

Andreas Holzinger 185.A83 Machine Learning for Health Informatics 2019S, VU, 2.0 h, 3.0 ECTS Lecture 07 - Dienstag, 07.05.2019



Causality, Explainability, Ethical, Legal, and Social Issues of AI/ML in health

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Agenda

01 Causality

03 AI Ethics

Machine Learning Health 07

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Remember: Medicine is an complex application domain –

dealing most of the time with probable information!

• (a) defining hospital system architectures in terms of

generic tasks such as diagnosis, therapy planning and

(c) patient information management with (d) minimum

Other challenges include: (e) knowledge acquisition and

(g) system integration into existing clinical legacy and

proprietary environments, e.g. the enterprise hospital

information system; to mention only a few.

encoding, (f) human-ai interface and ai-interaction; and

monitoring to be executed for (b) medical reasoning in (a);

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W Key Challenges

uncertainty.

Some challenges include:

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Five Mainstreams in Machine Learning



- Symbolic ML
 - First order logic, inverse deduction
 - Tom Mitchell, Steve Muggleton, Ross Quinlan, ...
- Bayesian ML
 - Statistical learning
 - Judea Pearl, Michael Jordan, David Heckermann, ...
- Cognitive ML
 - Analogisms from Psychology, Kernel machines
 - Vladimir Vapnik, Peter Hart, Douglas Hofstaedter, ...
- Connectionist ML
 - Neuroscience, Backpropagation
 - Geoffrey Hinton, Yoshua Bengio, Yann LeCun, ...
- Evolutionary ML
 - Nature-inspired concepts, genetic programming
 - John Holland (1929-2015), John Koza, Hod Lipson, ...

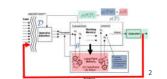
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Reflection from last lectures

00 Reflection – follow-up from last lecture

02 Explainability and Causability

04 Social implications of AI





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Causation – beware of counterfactuals



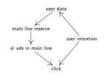
- David Hume (1711-1776): Causation is a matter of perception: observing fire > result feeling heat
- Karl Pearson (1857-1936): Forget Causation, you should be able to calculate correlation
- Judea Pearl (1936-): Be careful with purely empirical observations, instead define causality based on known causal relationships, and beware of counterfactuals ...

Judea Pearl 2009, Causal inference in statistics: An overview, Statistics surveys, 3, 96-146 Judea Pearl, Madelyn Glymour & Nicholas P. Jewell 2016, Causal inference in statistics

What is a counterfactual? (and see Slides 21-23)

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- Hume again: "... if the first object had not been, the second never had existed ..."
- Causal inference as a missing data problem
- $x_i := f_i(ParentsOf_i, Noise_i)$
- Interventions can only take place on the right side



Léon Bottou, Jonas Peters, Joaquin Quiñonero-Candela Denis X Charles, D Max Chickering, Elon Portugaly, Dipankar tay, Patrice Simard & Ed Snelson 2013. Counterfactua reasoning and learning systems: The example of computational advertising. The Journal of Machine Learning Research, 14, (1), 3207-3260.

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01 Causality

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Dependence vs. Causation

Storks Deliver Bables (pr 0.008)



| Cinetry | Area (km²) | Stocks (pain) | Horsen (10°) | Birth rate (10°/yrt) |
|-------------|------------|------------------|-----------------|-------------------------|
| Alberia | 28,750 | 100 | 3.2 | 13 |
| Austria | 13,860 | 300 | 7.6 | 87 |
| Brigian | 30,529 | 1 | 3.9 | 116 |
| Bulgaria | 111,000 | 5000 | 9.0 | 117 |
| Desmark | 43,100 | | 2.1 | 29 |
| France | 544,000 | 140 | 36 | 774 |
| Gentary | 357,006 | 3306 | 79 | 900 |
| Greece | 112,000 | 25081 | 18 | 300 |
| Helland | 41,900 | | 18. | 100 |
| Hoogary | 95,000 | 5900 | 11 | 124 |
| Ituly | 301,290 | | 27 | .552 |
| Polent | 312,680 | 30,000 | market species | para see |
| Pronugil | .92,590 | 1500 | 16 | 120 |
| Kenatia | 237,500 | 5000 | 23 | 367 |
| Spain | 104,750 | 8900 | 29 | 439 |
| Switzerland | 41,290 | 150 | 6.7 | 82 |
| Tuckey. | 779.456 | 25,000 | 16 | 1576 |

Robert Matthews 2000. Storks deliver babies (p= 0.008). Teaching Statistics, 22, (2), 36-38.

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Remember: the mapping is important

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Explainability in a technical sense highlights decision-relevant parts of the used representations of the algorithms and active parts in the algorithmic model, that either contribute to the model accuracy on the training set, or to a specific prediction for one particular observation. It does not refer to an as the extent to which an explanation of a statement to a human expert achieves a specified level of causal understanding with effectiveness, efficiency and satisfaction in a specified context

- Causability := a property of a person, while
- Explainability := a property of a system

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Still the most pressing question remains open ...

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■ "How do humans generalize from few examples?"

- Learning relevant representations
- Disentangling the explanatory factors
- Finding the shared underlying explanatory factors, in particular between P(x) and P(Y|X), with a causal link between $Y \rightarrow X$

Bengio, Y., Courville, A. & Vincent, P. 2013. Representation learning: A review and new perspectives. IEEE transactions on pattern analysis and machine intelligence, 35, (8), 1798-1828, doi:10.1109/TPAMI.2013.50 Tenenbaum, J. B., Kemp, C., Griffiths, T. L. & Goodman, N. D. 2011. How to grow a mind: Statistics structure, and abstraction. Science, 331, (6022), 1279-1285, doi:10.1126/science.1192788.

■ Hans Reichenbach (1891-1953): Common Cause Principle

Links causality with probability:

If X and Y are statistically dependent, there is a Z influencing both

Whereas:

A. B. ... events

X, Y, Z random variables

P ... probability measure

Px ... probability distribution of X

p ... probability density

p(X) .. Density of Px

p(x) probability density of Px evaluated at the point x

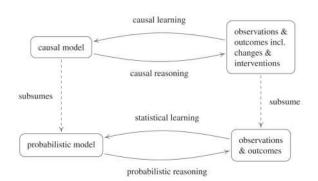
Hans Reichenbach 1956. The direction of time (Edited by Maria Reichenbach), Mineola, New York, Dover https://plato.stanford.edu/entries/physics-Rpcc/

For details please refer to the excellent book of: Jonas Peters, Dominik Janzing & Bernhard Schölkopf 2017. Elements of causal inference: foundations and learning algorithms, Cambridge (MA). https://mitpress.mit.edu/books/elements-causal-inference

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Probabilistic vs. causal inference problems

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Jonas Peters, Dominik Janzing & Bernhard Schölkopf 2017. Elements of causal inference: foundations and learning algorithms, Cambridge (MA) Machine Learning Health 07 human-centered.ai (Holzinger Group)

Decide if $X \rightarrow Y$, or $Y \rightarrow X$ using only observed data

 $\mathbb{P}_{Y} \neq \mathbb{P}_{Y \mid do(x)} \neq \mathbb{P}_{Y \mid x}$

 $\mathbb{P}_X \neq \mathbb{P}_{X \mid do(y)} \neq \mathbb{P}_{X \mid y}$

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2016. Distinguishing

cause from effect

using observational

data: methods and

Journal of Machine

Learning Research,

17, (1), 1103-1204.

benchmarks. The





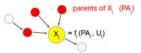






 $\mathbb{P}_Y = \mathbb{P}_{Y \mid \mathrm{do}(x)} \neq \mathbb{P}_{Y \mid x}$ $\mathbb{P}_{Y|s} \neq \mathbb{P}_{Y|do(x),s} = \mathbb{P}_{Y|x,s}$ $\mathbb{P}_X = \mathbb{P}_{X \mid do(y)} \neq \mathbb{P}_{X \mid y}$ $\mathbb{P}_{X \mid s} \neq \mathbb{P}_{X \mid do(y), s} = \mathbb{P}_{X \mid y, s}$ X_1, \dots, X_n ... set of observables

• Draw a directed acyclic graph G with nodes X_1, \dots, X_n



Parents = direct causes

• $x_i := f_i(ParentsOf_i, Noise_i)$

Remember: Noise means unexplained (exogenous) and denote it as U_i

Question: Can we recover G from n ?

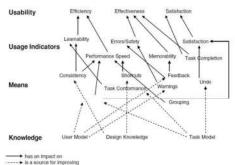
Answer: under certain assumptions, we can recover an equivalence class containing the correct G using conditional independence testing But there are problems!

For details please refer to the excellent book of: Jonas Peters. Dominik Janzing & Bernhard Schölkoof 2017. Elements of causal inference: foundations and learning algorithms, Cambridge (MA). https://mitpress.mit.edu/books/elements-causal-inference

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Compare this with usability

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Veer, G. C. v. d. & Welle, M. v. (2004) DUTCH: Designing for Users and Tasks from Concepts to Handles. In: Diaper, D. & Stanton, N. (Eds.) The Handbook of Task Analysis for Human-Computer Interaction. Mahwah (New Jersey), Lawrence Erlbaum, 155-173.

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Remember: Reasoning = "Sensemaking"

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- **Deductive Reasoning =** Hypothesis > Observations > Logical Conclusions
 - DANGER: Hypothesis must be correct! DR defines whether the truth of a conclusion can be determined for that rule, based on the truth of premises: A=B, B=C, therefore A=C
- Inductive reasoning = makes broad generalizations from specific observations
 - DANGER: allows a conclusion to be false if the premises are true
- generate hypotheses and use DR for answering specific questions Abductive reasoning = inference = to get the best explanation
- from an incomplete set of preconditions. Given a true conclusion and a rule, it attempts to select some
- possible premises that, if true also, may support the conclusion, though not uniquely.
- Example: "When it rains, the grass gets wet. The grass is wet. Therefore, it might have rained." This kind of reasoning can be used to develop a hypothesis, which in turn can be tested by additional reasoning or data.

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High dimensionality (curse of dim., many factors contribute)

Little prior data (no mechanistic models of the data)

• *) = Def.: a sequence or collection of random variables is

Need of large top-quality data sets

Complexity (real-world is non-linear, non-stationary, non-IID *)

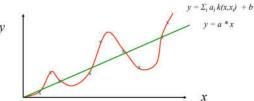
independent and identically distributed if each random variable has

the same probability distribution as the others and all are mutually

- := information provided by direct observation (empirical evidence) in contrast to information provided by inference
 - Empirical evidence = information acquired by observation or by experimentation in order to verify the truth (fit to reality) or falsify (non-fit to reality).
 - Empirical inference = drawing conclusions from empirical data (observations, measurements)
 - Causal inference = drawing a conclusion about a causal connection based on the conditions of the occurrence of an effect.
 - Causal inference is an example of causal reasoning.

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Gottfried W. Leibniz (1646-1716) Hermann Weyl (1885-1955) Vladimir Vapnik (1936-) Alexey Chervonenkis (1938-2014) Gregory Chaitin (1947-)

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What makes it hard ...?

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Example 3.4 (Eye disease) There exists a rather effective treatment for an eye disease. For 99% of all patients, the treatment works and the patient gets cured (B =0); if untreated, these patients turn blind within a day (B = 1). For the remaining 1%, the treatment has the opposite effect and they turn blind (B = 1) within a day.

If untreated, they regain normal vision (B = 0). Which category a patient belongs to is controlled by a rare condition $(N_R = 1)$ that is unknown to the doctor, whose decision whether to administer the treatment (T=1) is thus independent of N_B . We write it as a noise variable N_T . Assume the underlying SCM

 $\mathfrak{C}: \begin{array}{ll} T & := & N_T \\ B & := & T \cdot N_B + (1-T) \cdot (1-N_B) \end{array}$

with Bernoulli distributed $N_B \sim \text{Ber}(0.01)$; note that the corresponding causal graph is $T \rightarrow B$.

Now imagine a specific patient with poor eyesight comes to the hospital and goes blind (B = 1) after the doctor administers the treatment (T = 1). We can now ask the counterfactual question "What would have happened had the doctor administered treatment T=0? Surprisingly, this can be answered. The observation B=T=1 implies with (3.5) that for the given patient, we had $N_B=1$. This, in turn, lets us calculate the effect of do(T := 0).

To this end, we first condition on our observation to update the distribution over the noise variables. As we have seen, conditioned on B = T = 1, the distribution for N_R and the one for N_T collapses to a point mass on 1, that is, δ_1 . This leads to a modified SCM

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Note that we only update the noise distributions; conditioning does not change the

$$\mathfrak{C}[B = 1, T = 1; da(T := 0) : T := 0$$
(3.7)

Clearly, the entailed distribution puts all mass on (0,0), and hence

however, we can still argue that the doctor acted optimally (according to the available knowledge)

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structure of the assignments themselves. The idea is that the physical mechanisms are unchanged (in our case, what leads to a cure and what leads to blindness), but we have gleaned knowledge about the previously unknown noise variables for the

Next, we calculate the effect of $d\sigma(T=0)$ for this patient:

$$\mathfrak{C}[B = 1, T = 1; do(T := 0) : T := 0 \\ B := T$$
(3.7)

$$P^{\mathcal{E}|B=1,T=1;do(T)=0)}(B=0)=1.$$

This means that the patient would thus have been cured (B = 0) if the doctor had not given him treatment, in other words, $d\sigma(T := 0)$. Because of

$$P^{C, dis(T; =1)}(B=0) = 0.99$$
 and $P^{C, dis(T; =0)}(B=0) = 0.01$,

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02 Explainability & Causability

Machine Learning Research, 7, (7), 1531-1565. human-centered.ai (Holzinger Group) Machine Learning Health 07 HCAI :

Interestingly, Example 3.4 shows that we can use counterfactual statements to falsify the underlying causal model (see Section 6.8). Imagine that the rare condition N_B can be tested, but the test results take longer than a day. In this case, it is possible that we observe a counterfactual statement that contradicts the measurement result for N_B . The same argument is given by Pearl [2009, p.220, point (2)1. Since the scientific content of counterfactuals has been debated extensively, it should be emphasized that the counterfactual statement here is falsifiable because the noise variable is not unobservable in principle but only at the moment when the decision of the doctor has to be made.

> Judea Pearl 2009. Causality: Models, Reasoning, and Inference (2nd Edition), Cambridge, Cambridge University Press.

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George Van Den Driessche, Julian Schrittwieser, Joannis Antonoglou Veda Panneershelvam, Marc Lanctot, Sander Dieleman, Dominik Grewe, John Nham, Nal Kalchbrenner, Ilya Sutskever, Timothy Lillicrap, Madeleine Leach, Koray Kavukcuoglu, Thore Graepel & Demis Hassabis 2016. Mastering the game of Go with deep neural networks and tree search. Nature, 529, (7587), 484-489, doi:10.1038/nature16961.

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Linear classification

6

Sepal length (cm)

Linear classification

S,: sepal width

S₂: sepal width

V1: sepal width

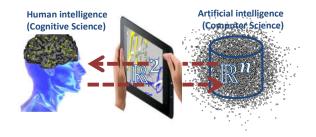
Non-linear classification

Sepal length (cm)

Non-linear classification

S₁: sepal width & length

S2: sepal width



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The domain expert can understand why ...

The domain expert can learn and correct errors ...

The domain expert can re-enact on demand ...

We need effective tools for Human-Al Interaction

Why did the algorithm do that? Can I trust these results?

A possible solution

How can I correct an error?

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Example for an Explanation Interface

Communications, 10, (1), doi:10.1038/s41467-019-08987-4

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Explaining individual classification decisions

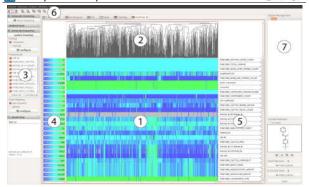
Sebastian Lapuschkin, Stephan Wäldchen, Alexander Binder, Grégoire Montavon, Wojciech Samek & Klaus-Robert Müller 2019. Unmasking Clever Hans predictors and assessing what machines really learn. Nature

Todd Kulesza, Margaret Burnett, Weng-Keen Wong & Simone Stumpf. Principles of explanatory debugging to personalize interactive machine learning. Proceedings of the 20th International Conference on Intelligent User Interfaces (IUI 2015), 2015 Atlanta. ACM, 126-137, doi:10.1145/2678025.2701399.

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Example for an Explanation Interface

HCAI A



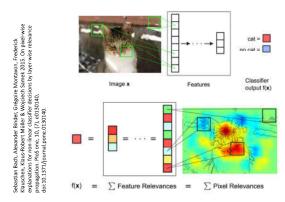
Werner Sturm, Till Schaefer, Tobias Schreck, Andeas Holzinger & Torsten Ullrich. Extending the Scaffold Hunter Visualization Toolkit with Interactive Heatmaps in Borge, Rila & Turkay, Cagata, eds. Ed UK Computer Graphics. & Visual Computing CGVC 2015, 2015 University College London (UCL). Euro Graphics (EG), 77-84, doi:10.2312/cgvc.2015.1247. human-entered in Holsinger Group.

LRP Layer-Wise Relevance Propagation

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Input data



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The simplest possibility ...

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... 6 6

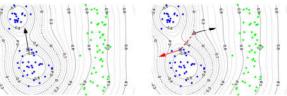


Fig. 3. An exemplary real-valued prediction function for classification with the dashed black into being the decision boundary which expansites the black from the green decision. For permet of the six black positive, it was predicted by the classification within all the prediction point. Fig. 11. Taylor approximation relative to a root point on the decision boundary, intended the specification function all the prediction point. Fig. 11. Taylor approximation relative to a root point on the decision boundary, intended may point in a local pointment on the all real points. The principle of the decision boundary, in the example the explanation vector from the local gradient at the prediction point. The principle of the dashed red line in the right panel) which is equivalent to the diagonal of the out-product between D(t/g), and x - x₀.

doi:10.1371/journal.pone.0130140.g003

How to generate a heatmap

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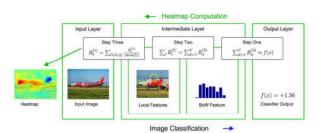
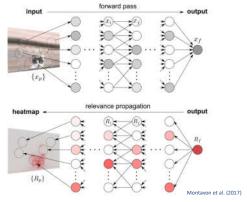


Fig. 1. Local and global predictions for inquiri images are obtained by following a series of elsept through the classification, and planel write decomposition planels. Each step that reveals the first planels write decomposition planels. Each step that reveals the first planels write decomposition has a complementing analogue with in the flag of Words classification pipeline. The calculations used during the pixel-wise decomposition process make use of information extracted by those corresponding analogues. Airplane image in the grateful by Phasby user teaching.

doi:10.1371/journal.pone.0130140.g004

Relevance propagation

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- Ethics = moral philosophy
- Recommending and defending concepts of right and wrong conduct.
- Three areas:

What is Ethics?

- 1) Meta-ethics, concerning the theoretical meaning and reference of moral propositions, and how their truth values (if any) can be determined
- 2) Normative ethics, concerning the practical means of determining a moral course of action
- 3) Applied ethics, concerning what a person is obligated (or permitted) to do in a specific situation or a particular domain of action -> AI ethics

https://www.iep.utm.edu/ethics/

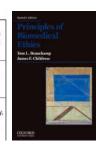
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Biomedical Ethics is well-established

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UNESCO's 15 Bioethical principles

| Human dignity & human rights | Benefit & harm | Autonomy- individual responsibility | Consent | Persons without the capacity to consent |
|---|-----------------------------------|---|-------------------------------------|--|
| Human vulnerability & personal integrity | Privacy / Confidenti- ality | Equality, Justice, Equity | Non- discrimination | Respect for cultural diversity |
| Solidarity & cooperation | Social responsibility & health | Sharing of benefits | Protecting future generations | Protecting biodiversity biosphere & environment |



http://global.oup.com/us/companion.websites/9780199924585/student/

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Isaac Asimov three laws of robotics

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The three laws of (fictional) robotics:

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- A robot may not injure a human being or, through inaction, allow a human being to come to harm.
- A robot must obey the orders given it by human beings except where such orders would conflict with the First Law
- A robot must protect its own existence as long as such protection does not conflict with the First or Second Laws



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Standards for Medical Research: the ethics committee



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- Independent review and approval by ethics board:
- 1) Informed consent
- 2) Risk-Benefit ratio and minimization of risk
- 3) Fair selection of study population (inclusion-, exclusion-criteria)
- 4) Scientific validity ('scholarly review')
- 5) Social value
- 6)Respect for participants and study communities
- 7) Confidentiality and privacy, data security
- 8) No Conflict of interest

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(Some) Grand Questions of AI Ethics

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- Is it morally justified to create super-intelligent systems?
- Should our AI have any free will? And if it is possible: Can we prevent them from having free will?
- Will AI have consciousness? (Strong AI)
 - If so, will it they accept to be constrained by artificial Al-ethics placed on them by humans?
- If AI develop their own ethics and morality, will we like what they do with us?

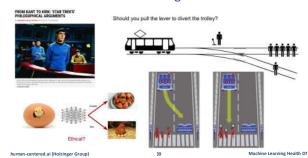
https://www.wired.com/story/will-ai-achieve-consciousness-wrong-question/ human-centered.ai (Holzinger Group)

What is Ethics for us as Engineers?

■ It is the good things — It is the right things

How do we define what is good?

Ethics is a practical discipline



Now, Why do we need AI Ethics? To ensure ...

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Accountability ... we have to take responsibility for our developments, governments have to take responsibility for decisions and laws affecting all citizens

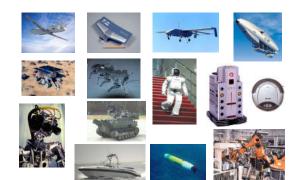
Trust ... confidence in the reliability, truth, ability (a trustee holds the property as its nominal owner for the good of beneficiaries Transparency ... implies openness, communication, accountability, trust, ...

Understandability ... property of a system according to the principles of usability, we can say it is a kind of domain usability, and can be perceived as the relation and good fit between the "language of the human" and the "language of the machine"

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What about existing AI?

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in the Digital Age

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If the robot looks like a human, do we have different expectations?

Would you "kill" a robot car?

Would you "kill" a robot insect that would react by squeaky noises and escape in panic?

Would you "kill" a robot biped that would react by begging you

to save his life?

TU

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For social issues of AI

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Watch the Obama Interview on how artificial intelligence will affect our jobs:

https://human-centered.ai/2016/10/14/obama-on-humans-in-the-loop



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04 Social Issues of Al

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https://www.newyorker.com/cartoon/a19697

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For sure explainability

and ethical issues

belong together ...

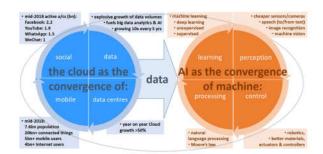
http://www.rob.cs.tu-bs.de/teaching/courses/seminar/Laufen_Mensch_vs_Roboter/

GHCAI ☆

Alexa, what about legal aspects of Al?

Legal aspects of Al

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http://www.kempitlaw.com/wp-content/uploads/2018/09/Legal-Aspects-of-Al-Kemp-IT-Law-v2.0-Sep-2018.pdf

Teaching meaningful explanations

PHCAI ☆

Teaching Meaningful Explanations

Noel C. F. Codella, * Michael Hind, * Karthikeyan Natesan Ramamurthy, Murruy Camphell, Amit Dhurundhar, Kash R. Varshney, Dennis Wei, Aleksandra Mujallović * These authors contributed equally.

THM Research Yoskown Heights, NY 10598 {pocodell,hindm,knatesa,ncam,adhuram,krvarshm,dwei,aleksand}@us.ibm.c

Abstra

the displaces to include relating in right-scale, approaches such as detailed, and in the control of the contro

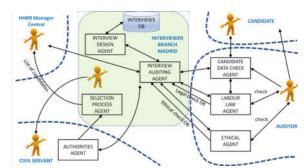
1 Introduction

introduction
w regulations call for automated decision making systems to provide "meaningful information
the logic used to reach conclusions IIEM, Selbot and Postles interpret the concept of "meaningful
omnation" is information that should be understandable to the audience (recentable) individuals

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Example

HCAI A



https://ercim-news.ercim.eu/en116/special/ethical-and-legal-implications-of-ai-recruiting-software

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Engineers create learning models for specific tasks

Advantage: works well for standard classification

Disadvantage: No contextual capabilities and

tasks and has prediction capabilities

minimal reasoning abilities

The future: human-in-control

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and train them with "big data" (e.g. Deep Learning)

HCAL A



Image credit to John Launchbury

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HCAL A

Conclusion:

Human-in-control

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 Engineers create a set of logical rules to represent knowledge (Rule based Expert Systems)

- Advantage: works well in narrowly defined problems of well-defined domains
- Disadvantage: No adaptive learning behaviour and poor handling of p(x)

Image credit to John Launchbury

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Perceiving

Learning

Abstracting

Reasoning

The third wave of AI (?): Adaptive Context Understanding HCAI



- A contextual model can perceive, learn and understand and abstract and reason
- Advantage: can use transfer learning for adaptation on unknown unknowns
- Disadvantage: Superintelligence ...

Image credit to John Launchbury

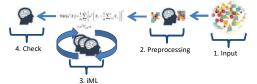
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HCAL * Human-in-control

Interactive Machine Learning: Human is seen as an agent involved in the actual learning phase, step-by-step influencing measures such as distance, cost functions ...



Holzinger, A. 2016. Interactive Machine Learning for Health Informatics: When do we need the human-in-the-loop? Brain Informatics (BRIN), 3, (2), 119-131, doi:10.1007/s40708-016-0042-6.



Thank you!

Myth 1a: Superintelligence by 2100 is inevitable!

Three (selected) dangers and myths about AI generally

Myth 1b: Superintelligence by 2100 is impossible!

■ Fact: We simply don't know it!

Myth 2: Robots are our main concern Fact: Cyberthreats are the main concern: it needs no body - only an Internet connection

Myth 3: Al can never control us humans Fact: Intelligence is an enabler for control: We control tigers by being smarter ..

HCAI A



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