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Summary

Asymptotic results in nonparametric Bayesian function estimation

Nonparametric models are widely used in practical applications and involve at least one infinite-dimensional parameter of interest which is commonly a function or a measure. A standard example of such a model would be a density function estimation problem, in which the goal is to recover the density function corresponding to a certain distribution by looking at the data drawn from it.

In the last decades Bayesian nonparametric methods became extremely popular for numerous reasons, such as their philosophical appeal and conceptual simplicity. However, until recently there was little fundamental mathematical understanding of such procedures. The essence of the Bayesian paradigm is the philosophical idea that the parameter of interest in a statistical model does not have one true value, but it is rather perceived as a random object itself. The evidence about the true state of the world is then expressed in terms of degrees of belief. In Bayesian statistics in order to get an estimator one has to put a prior distribution on a parameter space. This can be interpreted as one's prior opinion about the nature of the data. Central in the Bayesian framework is the posterior distribution which can be viewed as an updated version of the prior belief given the evidence.

It is sensible to evaluate the robustness of Bayesian procedures used in nonparametric settings in order to gain insight about which priors to use and how their tuning affects the performance of the procedures. One way to do it is to take an asymptotic approach and to study the Bayesian procedures from frequentist perspective by assuming that there exists a true underlying parameter and studying how well it could be approximated by the estimator as the data sample grows. With the growth of the data sample a good estimator should get in smaller and smaller neighbourhoods of the truth. Moreover, it is desirable for the estimator to be able to have a fast “learning” rate (in terms of the size of this neighbourhood) for every parameter in the class. However, it is well known that this rate is bounded from below by a minimax rate.

This thesis is focused on function estimation problems. For such problems the minimax rate, among other things, depends on the smoothness of the target

function. For instance, in a particular case of a regression problem on the interval $[0, 1]$ it is clear that the rougher the target function is, the more data points we need in order to be able to accurately approximate the behaviour of the function. In most real world applications the smoothness of the function is not known in advance, so it is desirable to develop adaptive procedures that can adapt to all levels of smoothness in the parameter class.

In this thesis we develop Bayesian procedures and study their asymptotic behaviour in the context of two different statistical settings. First, we discuss regression and binary classification problems on large graphs, where the goal is to estimate a smooth function on the vertices of a graph. The second problem that we consider is the problem of intensity estimation of inhomogeneous Poisson process from a realised point pattern.

Chapter 1 introduces the main notions and concepts of Bayesian nonparametric statistics. In Chapter 2 we present a framework for studying the performance of methods for nonparametric function estimation on large graphs. We propose assumptions on the geometry of the underlying graph and the regularity of the function formulated in terms of the Laplacian of the graph. We also derive minimax rates for the regression and classification problems on large graph within the introduced framework. In Chapter 3 we exhibit nonparametric Bayes function estimation procedures in the graph setting. We study rescaled Gaussian priors and we show that the procedures based on these priors achieve good convergence rates and that they are rate-adaptive. We present the results for the cases of full and missing observations. Chapter 4 is dedicated to estimating the intensity function of an inhomogeneous Poisson process. We study the Bayesian procedure developed by Adams et al. [2009]. We show that their SGCP approach to learning intensity functions enjoys very favourable theoretical properties, provided the priors on the hyperparameters are chosen appropriately.

Samenvatting

Asymptotische resultaten in het niet-parametrisch Bayesiaans schatten van functies

Niet-parametrische modellen worden veel gebruikt in praktische toepassingen en brengen ten minste één oneindig-dimensionale parameter met zich mee, meestal in de vorm van een functie of een maat. Een standaard voorbeeld is het schatten van een onbekende dichtheidsfunctie aan de hand van trekkingen uit een bepaalde verdeling.

In de laatste decennia zijn niet-parametrische Bayesiaanse modellen bijzonder populair geworden om verschillende redenen. Zo zijn deze modellen vaak conceptueel eenvoudig en bevatten ze een zekere filosofische aantrekkingskracht. Tot voor kort waren er weinig fundamentele resultaten voor de bijbehorende schattingsprocedures. De essentie van het Bayesiaanse denkkader is het idee dat de parameter die men wil schatten in het statistische model niet een vaste, echte waarde heeft, maar zelf ook een toevalsvariabele is. De waarde van deze parameter in de echte wereld wordt uitgedrukt in waarschijnlijkheidstermen. Om binnen de Bayesiaanse statistiek tot een schatter te komen dient men eerst een a-prioriverdeling te kiezen op de parameterruimte. Het is gebruikelijk dat deze wordt geïnterpreteerd als a-priori vermoeden over de parameter. Centraal in het Bayesiaanse raamwerk is de a-posteriori verdeling, die kan worden geïnterpreteerd als een herziene versie van het a-priori vermoeden, gegeven de observaties.

Het ligt voor de hand om de robuustheid van niet-parametrische Bayesiaanse procedures te evalueren om inzicht te krijgen in welke a-prioriverdelingen bruikbaar zijn en hoe hun afstelling de prestatie beïnvloedt. Een manier om dit te doen, is een asymptotische aanpak waarin de Bayesiaanse procedures vanuit een frequentistisch oogpunt bestudeerd worden. Dit wordt gedaan door aan te nemen dat er een echte waarde bestaat voor de onderliggende parameter en te onderzoeken hoe goed deze benaderd kan worden naarmate de steekproef groter wordt. Voor een goede schatter geldt dat deze, naarmate de steekproef groter wordt, zich concentreert rond de echte waarde. Daarnaast is het wenselijk dat de schatter zich snel concentreert voor elke parameter in een bepaalde klasse. Het is bekend dat deze snelheid begrensd wordt door de zogenoemde “minimax rate”.

Dit proefschrift behandelt het schatten van functies. Voor dergelijke problemen hangt de minimax rate onder andere af van de gladheid van de te schatten functie. Bijvoorbeeld, in het geval van regressie op het interval $[0, 1]$ is het duidelijk dat naarmate de te schatten functie minder glad is, er meer data nodig is om het gedrag van de functie nauwkeurig te benaderen. Normaal gesproken is de gladheid van deze functie onbekend en derhalve is het wenselijk om adaptieve procedures te ontwikkelen die zich aan kunnen passen aan verschillende gladheidsgraden.

In dit proefschrift ontwikkelen we Bayesiaanse procedures en bestuderen we hun asymptotische gedrag in twee verschillende statistische contexten. Eerst behandelen we regressie en binaire classificatie op grote grafen, met als doel een gladde functie op de knooppunten van de graaf te schatten. Ten tweede kijken we naar het schatten van de intensiteitsfunctie van een inhomogeen Poisson proces.

Hoofdstuk 1 introduceert de belangrijkste begrippen en concepten van niet-parametrisch Bayesiaanse statistiek. In hoofdstuk 2 presenteren we een raamwerk voor het bestuderen van de prestaties van niet-parametrische methodes om functies te schatten op grote grafen. We presenteren aannames over de geometrie van de onderliggende graaf en de regulariteit van de functie geformuleerd in termen van de Laplaciaan van de graaf. Daarnaast leiden we minimax rates af voor regressie- en classificatieproblemen voor grote grafen binnen het geïntroduceerde raamwerk. In hoofdstuk 3 worden niet-parametrische Bayesiaanse functieschatters gepresenteerd voor grafen. We bestuderen geschaalde Gaussische a-prioriverdelingen en laten zien dat procedures gebaseerd op deze a-prioriverdelingen goede convergentiesnelheden hebben en dat zij zich aanpassen aan de onbekende gladheid van de functie. We presenteren de resultaten voor zowel het geval van volledige en van onvolledige observaties. Hoofdstuk 4 behandelt het schatten van de intensiteitsfunctie van een inhomogeen Poisson proces. We bestuderen de Bayesiaanse procedure ontwikkeld door Adams et al. [2009] en laten zien dat hun SGCP aanpak erg gunstige theoretische eigenschappen heeft, gegeven dat de a-prioriverdeling van de hyperparameters juist gekozen zijn.

Author contributions

This thesis is based on the following two published articles and one article in preparation:

- [1] Kirichenko, A. and van Zanten, J. H. (2015). Optimality of Poisson processes intensity learning with Gaussian processes. *J. Mach. Learn. Res.* **16**, 2909–2919.
- [2] Kirichenko, A. and van Zanten, J. H. (2017). Estimating a smooth function on a large graph by Bayesian Laplacian regularisation. *Electron. J. Stat.* **11**(1), 891–915.
- [3] Kirichenko, A. and van Zanten, J. H. (2017). Minimax lower bounds for function estimation problems on graphs. *In preparation*.

Each of the authors equally contributed to each of the articles.

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