AI 534: Machine Learning HW1: Feature Map and $k$-NN (20%) v2

Instructions:

1. This HW, like all other programming HWs, should be done in Python 3 and numpy. See the course homepage for a numpy tutorial (under Unit 1). If you don’t have a Python+numpy installation yourself, you can use the College of Engineering servers by

   ssh username@access.engr.oregonstate.edu

   replacing username with your ENGR user name (should be identical to your ONID login). See the following for instructions on using SSH from Windows:

   https://it.engineering.oregonstate.edu/accessing-unix-server-using-putty-ssh

   If you don’t have an ENGR account, see https://it.engineering.oregonstate.edu/get-engr-account

   You’re highly recommended to set up SSH keys to bypass Duo authentication and password:

   https://it.engineering.oregonstate.edu/ssh-keygen

   The default python3 on ENGR servers have numpy, matplotlib, sklearn, and pandas installed.

2. Besides machine learning, this HW also teaches you data (pre-)processing skills and Unix (Linux or Mac OS X) command lines tools. These skills are even more important than machine learning itself for a software engineer or data scientist. As stated in the syllabus, Windows is not recommended. The instructor and the TA do not have access to Windows computers and will not be able to provide technical assistance for Windows. Use cmd, cygwin, or ssh (see above) if you don’t have Linux or Mac OS X on your own computer.

   If you prefer to use Jupyter notebook but have difficulty setting it up on your own computer, the TAs have written a tutorial on running jupyter notebook remotely on the server:

   https://classes.engr.oregonstate.edu/eecs/spring2022/cs513-400/extra/TAs_jupyter_tutorial.pdf

3. Ask questions on Ed Discussion. You’re encouraged to answer other students’ questions as well.

4. Download HW1 data from the Canvas. Unzip it by running tar -xzvf hw1-data.tgz (here -x means “extract” and z means “unzip”; you might also be able to open it using WinZip or 7-zip on Windows). It contains:

   income.train.txt.5k training data (5,000 examples, with labels)
   income.dev.txt dev set (1,000 examples, with labels)
   income.test.blind test set (1,000 examples, without labels)
   toy.txt toy data (only the first two fields)
   validate.py & random_output.py tools to validate your test result

   The semi-blind test set does not contain the target labels (>50K or <=50K), which you will need to predict using your best model. Part of your grade is based on your prediction accuracy on test (see Part 5). You must use validate.py to validate your test result before submission.

   You can also download it on a Linux/Mac command-line (e.g., on server):

   $ wget https://classes.engr.oregonstate.edu/eecs/fall2023/ai534-400/unit1/hw1/hw1-data.tgz

5. You should submit a single .zip file containing hw1-report.pdf, income.test.predicted, and all your code. Do not forget the debrief section (in each HW). \LaTeX’ing is recommended but not required.

6. For Linux, please read Chap. 1 of https://buildmedia.readthedocs.org/media/pdf/lym/latest/lym.pdf

1 Hands-on Exploration of the Income Dataset (3 pts) (watch video 1)

1. Take a look at the data. A training example (in this case, a negatively labeled one) looks like this:

   37, Private, Bachelors, Separated, Other-service, White, Male, 70, England, <=50K
which includes the following 9 input fields plus one output field (y):

- age
- sector
- education
- marital-status
- occupation
- race
- sex
- hours-per-week
- country-of-origin
- target

Q: What percentage of the training data has a positive label (>50K)? (This is known as the positive %). What about the dev set? Does it make sense given your knowledge of the average US per capita income? (0.5 pts)

2. Q: What are the youngest and oldest ages in the training set? What are the least and most amounts of hours per week do people in this set work? (0.5 pts) Hint:

   ```sh
   cat income.train.txt.5k | sort -nk1 | head -1
   ```

   Note the $ is the prompt, not part of the command (in jupyter notebook, use ! to run a command). cat lists all contents of a file, sort -nk1 means sort by the first column numerically, and head -1 lists the first line. Here the vertical bar | means “pipe”, i.e., feeding the output of the previous command as input to the next.

3. The most important step in ML is data preprocessing, which maps fields (original data) to features (internal representation); see Parts 2-3 for details. There are two types of fields, numerical (age and hours-per-week), and categorical (everything else). The default preprocessing method is to binarize all categorical fields, e.g., the field race becomes many binary features such as race=White, race=Black, etc. These features are binary because their values can only be 0 or 1, and for each example, in each field, there is one and only one positive feature (this is the so-called “one-hot” representation, widely used in ML and NLP).

   Q: Why do we need to binarize all categorical fields? (0.5 pts)
   Q: Why we do not want to binarize the two numerical fields, age and hours? (0.5 pts)

4. Q: How should we deal with the two numerical fields? Just as is, or normalize them (say, age / 100)? (0.5 pts)

   Hint: The max Manhattan distance between two people on a categorial field is 2. If we simply normalize a numerical field (age/100), what’s the max distance on age? Are we treating all fields equally? See Part 3 Q2.

5. Q: How many features do you have in total (i.e., the dimensionality)? Hint: around 90. (Instead, if you binarize all fields, it would be around 230; see Part 2 Q3). Note: the target label is not a feature! (0.5 pts) Hint:

   ```sh
   for i in `seq 1 9`; do cat income.train.txt.5k | cut -f $i -d ',' | sort | uniq | wc -l; done
   ```

   Here `seq 1 9` returns 1 2 ... 9, cut extracts specific columns of each line (e.g., cut -f 2 extracts the second column), and -d ',' means using comma as the column separator. uniq filters out duplicate consecutive rows, and wc -l counts the number of lines. So sort | uniq | wc -l returns the number of unique rows.

   If you have difficulty with Linux, you can also do these problems by pure Python or pandas (not as handy).

2 Data Preprocessing and Feature Extraction I: Naive Binarization (3.5 pts)

In this section, we’ll delve into a simple method of data preprocessing, naive binarization, and examine its implications and utility when applied to the Income dataset. Given the structure of our dataset, we have both numerical and categorical data. For the purpose of this exploration, we’ll treat the numerical data (age and hours-per-week) equivalently to the categorical data. This means that age=37 will be treated similarly to sector=Private.

1. Pandas and Data Loading. Before we proceed with feature extraction, let’s understand how to load our dataset using the pandas library. The read_csv function facilitates this, and here we showcase loading from the toy dataset toy.txt (watch video 2):

   ```python
   import pandas as pd
   data = pd.read_csv("toy.txt", sep="", names=["age", "sector"])) # load the toy dataset
   ```

   Here’s a breakdown of the parameters:

   \[1\] In principle, we could also convert education to a numerical feature, but we choose not to do it to keep it simple.
(a) *sep*: The column delimiter. In this case, it's ",", ". We specify this to ensure the data is read correctly.
(b) *names*: This specifies the column headers (i.e., field names).

If you `print(data)`, it should output:

<table>
<thead>
<tr>
<th>age</th>
<th>sector</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>45 Federal-gov</td>
</tr>
<tr>
<td>1</td>
<td>33 Private</td>
</tr>
<tr>
<td>4</td>
<td>30 Local-gov</td>
</tr>
<tr>
<td>5</td>
<td>37 Private</td>
</tr>
<tr>
<td>6</td>
<td>35 Private</td>
</tr>
<tr>
<td>7</td>
<td>33 Private</td>
</tr>
<tr>
<td>8</td>
<td>40 Private</td>
</tr>
<tr>
<td>9</td>
<td>54 Federal-gov</td>
</tr>
</tbody>
</table>

Masking in *pandas* is useful for filtering data based on specific conditions. For instance, to view rows where *age* is 33 and *sector* is Private, use:

```python
filtered_data = data[(data['age'] == 33) & (data['sector'] == 'Private')]
```

This returns a DataFrame containing only the rows that satisfy both conditions.

Hint: for simplicity reasons, you can use the following field names in your implementation:

["age", "sector", "edu", "marriage", "occupation", "race", "sex", "hours", "country", "target"]

2. **Binarization in Pandas.** Let's now introduce the concept of one-hot encoding with a practical example from our toy dataset. One-hot encoding is a technique to convert categorical data into a format that could be fed into machine learning algorithms. Essentially, for each unique value in a category, a binary feature is created. Using *pandas*, the one-hot encoding can be done using `pandas.get_dummies()`:

```python
encoded_data = pd.get_dummies(data, columns=['age', 'sector'])
print(encoded_data)
```

This produces:

```
<table>
<thead>
<tr>
<th>age_19</th>
<th>age_30</th>
<th>age_33</th>
<th>age_35</th>
<th>age_37</th>
<th>age_40</th>
<th>age_45</th>
<th>age_47</th>
<th>age_54</th>
<th>sector_Federal-gov</th>
<th>sector_Local-gov</th>
<th>sector_Private</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>4</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
</tr>
<tr>
<td>5</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>6</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>7</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>8</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>9</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
```

This output showcases the one-hot encoded version of our data. Each unique age and sector has been turned into a binary feature occupying its own column. In the resulting dataframe, if an individual’s *age* is 45, then the *age_45* feature will be on (1), while all other age features will be off (0). Same for the *sector* features.

Notice how these binary features are named: the naming convention starts with the original field’s name (e.g., *age* or *sector*), followed by an underscore (_) and then the unique value (e.g., 19 or *Federal-gov*). This naming rule is necessary: You might wonder why not just 19 instead of *age_19*? Well, there is also *hours_19*!

**Question:** Although `pandas.get_dummies()` is very handy for one-hot encoding, it’s *absolutely impossible* to be used in machine learning. Why? (0.5 pts) (Hint: It’s important to think about the entire pipeline. When working with training, dev and test sets, we need to ensure consistent representation across all of them.)
3. Binarization in Scikit-Learn. A better tool is the OneHotEncoder class from the sklearn.preprocessing library. It ensures consistent representation across training, dev, and test sets because it can “fit” an encoder to the training set, which is then applied to all datasets. In other words, it’s “stateful”, as opposed to the “stateless” pandas.get_dummies(). It’s slightly more complex than pandas.get_dummies() but is worth it:

- Import the necessary libraries:
  ```python
  from sklearn.preprocessing import OneHotEncoder
  ```
- Instantiate the encoder:
  ```python
  encoder = OneHotEncoder(sparse=False, handle_unknown='ignore')
  ```
  Here `handle_unknown='ignore'` is important, otherwise when applied to the unseen dev/test data, it will throw an error on new features that it has not seen on the training set (e.g., a new country). See also Q2.
- Fit the encoder to the training data, and transform the training data:
  ```python
  encoder.fit(data)  # you only fit the encoder once (on training)
  binary_data = encoder.transform(data)  # but use it to transform training, dev, and test sets
  ```

In practice, you can combine these two lines by one function `encoder.fit_transform(data)` but we chose to separate them for clarity. The output, `binary_data`, looks very similar to the binarized data from pandas:

```
[[0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 1.]
 [0. 0. 1. 0. 0. 0. 0. 0. 0. 0. 0. 1.]
 [1. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 1.]
 [0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 1.]
 [0. 1. 0. 0. 0. 0. 0. 0. 0. 0. 0. 1.]
 [0. 0. 0. 1. 0. 0. 0. 0. 0. 0. 0. 1.]
 [0. 0. 0. 1. 0. 0. 0. 0. 0. 0. 0. 1.]
 [0. 0. 0. 0. 0. 0. 0. 0. 1. 0. 0. 1.]
 [0. 0. 0. 0. 0. 0. 1. 0. 0. 0. 0. 1.]
 [0. 0. 0. 0. 0. 1. 0. 0. 0. 0. 0. 1.]
 [0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 0. 1.]]
```

You can check the name of each column by `encoder.get_feature_names_out()`, which gives us:

```
['age_19' 'age_30' 'age_33' 'age_35' 'age_37' 'age_40' 'age_45' 'age_47' 'age_54'
 'sector_Federal-gov' 'sector_Local-gov' 'sector_Private']
```

**Question:** After implementing the naive binarization to the real training set (NOT the toy set), what is the feature dimension? Does it match with the result from Part 1 Q5? (0.25 pts) Note: target is not a feature!

4. Fit k-NN via Scikit-Learn. With the dataset now binarized using the OneHotEncoder, an intriguing exploration is to employ the k-nearest neighbors (k-NN) algorithm on this transformed data. The k-NN algorithm works by classifying a data point based on how its neighbors are classified. The number of neighbors, denoted as k, is a parameter that can greatly affect the performance of the k-NN algorithm.

To begin with, you would utilize the KNeighborsClassifier from sklearn.neighbors. Given the binary representation of the dataset, you can follow these general steps:

- Prediction: Predict the labels for both the training set (to get training accuracy) and the dev set.
- Evaluation: Calculate and compare the accuracy scores for the predictions on the training and dev sets.

**Questions:**

(a) Evaluate k-NN on both the training and dev sets and report the error rates and predicted positive rates for k from 1 to 100 (odd numbers only, for tie-breaking), e.g., something like:
k=1  train_err xx.x% (+:xx.x%)  dev_err xx.x% (+:xx.x%)
k=3  ...
...
k=99  ...

Q: what’s your best error rate on dev? Which \( k \) achieves this best error rate? (Hint: 1-NN dev error should be \( \sim 23\% \) and the best dev error should be \( \sim 16\% \)). (1 pt)

(b) Q: When \( k = 1 \), is training error 0%? Why or why not? Look at the training data to confirm your answer. (0.5 pts)

(c) Q: What trends (train and dev error rates and positive ratios, and running speed) do you observe with increasing \( k \)? (0.75 pts)

(d) Q: What does \( k = \infty \) actually do? Is it extreme overfitting or underfitting? What about \( k = 1 \)? (0.5 pts)

3 Data Preprocessing and Feature Extraction II: Smart Binarization (3 pts)

In the previous section, we discussed the naive binarization of the Income dataset. While this method can be effective for certain machine learning models, there are more refined data preprocessing techniques that can yield better results, especially when dealing with a mix of numerical and categorical data. This section delves into smarter binarization methods, particularly focusing on differential handling of numerical and categorical features and scaling the numerical data for better algorithmic performance.

1. For machine algorithms sensitive to distance metrics such as \( k \)-NN, it’s pivotal to preprocess data more intelligently. In our case, we want to treat numerical (\( \text{age} \) and \( \text{hours-per-week} \)) and categorical fields differently. For categorical data, we continue to use \texttt{OneHotEncoder} for binarization. However, for numerical data, instead of binarizing them directly, we let them remain in their original format. Here’s how you’d typically proceed:

   - Differentiate between numerical and categorical fields in your dataset (i.e., identify their column names).
   - Apply \texttt{OneHotEncoder} only to the categorical fields (in our case, all but \( \text{age} \) and \( \text{hours-per-week} \)).
   - Combine the processed categorical data with the numerical data to form the modified dataset.

Here, we provide an example for the toy dataset:

   - Import the necessary libraries:
     ```python
     from sklearn.compose import ColumnTransformer
     from sklearn.preprocessing import OneHotEncoder
     ```
   - Instantiate the preprocessing methods for numerical and categorical data:
     ```python
     num_processor = 'passthrough'  # i.e., no transformation
     cat_processor = OneHotEncoder(sparse=False, handle_unknown='ignore')
     ```
   - Fit the preprocessor to the dataset and transform:
     ```python
     preprocessor = ColumnTransformer([
         ('num', num_processor, ['age']),
         ('cat', cat_processor, ['sector'])
     ])  
     preprocessor.fit(data)  
     processed_data = preprocessor.transform(data)
     ```

And the \texttt{processed\_data} will give us:
You can also check the name of each feature by `preprocessor.get_feature_names_out()`, which gives us:

`['num__age' 'cat__sector_Federal-gov' 'cat__sector_Local-gov' 'cat__sector_Private']`

After this preprocessing step, make your new number of features is around 90, as in Part 1 Q5.

**Question:** Re-execute all experiments with varying values of $k$ (Part 2 Q 4a) and report the new results. Do you notice any performance improvements compared to the initial results? If so, why? If not, why do you think that is? (1.5 pts) (Hint: 1-NN dev error should be $\sim 27\%$ and the best dev error should be $\sim 21\%$)

2. Simply keeping numerical data unchanged may not always yield optimal results. Algorithms like $k$-NN, which rely on distance metrics, can be sensitive to the scale of the features. A variable that spans a large range can unduly influence the distance computation. For instance, `age` and `hours-per-week` typically have much larger ranges than other binary features, which could result in the two of them dominating the distance calculations.

To tackle this, we can perform rescaling on the numerical fields, ensuring they lie within a similar range, e.g., **bounding each field’s max Manhattan distance by 2** (see Part 1 Q4). `MinMaxScaler` from `sklearn.preprocessing` is a tool designed for this task, scaling features to lie between a given range, often between zero and one.

Here’s an improved version of the previous implementation:

- Import the necessary libraries:
  ```python
  from sklearn.compose import ColumnTransformer
  from sklearn.preprocessing import MinMaxScaler, OneHotEncoder
  ```

- Instantiate the processing methods for numerical and categorical data:
  ```python
  num_processor = MinMaxScaler(feature_range=(0, 2))
  cat_processor = OneHotEncoder(sparse=False, handle_unknown='ignore')
  ```

- Fit the processor to the dataset and transform:
  ```python
  preprocessor = ColumnTransformer([  
    ('num', num_processor, ['age']),  
    ('cat', cat_processor, ['sector'])  
  ])  
  preprocessor.fit(data)
  processed_data = preprocessor.transform(data)
  ```

This new version will produce more reasonable features for numerical data:
**Questions:** Again, rerun all experiments with varying values of $k$ and report the results (Part 2, Question 4a). Do you notice any performance improvements? If so, why? If not, why do you think that is? (1.5 pts) (Hint: 1-NN dev error should be $\sim 24\%$ and the best dev error should be $\sim 14$–$15\%$)

## 4 Implement your own $k$-Nearest Neighbor Classifiers (4.5 pts)

While leveraging libraries like **sklearn** can be incredibly convenient for employing algorithms like $k$-NN, there’s significant educational value in implementing the algorithm from scratch by yourself. By doing so, you can gain a deeper understanding of the intricacies and operations that occur under the hood.

**Note:** you should start with the preprocessed data from **sklearn** (smart binarization + scaling), and only implement the $k$-NN classifier; i.e., no need to implement the binarization in Python yourself, which is non-trivial.

**Note:** you can use the Matlab style “broadcasting” notations in numpy (such as matrix - vector) to calculate many distances in one shot. For example, if $A$ is an $n \times m$ matrix ($n$ rows, $m$ columns, where $n$ is the number of people and $m$ is the number of features), and $p$ is an $m$-dimensional vector (1 row, $m$ columns) representing the query person, then $A - p$ returns the difference vectors from each person in $A$ to the query person $p$, from which you can compute the distances:

```python
>>> A = np.array([[1,2], [2,3], [4,5]]); p = np.array([3,2])
>>> A - p
array([[-2, 0], [-1, 1], [ 1, 3]])

>>> np.linalg.norm(A-p, axis=1)
array([2. , 1.41421356, 3.16227766])
```

This is Euclidean distance (what does `axis=1` mean?). You need to figure out Manhattan distance yourself.

**1. Distance Verification (sanity check).** Once you have prepared the dataset, use the **sklearn** $k$-NN predictor (with rescaled smart binarization) to validate your results for the first person in the dev dataset. Particularly, identify the three closest individuals from the training set. The first person in the dev set is:

$\$ head -1 income.dev.txt
45, Federal-gov, Bachelors, Married-civ-spouse, Adm-clerical, White, Male, 45, United-States, <=50K

Its binarized features should look like:

```
<table>
<thead>
<tr>
<th></th>
<th>age</th>
<th>sector_Federal-gov</th>
<th>occupation_Adm-clerical</th>
<th>hours</th>
<th>country_United-States</th>
</tr>
</thead>
</table>
| 0.767123 | 1.0 | ... | ... | 1.0 | 0.897959 | 1.0 | ...
```

Using the `kneighbors` method from **KNeighborsClassifier**, according to the Euclidean distance, you can find the following three closest individuals from the training dataset (with 0-based row index):

```
(4872)  | age | sector_Federal-gov | occupation_Adm-clerical | hours | country_United-States |
        | 0.438356 | 1.0 | ... | 1.0 | 0.836735 | ... | 1.0 | ...
(4787)  | age | sector_Federal-gov | occupation_Adm-clerical | hours | country_United-States |
        | 0.821918 | 1.0 | ... | 1.0 | 0.897959 | ... | 0.0 | ...
(2591)  | age | sector_Federal-gov | occupation_Adm-clerical | hours | country_United-States |
        | 0.849315 | 1.0 | ... | 0.0 | 0.877551 | ... | 1.0 | ...
```

Their Euclidean distances to the query person are approximately 0.334, 1.415, and 1.417 (make sure your **sklearn** results match these). The original rows in the **train** dataset (with 1-based line number):

```
$ sed -n 4873p income.train.txt.5k
33, Federal-gov, Bachelors, Married-civ-spouse, Adm-clerical, White, Male, 42, United-States, >50K
$ sed -n 4788p income.train.txt.5k
47, Federal-gov, Bachelors, Married-civ-spouse, Adm-clerical, White, Male, 45, Germany, >50K
$ sed -n 2592p income.train.txt.5k
48, Federal-gov, Bachelors, Married-civ-spouse, Prof-specialty, White, Male, 44, United-States, >50K
```
Here is the detailed computation of distances for your convenience:

\[
\sqrt{(0.767123-0.438356)^2 + (0.897959-0.836735)^2} = 0.334 \quad \text{# only differ in age and hours}
\]

\[
\sqrt{(0.767123-0.821918)^2 + 1^2 + 1^2} = 1.415 \quad \text{# only differ in age and country}
\]

\[
\sqrt{(0.767123-0.849315)^2 + 1^2 + 1^2 + (0.897959-0.877551)^2} = 1.417 \quad \text{# age, occupation, and hours}
\]

Also notice that in this example, the 3-NN prediction is wrong, as the top-3 closest examples are all >50K.

Finally, remember that you don’t really need to sort the distances in order to get the top-k closest examples.

Note: If you couldn’t get the same top-3 people listed above, it is possible that you included the target label in your feature map.

**Question:** Before implementing your k-NN classifier, try to verify the distances from your implementation with those from the sklearn implementation. What are the (Euclidean and Manhattan) distances between the query person above (the first in dev set) and the top-3 people listed above? Report results from both sklearn and your own implementation. (0.5 pts)

2. **Implement your own k-NN classifier** (with the default Euclidean distance).

(a) Q: Is there any work in training after the feature map (i.e., after all fields become features)? (0.25 pts)

(b) Q: What’s the time complexity of k-NN to test one example (dimensionality d, size of training set |D|)? (0.75 pt) If you do not have a CS background, please state it here.

(c) Q: Do you really need to sort the distances first and then choose the top k? Hint: there is a faster way to choose top k without sorting. (0.5 pts)

(d) Q: What numpy tricks did you use to speed up your program so that it can be fast enough to print the training error? Hint: (i) broadcasting (such as matrix - vector); (ii) np.linalg.norm(..., axis=1); (iii) np. argsort() or np.argpartition(); (iv) slicing. The main idea is to do as much computation in the vector-matrix format as possible (i.e., the Matlab philosophy), and as little in Python as possible. (1 pt)

(e) Q: How many seconds does it take to print the training and dev errors for k = 99 on ENGR servers? Hint: use $ time python ... and report the user time instead of the real time. (Mine was about 14 seconds). (0.5 pts)

3. **Redo the evaluation using Manhattan distance** (for k = 1 ~ 99). Better or worse? (1 pt)

5 **Deployment (3.5 pts)**

Now try more k’s and take your best model (according to dev error rate) and run it on the semi-blind test data, and produce income.test.predicted, which has the same format as the training and dev files.

Q: At which k and with which distance did you achieve the best dev results? (0.25 pts)

Q: What’s your best dev error rates and the corresponding positive ratios? (0.25 pts)

Q: What’s the positive ratio on test? (0.25 pts)

Part of your grade will depend on the accuracy of income.test.predicted (2.75 pts).

**IMPORTANT:** You should use our validate.py (from hw1-data.tgz) to verify your income.test.predicted; it will catch many common problems such as formatting issues and overly positive or overly negative results:

$ cat income.test.predicted | python3 validate.py

We also provided a random_output.py which generates random predictions (~50% positive) and it will pass the formatting check, but fail on the positive ratio:

$ cat income.test.blind | python3 random_output.py | python3 validate.py

which might output:

Your file passed the formatting test! :)

Your positive rate is 49.6%.

ERROR: Your positive rate seems too high (should be similar to train and dev).

PLEASE DOUBLE CHECK YOUR BINARIZATION AND kNN CODE.
If you test the dev set, it will certainly pass this test (try $ cat income.dev.txt | python3 validate.py). Our automatic grading system will assume your incoming.test.predicted passes this test; if it doesn’t, you will receive 0 points for the blind test part.

6 Observations (2.5 pts)

1. Q: Summarize the major drawbacks of k-NN that you observed by doing this HW. There are a lot! (1 pt) Hint: The most obvious one is: Why are all fields treated equally? Which field should be more important?

2. Q: Do you observe in this HW that best-performing models tend to exaggerate the existing bias in the training data? Is it due to overfitting or underfitting? Is this a potentially social issue? (1.5 pts) Hint: for example, compare the true positive % vs. your predicted positive % on the dev set. What about the positive % given gender? (e.g., for all females in the dev set, compare the true positive % and your predicted one.) Or race? Note: All machine learning algorithms tend to exaggerate existing biases in data. Why? Because learning involves compression (see https://en.wikipedia.org/wiki/Data_compression#Machine_learning). This is like when you really understand a textbook, you’ve effectively compressed it to a few bullet points. Machine learning, like human learning, has to compress the data to a smaller representation, otherwise it’s just “memorizing the textbook”, which is useless at testing time (overfitting). To do this compression, machine learning has to sacrifice some details. In k-NN, even though there is no training per se, the use of a larger $k$ effectively draws a smoother boundary between positive and negative regions (thus smaller representation of the concept classes). By contrast, $k = 1$ draws the most zigzagged boundary (see slides). But this is a serious social issue because ML is used everywhere.

7 Extra Credit Question (extra 2 pts)

For an additional challenge, visualize the dev error rates of all three versions (naive, smart, and smart+scaling, all with Euclidean distance) against $k$. Plot these three error rate curves on a single graph to allow for easy comparison. Use different colors or styles for each curve and be sure to include a legend to distinguish between them.

Debriefing (required in your report)

1. Approximately how many hours did you spend on this assignment?
2. Would you rate it as easy, moderate, or difficult?
3. Did you work on it mostly alone, or mostly with other people?
4. How deeply do you feel you understand the material it covers (0%–100%)?
5. Any other comments?