatment always leads to improvement and missing the treatment not. And also with probability 0.5, the treatment never leads to improvement, but missing the treatment does.*

Intuitively, in the situation (i), the counterfactual query should return probability 1/2 for improvement under treatment. In the situation (ii), the counterfactual query returns the same value with probability 1 as observed in the real world. Both cases are however indistinguishable by causal models itself, since in both cases the causally augmented conditional probabilities are

$$\mathbb{P}^c[X_T | D_T] = \frac{1}{2}\mathbb{I}[X_T] \otimes \epsilon_2[D_T] + \left( \sum_{d_T \in [2]} \epsilon_{d_T}[D_T] \otimes \epsilon_{d_T}[X_T] \right)$$

and

$$\mathbb{P}^c[X_O | D_O, X_T] = \frac{1}{2}\mathbb{I}[X_O, X_T] \otimes \epsilon_2[D_O] + \left( \sum_{d_O \in [2]} \epsilon_{d_O}[D_O] \otimes \epsilon_{d_O}[X_O] \otimes \mathbb{I}[X_T] \right).$$

To answer counterfactual queries, we therefore have to also reason about the mechanisms behind the causal relationships, which we do by introducing response variables in the following.

#### 3.1 Response Variables

We introduce response variables  $L_k$ , such that  $X_k$  has a deterministic dependence on  $L_k$  and the parents of a variable to the variable itself. The dependence is captured by a function

$$q_k : [p_k] \times \left( \bigtimes_{\tilde{k} \in \text{Pa}(k)} [m_{\tilde{k}}] \right) \rightarrow [m_k].$$

The response augmented conditional probability core is defined as (see Figure 1):

$$\mathbb{P}^f[X_k | L_k, X_{\text{Pa}(k)}] = \beta^{q_k}[X_k, L_k, X_{\text{Pa}(k)}]$$



Figure 1: Introduction of response variables: a) as a Bayesian network, b) decoration by the basis encoding of the corresponding function.

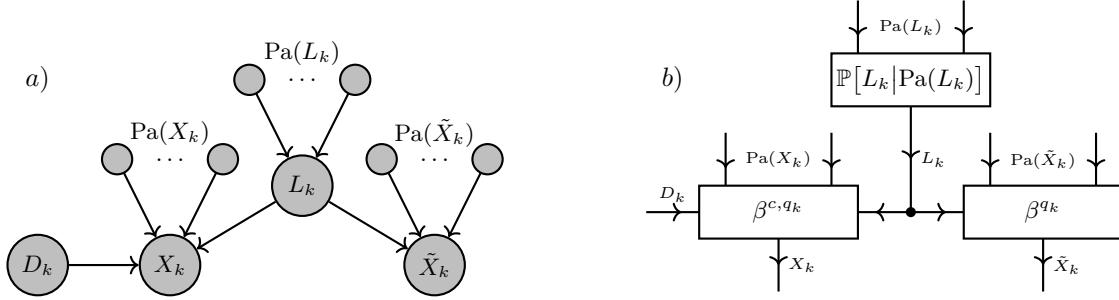


Figure 2: Counterfactual twinned network: a) as a Bayesian network. b) Decorations by causal augmented basis encodings by a do-variable for  $X_k$ , a conditional probability distribution for  $L_k$  and a basis encoding for the counterfactual variable  $\tilde{X}_k$ .

### 3.2 Counterfactual Twinned Network

To answer counterfactual queries, we now construct the counterfactual twinned network (see Figure 2).

**Definition 2.** Let there be a response augmented Bayesian Network on a directed acyclic hypergraph  $\mathcal{G} = ([d], \mathcal{E})$  with response variables  $L_{[d]}$ . Further another hypergraph  $\tilde{\mathcal{G}}$  and a Bayesian Network on  $\tilde{\mathcal{G}}$  modelling the joint distribution of the response variables  $L_{[d]}$ . Be build counterfactual copies  $\tilde{X}_k$  of each variable  $X_k$ , which are controlled by the same response variables  $L_k$  as the factual variables  $X_k$ . The counterfactual twinned network is then the tensor network consists of the causal and response augmented conditional probability cores to  $X_{[d]}$ , the conditional probability cores of the response variables  $L_{[d]}$  and the response augmented conditional probability cores to the counterfactual variables  $\tilde{X}_{[d]}$ .

## 4 Learning

Given a parametrization of hypothesis distribution by the states of selection variables, we can include the intervention variables. The cores to be trivialized by intervention can depend on the state of the selection variables. For example, a selection variable might select whether the cores direction is from  $X_0$  to  $X_1$  or in the other direction. In both cases only one of the two intervention variables  $D_0$  and  $D_1$  influences the core.

## References

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