

# Lecture 10:

- (i) Explainable ML;
- (ii) Ethical Research Revisited

CMSC 25910

Spring 2022

The University of Chicago



THE UNIVERSITY OF  
CHICAGO

# **The Evolution of the Right to an Explanation**

# US Equal Credit Opportunity Act (1974)

- ECOA requires creditors to provide notification about specific actions taken, as well as to provide an explanation
- “(2) *Statement of specific reasons.* The statement of **reasons for adverse action** required by paragraph (a)(2)(i) of this section **must be specific and indicate the principal reason(s)** for the adverse action. Statements that the adverse action was based on the creditor's internal standards or policies or that the applicant, joint applicant, or similar party failed to achieve a qualifying score on the creditor's credit scoring system are insufficient.”

# GDPR May Provide Such a Right

- “The data subject should have the right not to be subject to a decision...which is based solely on automated processing and which produces legal effects concerning him or her or similarly significantly affects him or her...”
- “In any case, such processing should be subject to suitable safeguards, which should include specific information to the data subject and the right to obtain human intervention, to express his or her point of view, **to obtain an explanation of the decision reached after such assessment** and to challenge the decision...”
- “...the controller should use **appropriate mathematical or statistical procedures** for the profiling, implement technical and organisational measures appropriate to ensure, in particular, that factors which result in inaccuracies in personal data are corrected and the risk of errors is minimised...”

# **Example Approaches to “Explain” Ads**

# Disclose That An Ad is an Ad (Web)




Ad Consumer Attention

## Illinois: Zantac Users May Get Cash Settlement In Lawsuit

Have you used Zantac and been diagnosed with cancer? You may qualify for significant compensation. See how.


# Explaining Ad Campaigns (Global)

 **Elizabeth Warren**  
Sponsored • Paid for by Warren for President

Breaking news: Mark Zuckerberg and Facebook just endorsed Donald Trump for re-election.

You're probably shocked, and you might be thinking, "how could this possibly be true?"

Well, it's not. (Sorry.) But what Zuckerberg \*has\* done is given Donald Trump



**Mark Zuckerberg just endorsed Donald Trump**  
It's time to break up our biggest tech companies like Amazon, Google, and Facebook.

[Sign Up](#)

MY.ELIZABETHWARREN.COM

### Data About This Ad

● Active  
Started running on Oct 10, 2019

10K - 50K Impressions	\$100 - \$499 Money spent (USD)
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### Who Was Shown This Ad

Age and Gender

Men Women Unknown

Age Group	Men	Women	Unknown
18-24	2%	4%	0%
25-34	7%	13%	0%
35-44	7%	15%	0%
45-54	7%	14%	0%
55-64	6%	13%	0%
65+	3%	8%	0%

# Explaining One Ad (Local)



Ad Consumer Attention

## Illinois: Zantac Users May Get Cash Lawsuit

Have you used Zantac and been diagnosed with cancer? You may be eligible for significant compensation. See how.



Why this ad?



Ad Feedback



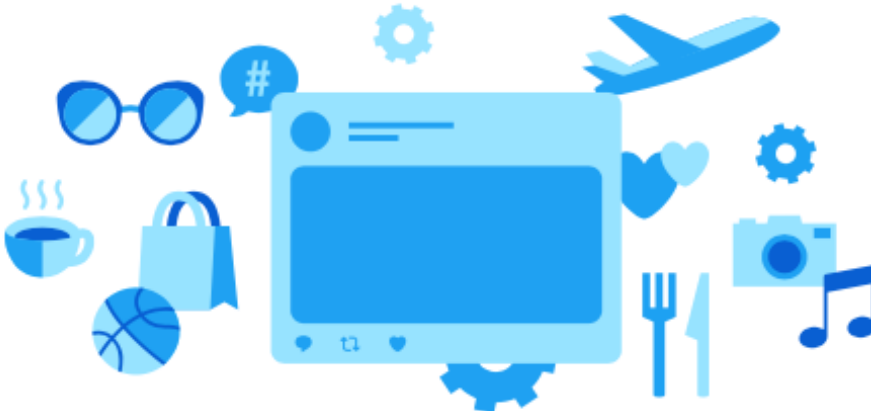
Advertise with us





# Explaining One Ad (Local)

✕ **Why am I seeing this ad?**



One reason you may be seeing this ad is that **Bud Light** wants to reach people interested in **NFL Season 2020-2021**. There may be other reasons you're seeing this ad, including that **Bud Light** wants to reach people between the ages of **21 and 49** and located here: **United States**.

You can view and manage information connected to your account that Twitter may use for ads purposes. [See your Twitter data](#).

Twitter also personalizes ads using information received from partners as well as app and website visits. You can control these interest-based ads using the ["Personalize ads" setting](#).

# Explaining One Ad (Local)

## Why This Ad?



### For Consumers

- The sites and apps you use work with online advertising companies to provide you with advertising that is as relevant and useful as possible. Personalization may be informed by various factors such as the content of the site or app you are using, information you provide, historical searches you conduct, what your friends or contacts recommend to you, apps on your device, or based on your other interests. Read about [Verizon Media's privacy and advertising practices](#) to learn more about how Verizon Media selects the ads you see.

### Who placed this ad?

- This ad was served by [Verizon Media](#) or one of [Verizon Media's advertising partners](#).

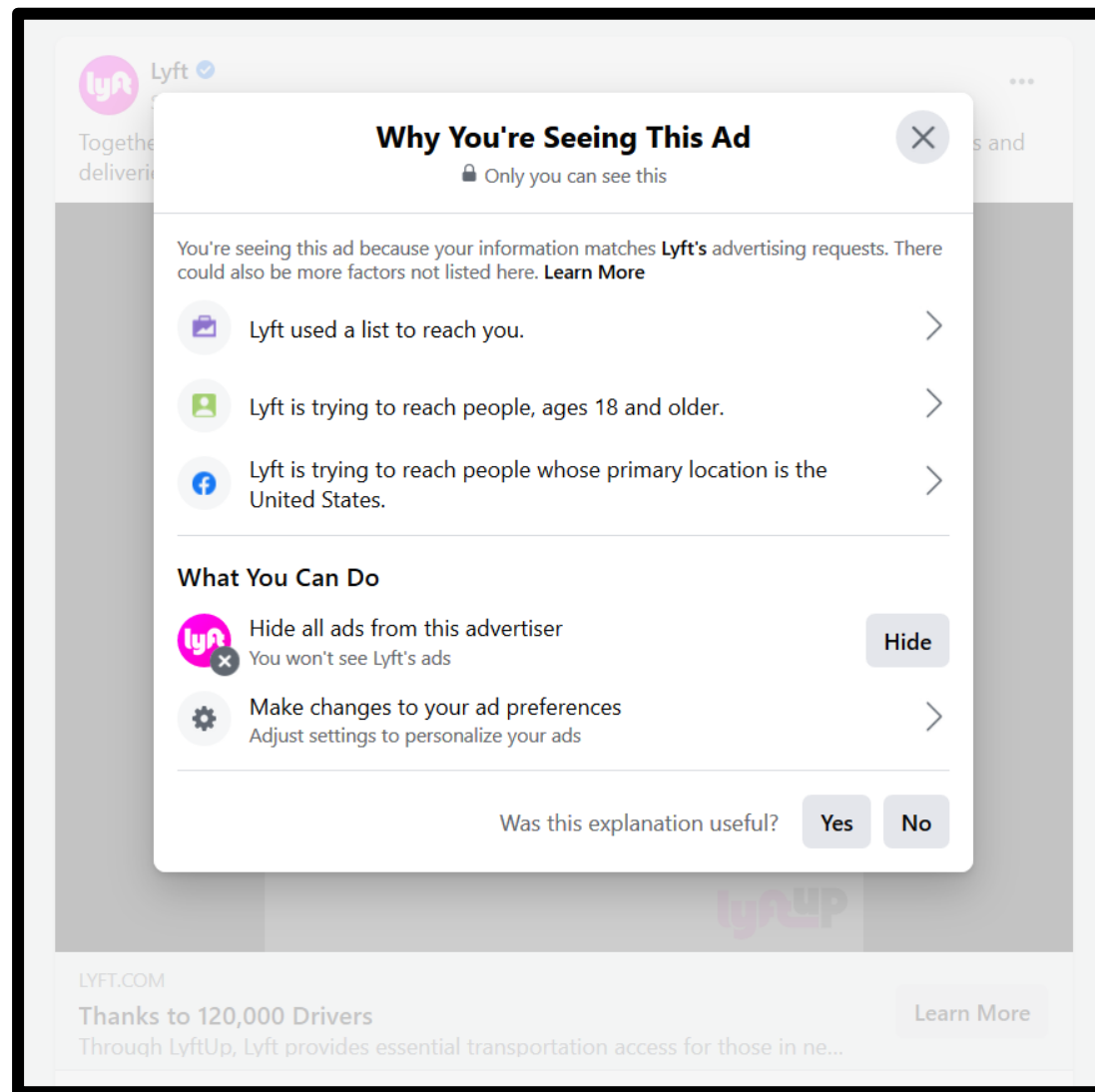
### Why was this ad served?

- Certain factors like your activity, [searches](#), demographic data, apps on your device, and location information may be used to select the ads you see.

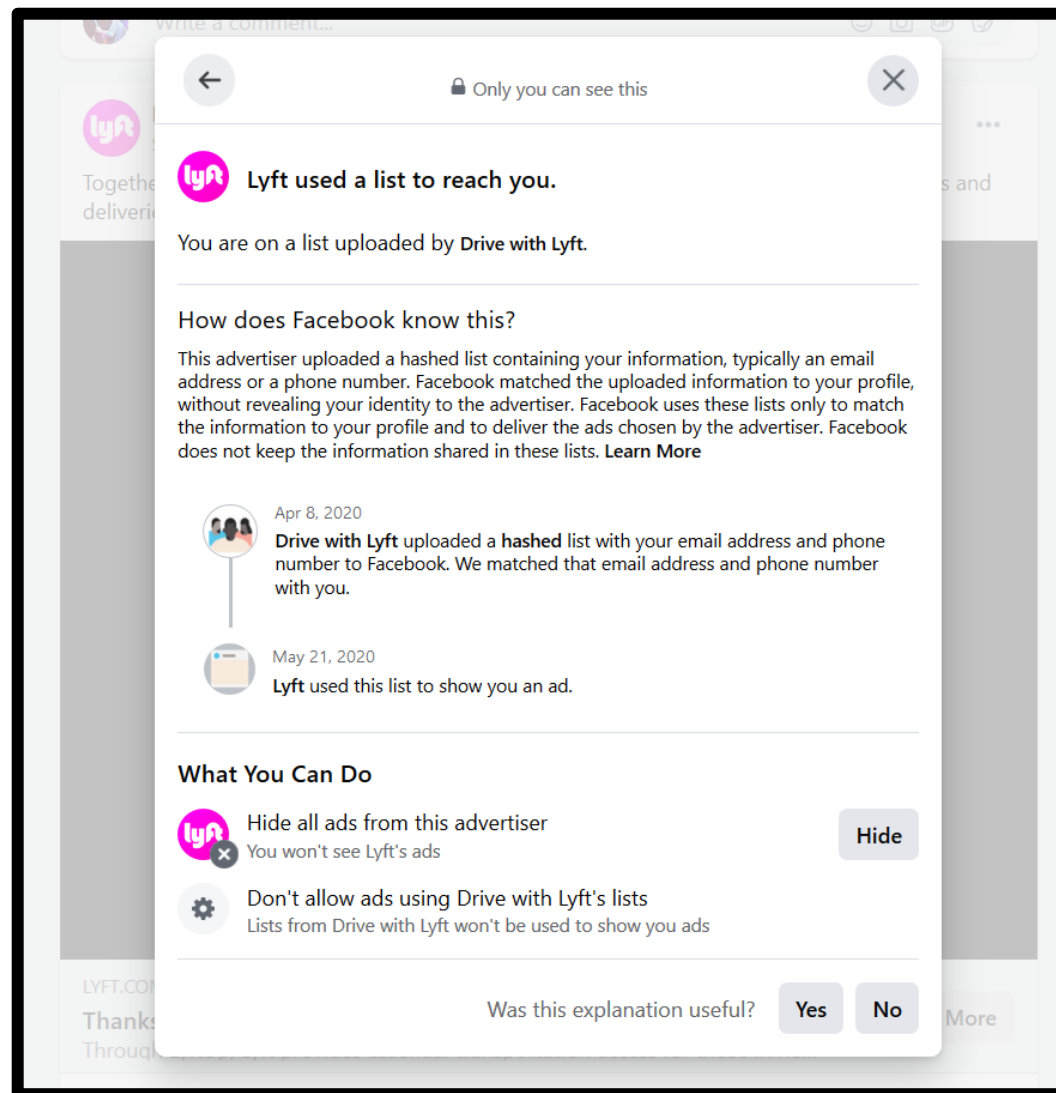
### What choices do I have?

- [Manage](#) interest-based advertising categories, or opt-out of all categories, from Verizon Media.
- [View our other privacy controls](#).
- Visit the [Network Advertising Initiative \(US\)](#) and the Digital Advertising Alliance Ad Choices - [DAA \(US\)](#), [EDAA \(EU\)](#), [DAAC \(Canada\)](#), [ADAA \(AU/NZ\)](#) to see your opt-out choices from other participating companies.
- [Explore](#) other controls and tools to help set and maintain your privacy choices.
- If you are using Safari or a browser enabled with Intelligent Tracking Protection (ITP) or similar cookie-blocking technology, if you wish to opt out of receiving personalized ads, you will need to do so directly via the [Verizon Media Privacy Center](#).

# Explaining One Ad (Local)



# Explaining One Ad (Local)



# Disclose That An Ad is an Ad (Facebook)

Facebook search bar: Search Facebook

Lyft **Sponsored**

Together with over 120,000 drivers, we formed a Driver Task Force to provide essential rides and deliveries to those who need them most. #Lyftup

that they're being very well appreciated.

lyftUP

LYFT.COM

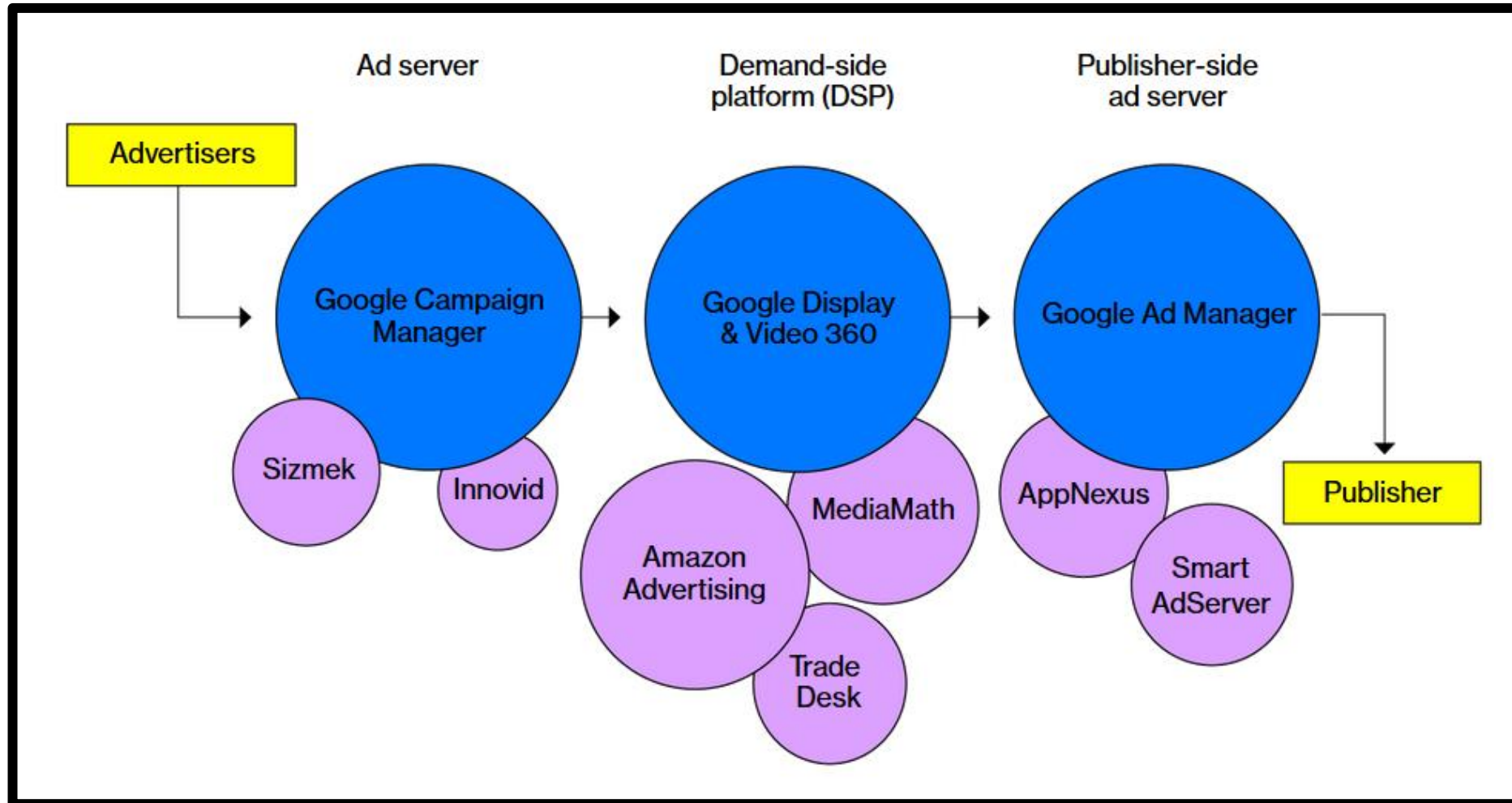
**Thanks to 120,000 Drivers**  
Through lyftUp, lyft provides essential transportation access for those in ... [Learn More](#)

161 reactions 10 Comments 13 Shares

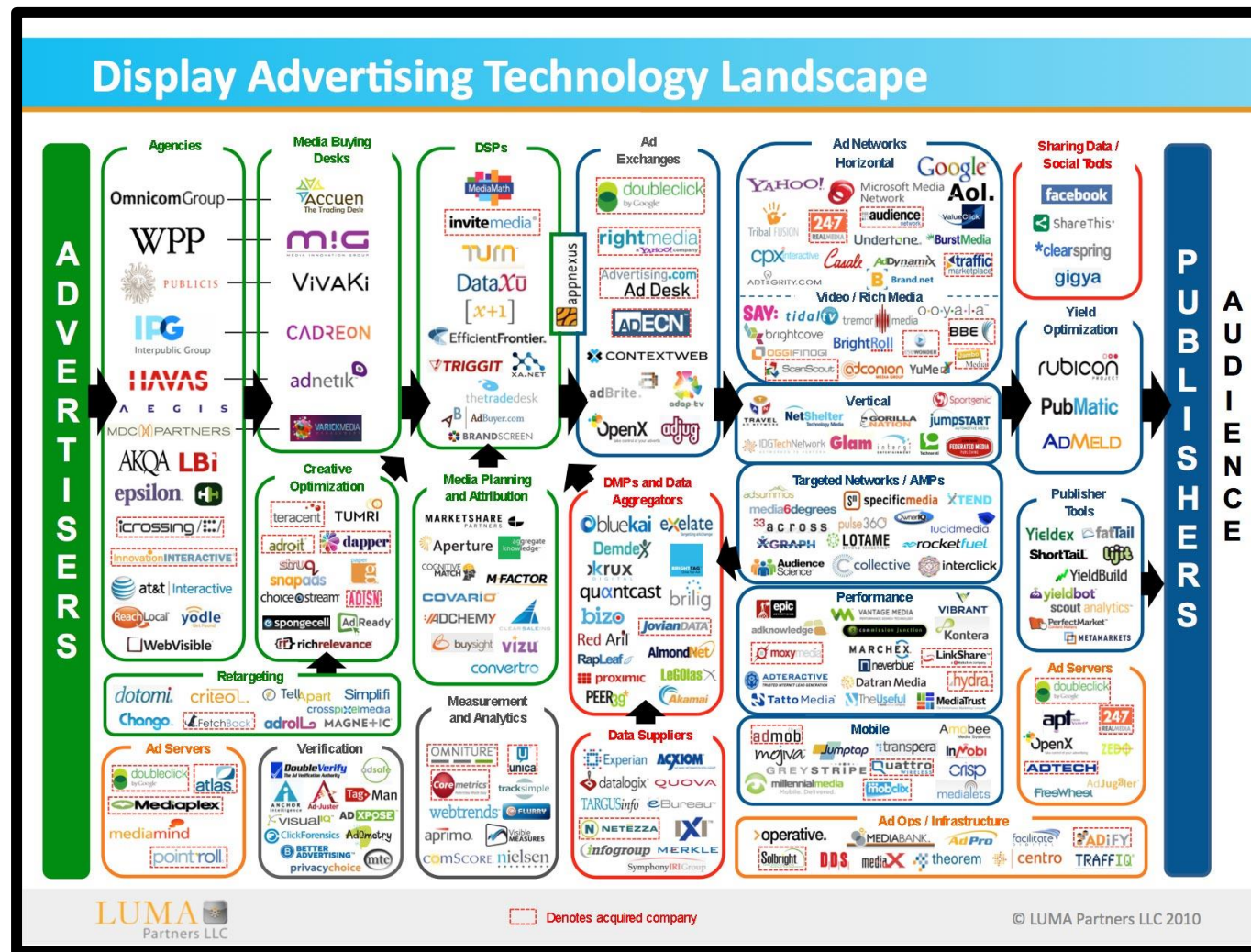
Like Comment Share

# **Approaches to “Explain” Models**

# Is This Enough? (Ad Ecosystem)



# Is This Enough? (Ad Ecosystem)





# Explaining a Model (Global)

## Object Detection

Model Card v0 Cloud Vision API

Overview

Limitations

Performance

Test your own images

Provide feedback

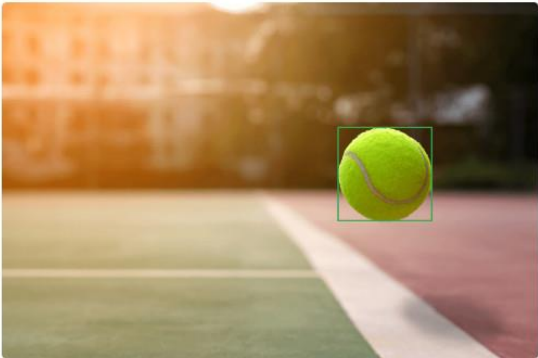
Explore

- Face Detection
- About Model Cards

The model analyzed in this card detects one or more physical objects within an image, from apparel and animals to tools and vehicles, and returns a box around each object, as well as a label and description for each object.

On this page, you can learn more about how the model performs on different classes of objects, and what kinds of images you should expect the model to perform well or poorly on.

### MODEL DESCRIPTION



**Input:** Photo(s) or video(s)


**Output:** The model can detect 550+ different object classes. For each object detected in a photo or video, the model outputs:

- Object bounding box coordinates
- Knowledge graph ID ("MID")
- Label description
- Confidence score

**Model architecture:** Single shot detector model with a Resnet 101 backbone and a feature pyramid network feature map.

[View public API documentation](#)

### PERFORMANCE



PRECISION 100%

0 RECALL 100%

• Open Images • Google Internal

Performance evaluated for specific object classes recognized by the model (e.g. shirt, muffin), and for categories of objects (e.g. apparel, food).

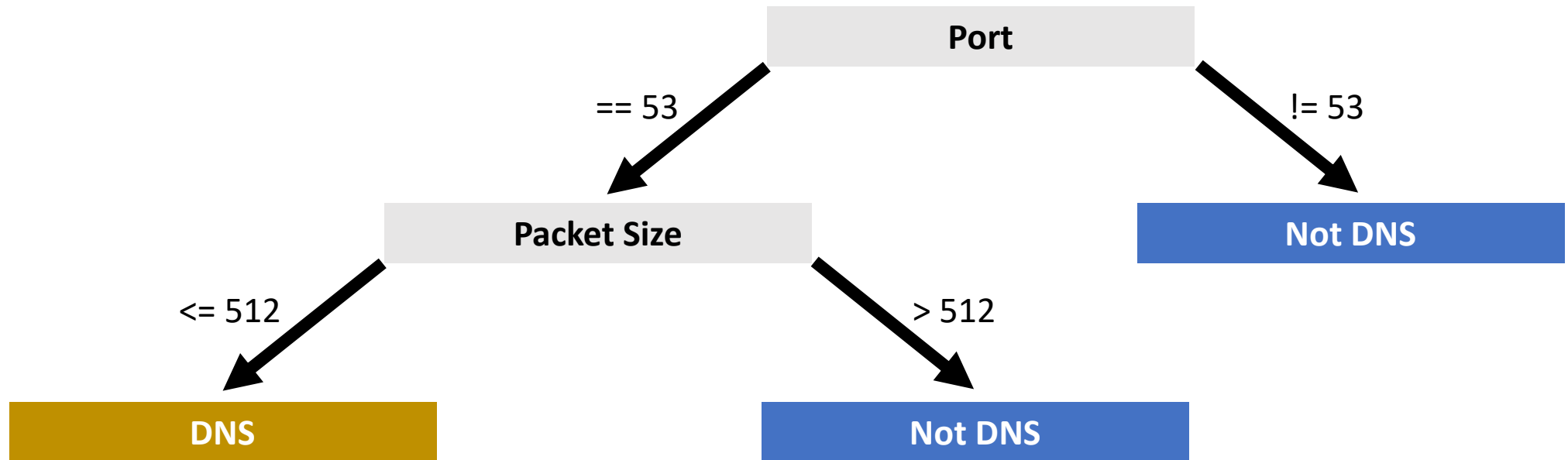
Two performance metrics are reported:

- Average Precision (AP)
- Recall at 60% Precision

Performance evaluated on two datasets distinct from the training set:

# Inherently Interpretable Models

- Example: decision trees



# Inherently Interpretable Models

- Example: regression models
  - Linear regression: coefficients
  - Logistic regression: odds ratio

Table 2: Linear regression with the number of scenarios the participant answered correctly as the dependent variable. Higher numbers correspond to more correct answers.

Factor	$\beta$	SE	$t$	$p$
(Intercept)	9.53	0.40	24.0	<.001
Condition: Brave	0.79	0.49	1.61	.108
Condition: Brave-Mobile	0.49	0.49	0.08	.940
Condition: Chrome	1.07	0.49	2.16	.032
Condition: Chrome-Mobile	0.62	0.50	1.25	.211
Condition: Chrome-Old	1.09	0.50	2.20	.028
Condition: Edge	0.05	0.50	0.10	.923
Condition: Firefox	0.88	0.59	1.80	.073
Condition: Firefox-Mobile	-0.30	0.50	-0.60	.550
Condition: Opera	0.57	0.50	1.15	.252
Condition: Opera-Mobile	-0.34	0.49	-0.70	.484
Condition: Safari	0.78	0.51	1.53	.127
Condition: Safari-Mobile	0.95	0.49	1.93	.055
Gender: Male	0.50	0.20	2.51	.013
Technical: Yes	0.49	0.31	1.60	.111
Age Range	-0.65	0.52	-1.24	.216
Browsing in Private Mode (%)	-0.00	0.01	-0.26	.792
Reopened Disclosure (#)	0.19	0.16	1.19	.236

# Highlight (Globally) Important Features

Category	Collection Method	List of Features
Metadata	Google Drive/Dropbox API	account size, used space, file size, file type (img, doc, etc.), extension (jpg, txt, etc.), last modified date, last modifying user, access type (owner, editor, etc.), sensitive filename, sharing status
Documents	Local text processing	bag of words for top 100 content keywords, LDA topic models, TF-IDF vectors, word2vec representations, table schemas for spreadsheets
Images	Google Vision API [20]	image object labels, adult, racy, medical, violent, logos, dominant RGB values, average RGB value
Sensitive Identifiers	Google DLP API [18]	<i>counts</i> of the following identifiers in a file: name, gender, ethnic group, address, email, date of birth, drivers license #, passport #, credit card, SSN, bank account #, VIN

Table 3: A list of the features we automatically collected for each file using multiple APIs and custom code.

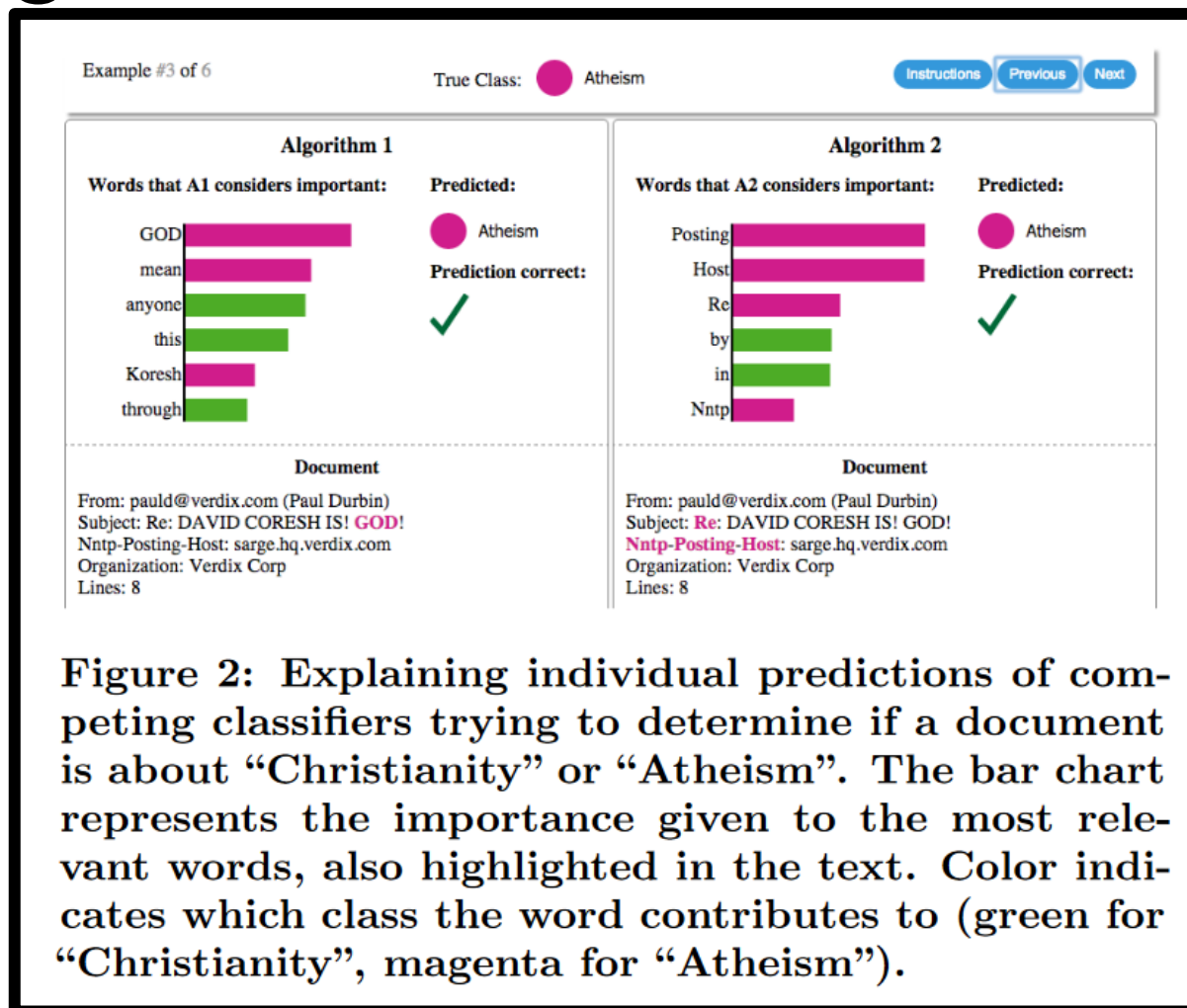
# Highlight (Globally) Important Features

Task		Features
Sensitivity	Documents	gender; fraction of ethnic/VIN/location files; credit card; date of birth; email
	Images	fraction of gender/SSN/ethnic/location files; adult; credit card; racy; passport
Usefulness	Documents	access type; last modifying user; finance keywords; report & journal keywords
	Images	file size; finance keywords; access type; last modifying user; medical keywords
File Management	All Files	usefulness; sensitivity; spoof; account size; used space; finance keywords; medical keywords

Table 8: Top features for prediction tasks. Italicized *keywords* were top terms identified via the bag of words collections.

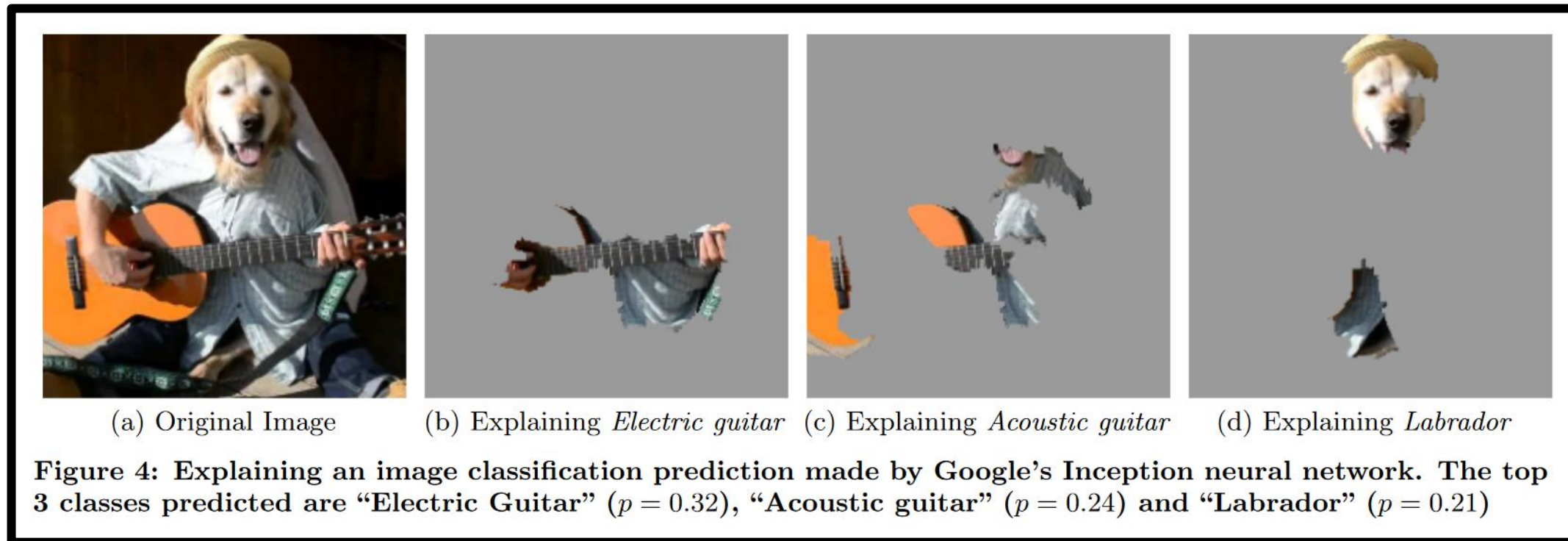
# **Retrospective Explanations**

# Explaining Text Classification



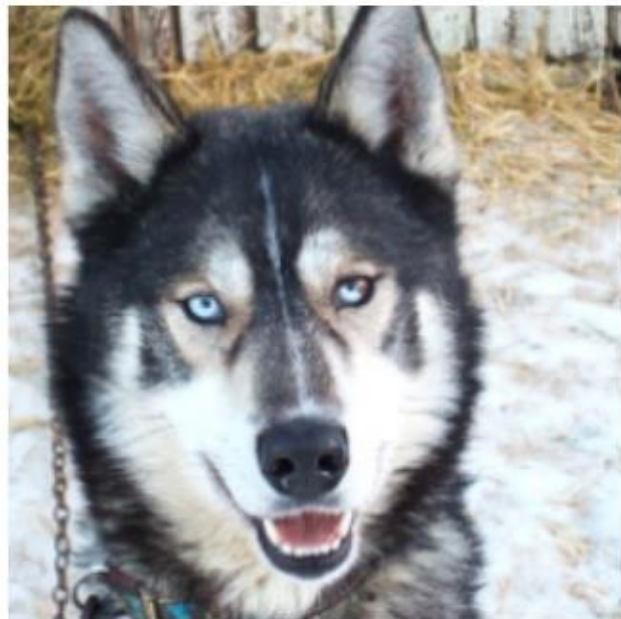
Taken from Ribiero et al. "Why Should I Trust You? Explaining the Predictions of Any Classifier," KDD 2016  
<https://dl.acm.org/doi/pdf/10.1145/2939672.2939778>

# Explaining Image Classifications





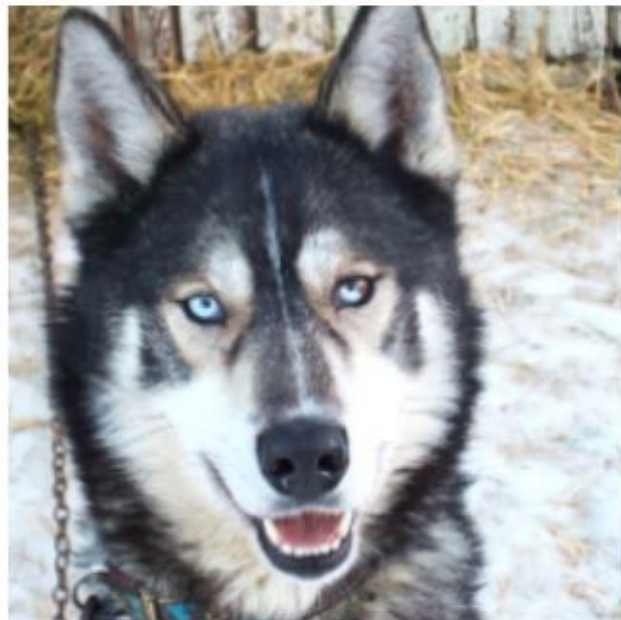
# Explaining Image Classifications



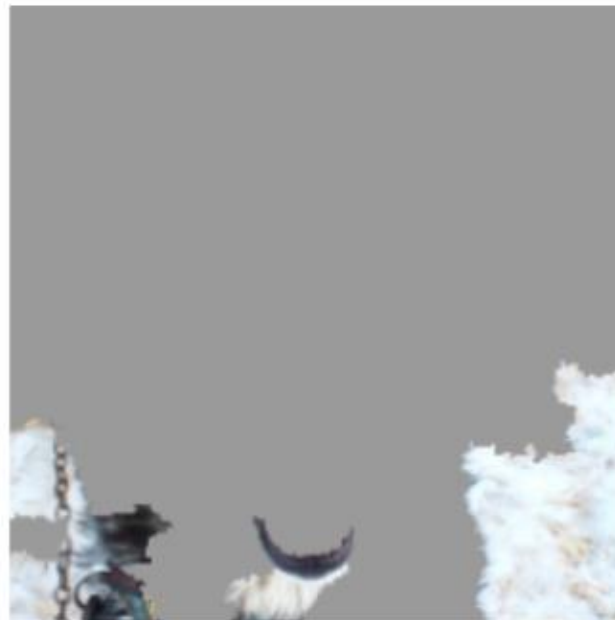
(a) Husky classified as wolf

**Figure 11: Raw data and explanation of a bad model's prediction in the "Husky vs Wolf" task.**

# Explaining Image Classifications



(a) Husky classified as wolf



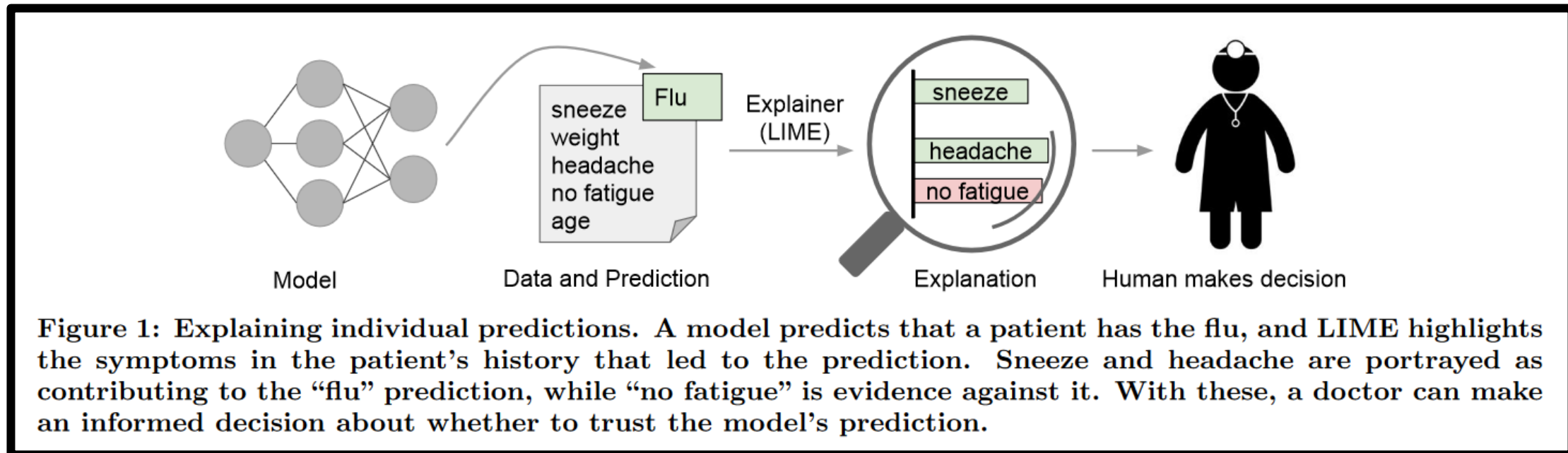
(b) Explanation

**Figure 11: Raw data and explanation of a bad model's prediction in the "Husky vs Wolf" task.**

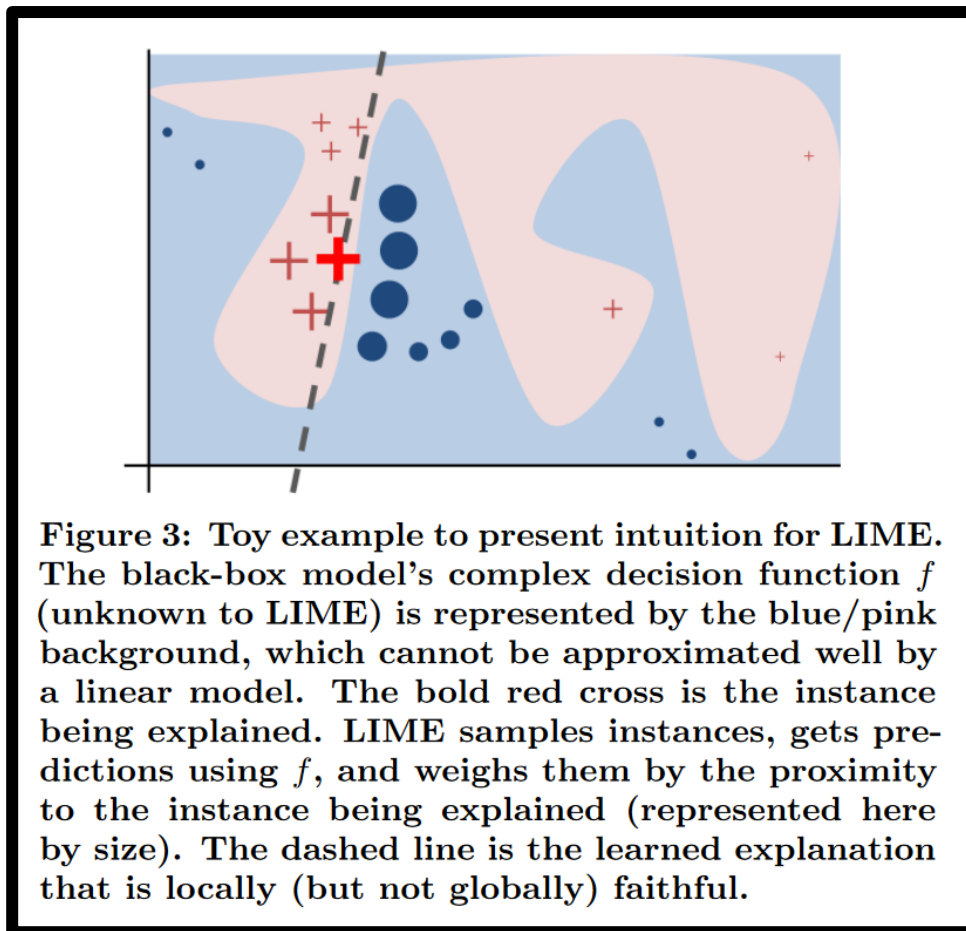
# LIME

- Local Interpretable Model-agnostic Explanations
- Overall goal: “identify an interpretable model over the interpretable representation that is locally faithful to the classifier.”
- Distinguishes between **features** (used by the model) and **interpretable representation** (used to explain to a human)
- “We also propose a method to explain models by presenting representative individual predictions and their explanations in a non-redundant way... We demonstrate the flexibility of these methods by explaining different models for text (e.g. random forests) and image classification (e.g. neural networks).”

# LIME Overview



# Local vs. Global Explanations



# **Recap: The Form an Explanation Could Take**

# Potential Audiences

- Individual data subjects
- All data subjects
- Regulators / policymakers
- Third parties who receive explanations from individual data subjects (e.g., journalists)
- **Global** (model, all data subjects) vs. **Local** (one data subject)

# Potential Information

- The general approach taken
- The precise factors taken into account
  - Do we provide access to the data subject's own values?
  - Do we explain how those factors are combined?
  - Do we explain the ML model used?
  - Do we open-source the ML model?
- Counterfactuals – “If  $X$  had not occurred,  $Y$  would not have occurred”
  - What could a person have changed for a different classification?
  - Can we define some distance function and show the *smallest* change?



Category of Methods	Explanation Method	Definition	Algorithm Examples	Question Type
Explain the model <b>(Global)</b>	Global feature importance	Describe the weights of features used by the model (including visualization that shows the weights of features)	[41, 60, 69, 90]	<b>How</b>
	Decision tree approximation	Approximate the model to an interpretable decision-tree	[11, 47, 52]	<b>How, Why, Why not, What if</b>
	Rule extraction	Approximate the model to a set of rules, e.g., if-then rules	[26, 93, 102]	<b>How, Why, Why not, What if</b>
Explain a prediction <b>(Local)</b>	Local feature importance and saliency method	Show how features of the instance contribute to the model's prediction (including causes in parts of an image or text)	[61, 74, 83, 85, 101]	<b>Why</b>
	Local rules or trees	Describe the rules or a decision-tree path that the instance fits to guarantee the prediction	[39, 75, 99]	<b>Why, How to still be this</b>
<b>Inspect counterfactual</b>	Feature influence or relevance method	Show how the prediction changes corresponding to changes of a feature (often in a visualization format)	[8, 33, 36, 51]	<b>What if, How to be that, How to still be this</b>
	Contrastive or counterfactual features	Describe the feature(s) that will change the prediction if perturbed, absent or present	[27, 91, 100]	<b>Why, Why not, How to be that</b>
<b>Example based</b>	Prototypical or representative examples	Provide example(s) similar to the instance and with the same record as the prediction	[13, 48, 50]	<b>Why, How to still be this</b>
	Counterfactual example	Provide example(s) with small differences from the instance but with a different record from the prediction	[37, 55, 66]	<b>Why, Why not, How to be that</b>

**Table 1. Taxonomy of XAI methods mapping to user question types. Questions in bold are the primary ones that the XAI method addresses. Questions in regular font are ones that only a subset of cases the XAI method can address. For example, while a global decision tree approximation can potentially answer *Why, Why not, and What if* questions for individual instances [58], the approximation may not cover certain instances.**

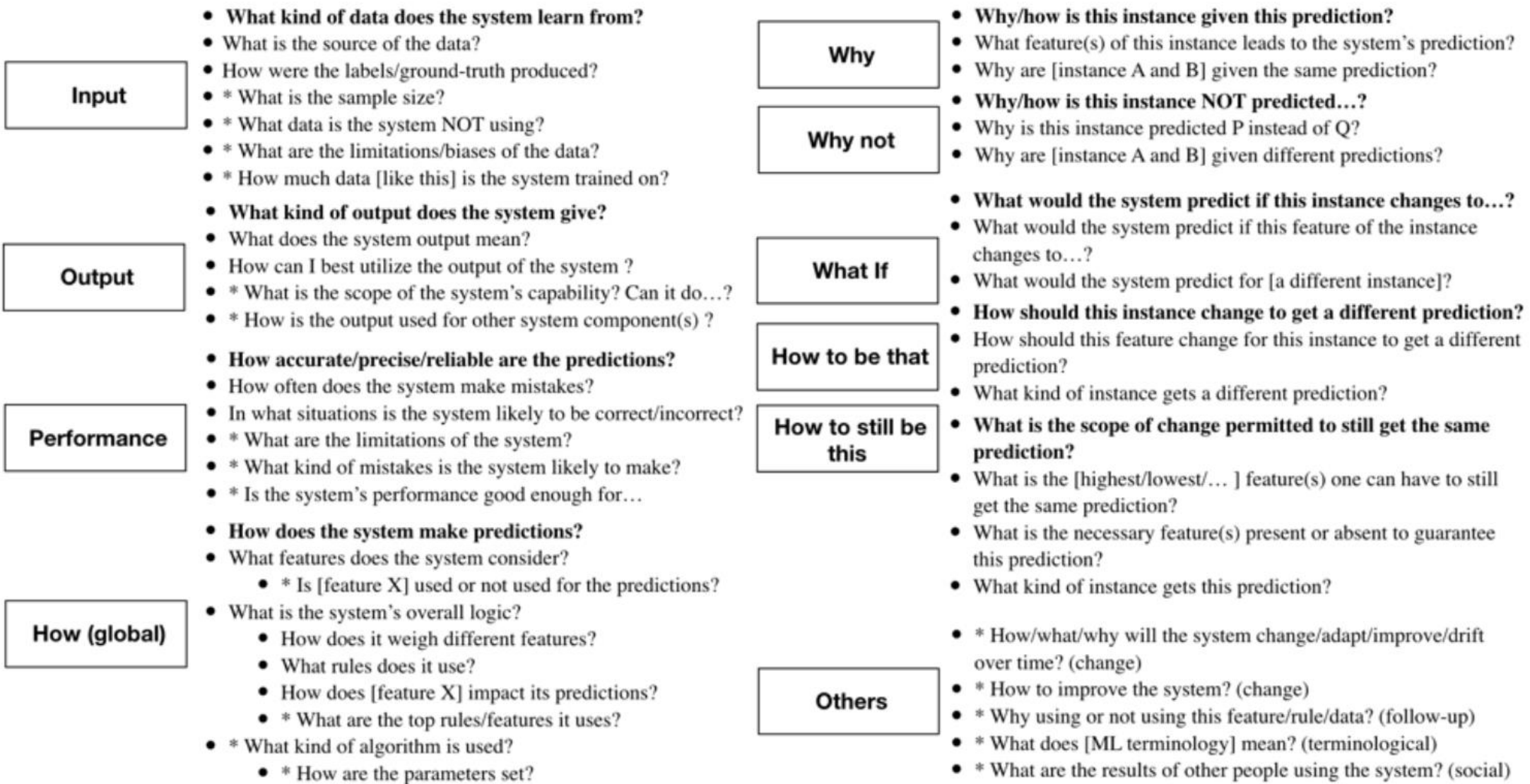


Figure 1. XAI Question Bank, with leading questions in bold, and new questions identified from the interviews with \*

# **Revisiting Ethical Research**



## Linux incident

A collection of resources regarding the incident involving University of Minnesota researchers and the Linux community

- [Initial Computer Science & Engineering statement](#)
- [Statement of apology from the involved researchers](#)
- [Computer Science & Engineering response to the Linux Foundation](#)

**Do we have a right to an  
explanation from automated  
decision-making systems?**

**Should we?**