# A GRAPH-CNN FOR 3D POINT CLOUD CLASSIFICATION

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## ABSTRACT

*Graph convolutional neural networks* (Graph-CNNs) extend traditional CNNs to handle data that is supported on a graph. Major challenges when working with data on graphs are that the support set (the vertices of the graph) do not typically have a natural ordering, and in general, the topology of the graph is not regular (i.e., vertices do not all have the same number of neighbors). In this paper we develop a Graph-CNN for classifying 3D point cloud data which has been obtained from sampling a manifold. We propose an architecture combines localized graph convolutions with two types of graph downsampling operations (also known as pooling). The proposed architecture achieves competitive performance on the 3D object classification benchmark ModelNet, and our architecture is more stable and has faster convergence rate than competing schemes.

***Index Terms***— Graph convolutional neural networks, graph signal processing, 3D point cloud data, supervised learning

## 1. INTRODUCTION

With the advent of very large datasets and improved computational capabilities, methods using *convolutional neural networks* (CNNs) now achieve state-of-the-art performance on a variety of tasks, including speech recognition and image classification. Many emerging applications give rise to data that may be viewed as being supported on the vertices of a graph, and field of *graph signal processing* (GSP) has developed filtering and other operations on graph signals [1, 2]. Data may either be naturally sampled on the vertices or edges of a graph (e.g., flows on a transportation network), or the data may simply be unstructured and a graph is imposed to capture the manifold structure underlying the data (e.g., the 3D point clouds considered in this paper). Unlike the domains encountered in more traditional signal processing (e.g., 1D time-series, 2D images), general graph topologies do not have the same regularity or symmetries, and so there is not a unique, well-defined notion of convolution on a graph. This has motivated researchers to develop a variety of approaches to convolutions on graphs, which can then be applied in graph-CNNs and other graph-based signal processing architectures.

Bruna et al. [3, 4] first proposed the idea of using a graph convolution defined in the graph spectral domain together with a graph multiresolution clustering approach to achieve pooling/downsampling. Defferrard et al. [5] propose a fast localized convolution operation by leveraging the recursive form of Chebyshev polynomials to both avoid explicitly calculating the Fourier graph basis and to allow the number of learnable filter coefficients to be independent of the graph size. Atwood and Towsley [6] use a similar localized filtering idea but define the convolution process directly in the spatial domain by searching the receptive filed at different scales using random walk.

Graph kernels have also been widely used to achieve graph classification related task [7, 8] which aims at capturing topological by designing feature extraction scheme on graph instead of learning what features to look for as graph-CNNs. Besides, Graph kernels suffer from quadratic training complexity in the number of graphs [8], which is computational heavy for large scale dataset.

The formulation of Graph-CNNs opens up a range of applications. Defferrard et al.[5] validate their model on an image classification task and demonstrate the effectiveness of Graph-CNNs. Kipf and Welling [9] study the application of the Graph-CNNs to semi-supervised learning. Most application of Graph-CNNs so far focus on cases where the graph structure is homogeneous, and only the graph signal varies.

GSP techniques have also been applied to process 3D point cloud data, such as that obtained by *light detection and ranging* (LiDAR) sensors. Rather than binning point clouds into voxels, graph-based approaches fit a graph with one vertex for each point and edges between nearby points, and then operate on the graph. The effectiveness of GSP for processing 3D point cloud data has been demonstrated in applications such as data visualization, in-painting, and compression [10, 11, 12].

In this work we propose a Graph-CNN architecture for classifying graphs constructed by the 3D point cloud data. Unlike most previous Graph-CNNs, in this setting both the signals and the graph structure vary from input to input. The proposed architecture uses existing graph convolution together with graph multi-resolution pooling. The architecture learns a latent signature summarizing each point cloud which is invariant to 3D rotations. We achieve an average classification accuracy comparable to the state-of-the-art on the ModelNet benchmark, and the variance of the proposed approach is substantially lower than existing point-based classification methods, as well as we achieve faster convergence than the other point-based method.

## 2. PROBLEM STATEMENT

We consider a classification problem where we are given $m$ labeled training instances $\{(X_j, y_j)\}$, each composed of an input $X_j \in \mathcal{X}$ and an output $y_j \in \mathcal{Y}$. Our goal is produce a function $y = f(X)$ to predict the output $y$ associated with a new, unseen input $X$. We consider the case where the output space $\mathcal{Y}$ is finite (the classes), and each input $X_j$ is a set of $n$ points, $\{x_{j,1}, \ldots, x_{j,n}\} \subset \mathbb{R}^3$.

Previous work has approached this problem from different perspectives [13, 14, 15, 16, 17], including rendering and processing a collection of 2D images (projections of the points onto an image plane from different perspectives), or binning the points into voxels. However, the former involves extensive data augmentation, data preprocessing and heavy computation, and the latter introduces discretization error as well as use a relatively sparse format to represent the 3D data. We instead take a graph-based approach, fitting a graph and learning a mapping from the space of graphs and its corresponding graphs signal to classes.

## 3. METHODOLOGY

Given a set of points $X = \{x_i\}_{i=1}^n \subset \mathbb{R}^3$, we first fit a (symmetrized) $k$-nearest neighbor graph to the points and then weight each edge using a Gaussian kernel: for $i, j = 1, \ldots, n$,

$$W_{i,j} = \begin{cases} \exp(-\|x_i - x_j\|^2/\sigma^2) & \text{if } j \in \mathcal{A}_k(i) \\ 0 & \text{otherwise,} \end{cases} \quad (1)$$

where $\mathcal{A}_k(i)$ is the set of $k$ nearest neighbors of vertex $i$.

We will also use the coordinates as graph signals. Let $x_i = [x_i^{(1)}, x_i^{(2)}, x_i^{(3)}]^T$, and let $\boldsymbol{x}^{(c)} \in \mathbb{R}^n$ denote the vector with $i$th entry equal to $x_i^{(c)}$. Then $x^{(c)}$ can be seen as a signal on the graph (one value per vertex). The associated coordinate vectors $\boldsymbol{x}^{(1)}, \boldsymbol{x}^{(2)}, \boldsymbol{x}^{(3)} \in \mathbf{R}^{n\times 3}$ will serve as graph signals.

### 3.1. Graph Signal Processing

We briefly review notions of graph filtering and convolution before describing the proposed architecture. Given the symmetric weighted adjacency matrix $W \in \mathbb{R}^{n\times n}$ of a graph, let $L = I_n - D^{-1/2}WD^{-1/2}$ denote the normalized Laplacian matrix. A linear vertex-domain graph filter with coefficients $\alpha_0, \ldots, \alpha_K$ transforms one graph signal, $\boldsymbol{x}$, to another, $\boldsymbol{y}$, via $\boldsymbol{y} = h_\alpha(L)\boldsymbol{x} = \sum_{k=0}^K \alpha_k L^k \boldsymbol{x}$. It can also be convenient to represent or approximate filters in terms of Chebyshev polynomials of $L$ [18],

$$\boldsymbol{y} = g_\theta(L)\boldsymbol{x} = \sum_{k=0}^K \theta_k T_k(L)\boldsymbol{x}, \quad (2)$$

defined recursively via $T_0(L) = I$, $T_1(L) = L$, and for $k \geq 2$,

$$T_k(L) = 2LT_{k-1}(L) - T_{k-2}(L).$$

Graph-CNNs involve multiple such filters where the coefficients $\{\alpha_k\}$ or $\theta_k$ are learned from data.

Graph filters have a spectral interpretation, in terms of the eigendecomposition $L = U\Lambda U^T$ of the Laplacian. We have

$$\boldsymbol{y} = h_\alpha(L)\boldsymbol{x} = Uh_\alpha(\Lambda)U^T\boldsymbol{x} = Uh_\alpha(\Lambda)\widehat{\boldsymbol{x}},$$

so the eigenvectors $U^T$ serve as a graph spectral basis, $\widehat{\boldsymbol{x}}$ is the vector of graph spectral coefficients of $\boldsymbol{x}$, and the filter $h_\alpha(\cdot)$ acts entry-wise on the eigenvalues $\Lambda$ (with an identical interpretation possible in terms of $g_\theta$). The eigenvectors of the Laplacian are known to correspond to low- or high-variation over the graph proportional to the corresponding eigenvalue [1].

As an illustration on point cloud data, we apply the filtering and sampling approach described in Chen et al. [19, 10] for designing high-pass and low-pass graph filters. Figure 1 shows the vertices with the largest signal norm after applying high-pass and low-pass filtering operations for three example point clouds. Clearly different types of filters emphasize different structural characteristics. In this work we take the approach of learning graph filter bank in order to obtain features which can be used to classify point clouds.

### 3.2. Proposed Graph-CNN Architecture

Next we discuss our Graph-CNN architecture for 3D point cloud classification. Similar to typical CNNs and other Graph-CNN architectures, our architecture combines three main types of layers: convolutional, pooling, and fully-connected. Because the convolutional and pooling layers are particular to the graph setting, we describe these in detail.

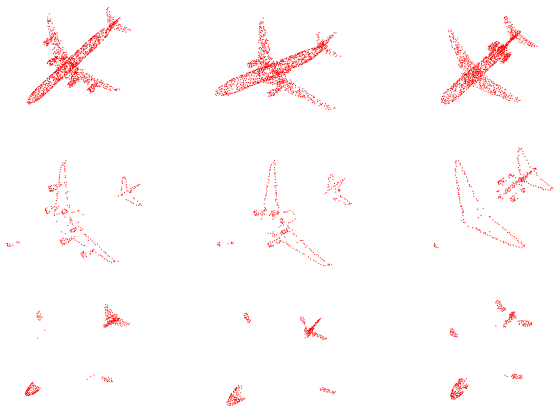

**Fig. 1**. *Top:* Three point clouds from the airplane class. *Middle:* 300 points with highest l2 norm after Haar-like high-pass graph filtering [19]; *Bottom:* 300 points with highest l2 norm after low-pass graph filtering with first 50 graph frequency components

**Convolutional layer.** During the training process, our goal is to train a set of graph filter coefficients that can translate the input signal to latent feature maps that capture relevant structure information to discriminate between object classes. Because we will apply the architecture to different graphs, and the Laplacian spectra of different graphs have different ranges, we first perform a normalization: we use the rescaled Laplacian $\tilde{L} = 2L/\lambda_{\max} - I_n$, where $\lambda_{\max}$ is the largest Laplacian eigenvalue, so that all eigenvalues of $\tilde{L}$ are in the interval $[-1, 1]$. We have found that this improves stability of the network during learning.

As illustrated above, each filter of order $K$ has $K$ learnable parameters (the filter coefficients). Previous researchers have investigated the usage of the Chebyshev graph filtering approximation in distributed signal processing [20], Graph-CNNs (e.g., ChebyNet [5]). Defferrard et al. [5] demonstrate the effectiveness of this convolution block in homogeneous graph prediction tasks such as image classification, where each images can be regarded as a grid graph (hence, having the same graph structure, assuming the image size is fixed in advance). We adapt a similar scheme to deal with heterogeneous graphs. Specifically, to obtain one level of feature transformation, we apply Chebyshev polynomial filters (2) and use the coordinate vectors $\boldsymbol{x}^{(1)}, \boldsymbol{x}^{(3)}, \boldsymbol{x}^{(3)}$ as input vectors for first convolution layer.

After each convolutional layer we apply a rectified linear unit (ReLu) nonlinear activation function. One of the advantages of the Chebyshev polynomial filtering is the learned feature maps will be localized within $K$-hops neighbors of each point. Besides, every time we add one more graph convolutional layer, the receptive field will further enlarge by $K$ hops. So by explore features from different abstraction level, the proposed model will learn more distinctive feature maps. Fig. 2 shows an example with two layers.

**Pooling layer.** The feature maps output by the convolutional layer are a point-wise latent representation. We implement two forms of pooling operations to aggregate information from these representations. One form of pooling computes global statistics across all output points, while the other form of pooling acts locally within the point cloud, leading to multi-resolution pooling similar to

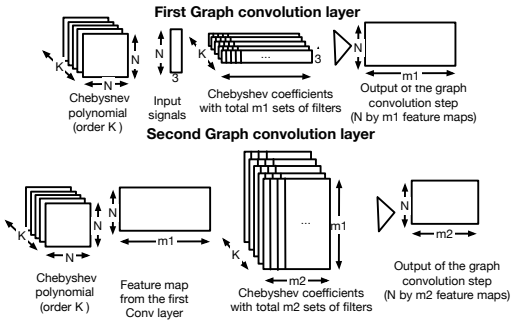


**Fig. 2**. Convolution layer

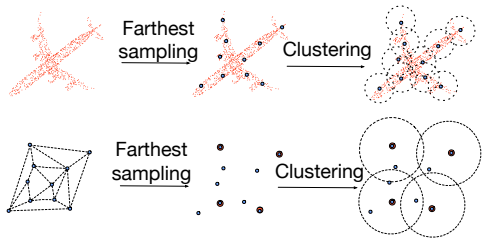


**Fig. 3**. Multi-resolution pooling in point set

graph coarsening methods employed in previous work [3, 5].

*Global pooling.* As discussed in Sec. 3.2, the output of graph filters can emphasize meaningful structural information about a point cloud. We seek representations that are invariant to point order permutation and rotations (to deal with the case when different point clouds have not been oriented/registered). To this end we use 1-max-pooling (i.e, taking the max of all filter outputs) and variance pooling. Max pooling highlights the most distinctive points, whereas variance pooling quantifies spread of the outputs after filtering, and our experiments suggest that both provide useful information for classification. When using multiple convolutional layers, we compute these statistics for each layer and concatenate them as inputs to the final layer for computing the final class probabilities.

*Multi-resolution pooling.* Graph clustering algorithms are computationally demanding, and we seek a light-weight method for local pooling of graph signals. In the special case of point cloud data, we can leverage the geometry inherent to the data to avoid explicitly calculating a graph coarsening or clustering. Instead, we realize multi-resolution pooling by sub-sampling a set of points that are most scattered from each other. This is done by first sampling a random point and adding it to the sampling set. The next sampling point is taken to be the one furthest from the initial sampling point, and subsequent sampling points are those that are mutually furthest from all other sampling points. After reaching the desired number of sampling points (resolution at the next level) we associate each non-sampled point with the nearest sampled point and aggregate among these groups by max-pooling. After the pair-wise distances have been computed once, they can be cached and easily reused at subsequent sampling steps. (Recall that the pair-wise distances are also calculated to form the $k$-nearest neighbor graph and to calculate the non-zero entries of $W$.) An example of applying this multi-resolution pooling scheme is shown in Fig. 3.

*Final architecture.* The final architecture we use in the experiments below is composed of two convolutional layers. Each layer involves graph convolution with order $K = 3$, followed by ReLu activation and one form pooling (we report the results of different combinations below). Both first and second convolutional layer has 1000 filters. When using multi-resolution pooling we downsample to 55 points for the second layer where clusters are formed by 50 nearest neighbors of every centroid point. The second convolutional layer is followed by one final global pooling step. The intermediate representations produced by the convolutional layers are flattened into a vector and passed through a final fully-connected linear layer with softmax activation, where the number of outputs is the number of classes. Thus, the final output corresponds to a vector with entries giving the predicted probability of the input belonging to each of the possible classes.

*Training details.* The training is done using Adam optimizer with mini-batch training fashion with batch size 28 to achieve fast convergence and memory-efficient. To prevent the model from overfitting, two methods have been used. One is adding dropout after both convolutional layers and fully connected layer with 0.5 dropout rate, and the other one is adding regularization term with $\alpha = 2 \times 10^{-4}$ on the weights to avoid learning complicated model.

## 4. PERFORMANCE EVALUATION

**Dataset description and preparation.** We evaluate our algorithm on the ModelNet40 and ModelNet10 datasets for 3D object recognition [13]. ModelNet10 contains 4,899 CAD models from 10 categories, split into 3,991 for training and 908 for testing. ModelNet40 contains 12,311 CAD models from 40 categories, split into 9,843 for training and 2,468 for testing. We use the same data format as PointNet [17], the state-of-the-art point-based 3D object classification approach, where the data are uniformly sampled on the CAD object mesh face to obtain $n = 2048$ points. Both datasets have unbalanced class distribution, which poses a challenge in model training. In ModelNet10 all models are oriented, and in ModelNet40 they are not oriented.

All the point clouds are initially normalized into a unit sphere. To further reduce the size of each object for fast computation, we preprocess the data to 1024 points per object by farthest subsampling. We experimented with other preprocessing schemes, not reported here due to space limitations, such as contour-enhanced subsampling [19], but they didn't lead to any improvement in performance. However, using the contour-enhanced subsampling do lead to better resistance against data corruption, when noise being added to the point clouds.

**Performance comparison.** 3D data have mainly three types of representations. Different representations of 3D objects lead to different approaches to solve the problem. We compare our algorithm with state-of-the-art methods using volume as input (i.e., binning into voxels) [13, 14, 15], using images from different views as input [16], and using point sets [17, 21] as input respectively. Since the dataset has class imbalance, we consider two performance metrics, mean instance accuracy and mean category accuracy, to evaluate the performance. To prevent the model from too overfit to majority class, we use weighted gradient descent to train the model, where the weighting imposes a greater cost on the model for making classification mistakes on minority classes during training. These extra penalties can bias the model to pay more attention to the classes which are under-represented.

From the results in Table 4, we can see that there is still a gap between our method and the state-of-the-arts 3D object classification approach MVCNN [16], which uses ImageNet1K to pre-train and uses an extensive data augmentation scheme (observe 3D ob-

| Algorithm | Input format | ModelNet 10 Prediction Accuracy (avg. class) | ModelNet 10 Prediction Accuracy (overall) | ModelNet 40 Prediction Accuracy (avg. class) | ModelNet 40 Prediction Accuracy (overall) |
|---|---|---|---|---|---|
| 3D ShapeNets[13] | volume (1 view) | 83.5% | - | 77% | 84.7% |
| VoxNet [14] | volume (12 views) | 92% | - | 83% | 85.9% |
| SSCN [15] | volume (20 views) | - | - | 88.2% | - |
| MVCNN [16] | image (80 views) | - | - | **90.1**% | - |
| ECC [21] | point (1024 points per object) (12 views) | 90.0% | 90.8% | 83.2% | 87.4% |
| PointNet* [17] | point (1024 points per object) | 91.33% | 91.59% | 85.48% | 88.31% |
| Proposed algorithm with gloabl pooling | point (1024 points per object) | 91.35% | 91.87% | 85.77% | 89.20 % |
| Proposed algorithm with multi-resolution pooling | point (1024 points per object) | 91.57% | 91.91% | 85.97% | **89.51** % |

**Table 1**. Results comparison with state-of-art methods on ModelNet.
*Means the result is reproduced by the code provided by the paper author. Otherwise, the baseline results presented here are reported in the original paper. All the results reported above are the average results of 50 trials for each scenario. Only the best model setting is shown.

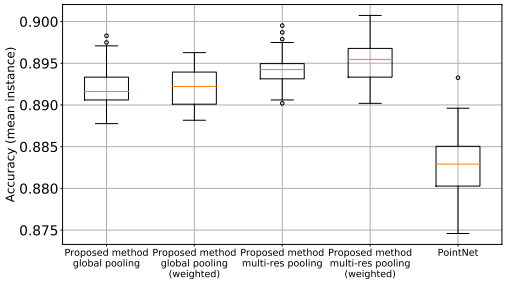


**Fig. 4**. Detailed comparison with PointNet and our proposed methods (with and without weighting scheme). We fit each model 50 times by running the Adam optimizer 10 times each from 5 different initial seeds, and we examine the resulting accuracies.

jects from 80 views) to cope with the data where the orientation is not aligned. In contrast, we use no pre-training and only use input data from one view. On ModelNet 10 and ModelNet 40, we improve the performance compared to the state-of-the-art point-based method PointNet [17] in both performance metrics.

Fluctuation of the performance during the training (i.e., sensitivity to initial weights) is one of the difficulties when training on ModelNet40, since it has significant class imbalance. This phenomenon is especially severe for PointNet [17] because of the lack of exploration of local point features. As shown in Figure 4, we improve the reliability of the model performance for both pooling approaches. In our model, since we introduce the structure of the data by providing the local interconnection between points and explore graph features from different abstraction levels by the localized graph convolutional layers, which guarantees more stability performance of the model.

**Visualizing the effect of max-pooling.** One of the key operations in the proposed architecture is the global operation max pooling, which aims to pick the unique pattern points and summarize the global signature of each object. We call the points that have the maximum values among each feature map the active points. We visualize an example of these active points for feature maps coming from both graph convolutional layers in Fig. 5. Active points at the first layer appear to emphasize local patterns, while those at the second layer emphasize more global structural information, which is constant with our assumption that the $K$-localized graph convolutional layer can explore features from different receptive fields. We experimented with using additional graph convolutional layers and did not find any benefit on the ModelNet benchmarks.

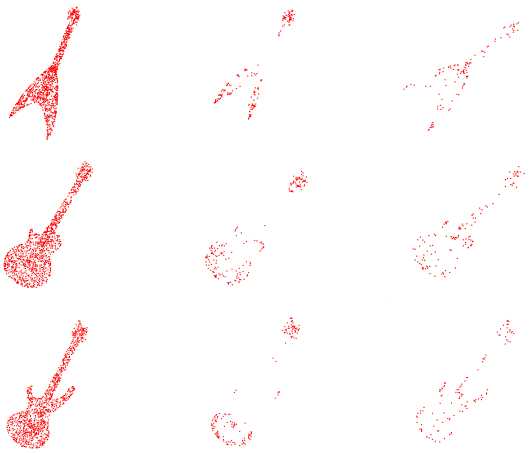

**Fig. 5**. Max pooling contribution points from different layers (Guitar); *Left:* Original point cloud; *Middle:* Layer one active points; *Right:* Layer two active points

## 5. CONCLUSION

In this paper, we propose a Graph-CNN model for 3D point cloud classification. The model has two fast localized graph convolutional layers and point cloud data specific designed pooling layer using global pooling or multi-resolution pooling. Our proposed approach is demonstrated to be competitive on the 3D point-cloud classification benchmark dataset ModelNet [13].

The proposed method has a number of interesting properties. First, from the learning complexity perspective by leveraging geometric information encoded in the graph structure we reduce the model complexity (our model has 8.6% fewer learnable parameters than PointNet), which makes the model has faster convergence rate and also improves the robustness (as illustrated via the standard deviation of the model performance). Second, one of the biggest problems for point-based classification problem methods is how to achieve point order invariant. In the proposed algorithm, the features we learn are spatially localized by design since filters of order $K$ combine information from $K$-hop neighbors and order permutation preserves nearest neighbors, which are encoded in the constructed graph. At last, because the proposed approach operates on graphs which are symmetric by design, the resulting filters (defined in terms of the Laplacian) are isotropic and do not capture any notion of directionality along the manifold from which the points were sampled. This property guarantees that the learned model is robust under rotation transformation, which explains that our proposed model perform well in ModelNet 40 (objects orientation are not aligned) without providing the input point cloud data from different views.

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