

#### Esolution

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#### Note:

- During the attendance check a sticker containing a unique code will be put on this exam.
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# **Introduction to Deep Learning**

**Exam:** IN2346 / Endterm **Date:** Friday 10<sup>th</sup> February, 2023

**Examiner:** Prof. Dr. Angela Dai **Time:** 18:30 – 20:00

	P 1	P 2	P 3	P 4	P 5	P 6	P 7	P 8
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### **Working instructions**

- This exam consists of 20 pages with a total of 8 problems.
   Please make sure now that you received a complete copy of the exam.
- The total amount of achievable credits in this exam is 90 credits.
- · Detaching pages from the exam is prohibited.
- Answers are only accepted if the solution approach is documented. Give a reason for each answer unless explicitly stated otherwise in the respective subproblem.
- · Do not write with red or green colors nor use pencils.
- · Physically turn off all electronic devices, put them into your bag and close the bag.

Left room from	to	/	Early submission at

# Problem 1 Multiple Choice (18 credits)

Mark correct answers with a cross

To undo a cross, completely fill out the answer option

To re-mark an option, use a human-readable marking



### Please note:

- For all multiple choice questions any number of answers, i.e. either zero (!), one or multiple answers can be correct.
- For each question, you'll receive 2 points if all boxes are answered correctly (i.e. correct answers are checked, wrong answers are not checked) and 0 otherwise.

1.1 Your model for classifying different cat species is getting a low training set error with a high testing set

error.	Which of the following are promising things to try to improve your classifier?
	Use a bigger neural network
	Get more training data Not a valid of feasable solution
	Try a different initialization during training
×	Add weight regularization
1.2 W	hich of the following statements on activation functions are true?
	The output values should be in the range of 0 to 1
X	Tanh can lead to vanishing gradients
	Sigmoid outputs are zero-centered
X	Parametric ReLU can handle negative input values
1.3 W	hich of the following propositions are true about a Conv layer?
	The total number of parameters depends on padding
	The total number of parameters depends on the width and height of the input
×	The output depth is the same as the number of filters
	The number of input channels and the number of filters' channels can differ
1.4 L	ogistic regression:
X	Allows performing binary classification.
X	Uses a variant of the cross entropy loss.
×	Can be seen as a 1-layer neural network.
	The output space is between -1 and 1.
1.5 R	egularization:
	Is any technique that aims to reduce your validation error and increase your training accuracy.
X	Is any technique that aims to reduce the generalization gap.
	Dropout, the use of ReLU activation functions, and early stopping can all be considered regularization techniques.
X	Weight decay $(L^2)$ is commonly applied in neural networks to spread the decision power among as many neurons as possible.

(a)	Update the network weights to minimize the loss.
(b)	Calculate the difference between the predicted and target value.
(c)	Iteratively repeat the procedure until convergence.
(d)	Compute a forward pass.
(e)	Initialize the neural network weights.
	ebadc
	bcdea
X	edbac
	eadbc
	So far we've learned Fully Connected Neural Network (FC), Convolutional Neural Network (CNN) and urrent Neural Network (RNN). In which architecture does weight sharing occur across an input?
	FC
X	CNN
X	RNN
	None
1.8 🛭	Propout
	makes your network train faster.
X	can be seen as an ensemble of networks.
X	is an efficient way for regularization.
	has trouble with tanh activations.
1.9 V	Which of the following methods can be used in unsupervised learning?
X	Autoencoder.
X	PCA.
X	K-means.
	Linear Regression.

1.6 What is the correct order of operations for an optimization with gradient descent?

## Problem 2 Short Questions (19 credits)



(1p): Zero-initialization (+ 0.5	ces with random non-zero values.  p). Does not break symmetry / Gradients will be the same (+ 0.5p).  n (+ 0.5p). Xavier Initialization (+ 0.5p).
Common Mistakes: (0.5p): Gauss / random initial	ization are not strategies.
2.7 What is "early stopping"?	
(+ 1p): Stop training, if the va (+ 1p): Prevent overfitting to t Common Mistakes: Mention	
	(0.5p), name two common data augmentation techniques used in imag w could data augmentation be problematic in a supervised training scenar
	the amount of training data by adding transformations.
<ul><li>(+ 0.5p) each (req. 2): Crop /</li><li>(+ 1p): Can lead to incorrect</li><li>Common Mistakes: Just sta</li></ul>	Flip / Any method mentioned on the PyTorch website.  label, e.g. after cropping, GT label does not match anymore.  ting "better generalization" / Training time / Only examples / Not referring on mistmatch / explanation refers to a single example, but not to the
(+ 0.5p) each (req. 2): Crop / (+ 1p): Can lead to incorrect Common Mistakes: Just state to wrong labels, or distributing general problem.  2.9 Consider two different mode The models are: (i) a 3 layer per	Flip / Any method mentioned on the PyTorch website. label, e.g. after cropping, GT label does not match anymore. ting "better generalization" / Training time / Only examples / Not referring on mistmatch / explanation refers to a single example, but not to the ls for image classification of the MNIST data set.

Figure 3.1: Simple network.

The values of variables are given in the following table:

Variable	İ <sub>1</sub>	i <sub>2</sub>	W <sub>11</sub>	W <sub>12</sub>	<b>W</b> 21	W <sub>22</sub>	<i>W</i> 31	W <sub>32</sub>	W <sub>41</sub>	W <sub>42</sub>	b <sub>1</sub>	b <sub>2</sub>	<i>b</i> <sub>3</sub>	b <sub>4</sub>	t <sub>1</sub>	t <sub>2</sub>
Value	2.0	-1.0	1.0	-0.5	0.5	-1.0	0.5	-1.0	-0.5	1.0	0.5	-0.5	-1.0	0.5	1.0	0.5

3.1 Compute the outputs  $(o_1 \text{ and } o_2)$  of this network. Therefore, you will need to calculate the following variables:  $h_1, h_2, h_3, h_4, o_1, o_2$ .

$$h_1 = i_1 \times w_{11} + i_2 \times w_{21} + b_1 = 2.0 \times 1.0 - 1.0 \times 0.5 + 0.5 = 2.0$$

$$h_2 = i_1 \times w_{12} + i_2 \times w_{22} + b_2 = 2.0 \times -0.5 + -1.0 \times -1.0 - 0.5 = -0.5$$

$$h_3 = \max(0, h_1) = h_1 = 2$$

$$h_4 = \max(0, h_2) = 0$$

$$o_1 = h_3 \times w_{31} + h_4 \times w_{41} + b_3 = 2 \times 0.5 + 0 \times -0.5 - 1.0 = 0$$

$$o_2 = h_3 \times w_{32} + h_4 \times w_{42} + b_4 = 2 \times -1.0 + 0 \times 1.0 + 0.5 = -1.5$$

(+ 0.5p): For each correctt result.

Notes: Follow-up errors are accepted.



3.2 Write down the formula of the Mean Squared Error, and calculate the loss using your results in the previous question and the target values ( $t_1$  and  $t_2$ ). In case you have not solved the previous question, use the following values:  $o_1 = 2$  and  $o_2 = 0.5$ .

$$MSE = \frac{1}{2} \times (t_1 - o_1)^2 + \frac{1}{2} \times (t_2 - o_2)^2 = 0.5 \times 1.0 + 0.5 \times 4.0 = 2.5$$

(+ 1p): Correct formula. (+ 0.5p): Correct result. Backward pass (Applying chain rule):

$$\frac{\partial MSE}{\partial w_{21}} = \frac{\partial \frac{1}{2}(t_1 - o_1)^2}{\partial o_1} \times \frac{\partial o_1}{\partial h_3} \times \frac{\partial h_3}{\partial h_1} \times \frac{\partial h_1}{\partial w_{21}} + \frac{\partial \frac{1}{2}(t_2 - o_2)^2}{\partial o_2} \times \frac{\partial o_2}{\partial h_3} \times \frac{\partial h_3}{\partial h_1} \times \frac{\partial h_1}{\partial w_{21}}$$

$$= (o_1 - t_1) \times w_{31} \times 1.0 \times i_2 + (o_2 - t_2) \times w_{32} \times 1.0 \times i_2$$

$$= (0 - 1.0) \times 0.5 \times -1.0 + (-1.5 - 0.5) \times -1.0 \times -1.0$$

$$= 0.5 + -2.0 = -1.5$$

Update using gradient descent:

$$w_{21}^+ = w_{21} - lr * \frac{\partial MSE}{\partial w_{21}} = 0.5 - 0.1 * -1.5 = 0.65$$

(+ 1p): Correct formula.

(+ 1p): Correct derivation.

(+ 1p): Correct result.

(+ 1p): The gradient descent update.

# Problem 4 Optimization (6 credits)

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4.1 Explain the concept behind momentum in SGD.

(+ 1p): Full answer: accumulating previous gradients / use weighted average, and goal: Avoid getting stuck in saddle points or accelerate optimization.

Only **(0.5p)**: Only "bigger steps" w/o an outcome / stating that SGD+Momentum was not mentiond / giving only half of the solution. **Accepted**: Previous gradients w/o weighted average / faster **training** / accumulated velocity.

Common Mistakes: GD vs SGD / RMSProp instead of Momentum /

/ Damping oscillations / global minima.

**Notes**: Wrong statements remove **0.5p** if the full answer is given.



4.2 Which optimizer introduced in the lecture uses second but not first order moment?

(+ 1p): RMSProp, or with a small typo.

(0.5p): It was clear that the student knew that it is RMSProp, but invented a whole new name for it, as long as it doesn't contain any of the other known optimizers.

Common Mistakes: Adam / Adagrad / Nestrov / Gauss-Newton



4.3 Name a disadvantage of a small minibatch/batch size and a disadvantage of a large minibatch/batch size.

Dis. small batch (+ 1p):

- Noisy updates / high variance / stochastic / Slower training / Many more training steps / Disable the usage of the Gaus-newton optimizer.
- (-0.5p): Overfitting / diverge / make result worse

Dis. Big batch (+ 1p):

- Requires more memory / Heavy usage of GPU / Might be stuck at a saddle point / longer iterations (update steps).
- (-0.5p): More computation time, with no reference to which time variable.

**Notes**: Points were reduced only for the relevant sub problem and only if a correct answer was given additionally.



4.4 Why is Newton's method not commonly used in training a deep model (1p)? What would be an advantage of using it (1p)?

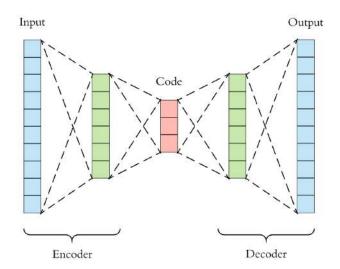
(+ 1p) Not commonly used:

Option 1: Basis (0.5p) - Comutatinally complex / expansive / any variant of that. (+ 0.5p) if stated the hessian matrix / second derivative. If stated "inverted", additional wrong statements do not take off points.

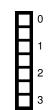
(+ 1p) Advantage:

Option 1: Doesn't require a learning rate. Option 2: Basis (0.5p) - converges fast. (+ 0.5p) if stated "fewer iterations" / "mathematically" / "In theory" / curvature usage of the second derivative / other reasonable explanation or consequence. (-0.5p) for claiming that the algorithm would converge in 1 iteration. This is true in general only for linear models. (-0.5p) for stating that the optimizer guarantees the global optimum. (Only for convex, and that's true for all the optimizers. Irrelevnat).

# Problem 5 Autoencoder (10 credits)



5.1 How do each of the elements (encoder, code, decoder) of autoencoders function?



- (+ 1p): Encoder: performs dimensionality reduction feature for input.
- (+ 1p): Code: This portion of the network only represents the compressed (low dimensionality) input.
- (+ 1p): Decoder: Using a lossy reconstruction and the latent space representation, this decoder layer restores the encoded image to its original dimension. (-0.5p): Given correct answers, for additional incorrect information.

5.2 You want to perform a semantic segmentation task on a small labeled dataset, and you also have access to a larger unlabeled image dataset. Explain how an autoencoder can help in that given task.



- (+ 1p): Train an autoencoder to reconstruct the inputs using the whole data collection; Learn important features.
- (+ 1p): Use the trained Encoder and the labeled data to train a segmentation model.

(-0.5p): Given correct answers, for additional incorrect information

Common Mistakes: use clustering for prediction on the labeled dataset.



5.3 If you use U-Net as your autoencoder model for semantic segmentation, what is a skip connection in the U-Net architecture? Don't forget to also offer some reasoning.

(+ 1p): encoder-decoder or down-up sampling layers + "concationation" / reasoning, e.g. "highway for gradients", pass fine-grained features, Avoid the vanishing gradient.

(0.5p) Only one part of the full answer (connection xor reasonining).

**Common Mistakes**: skip connections are **added** / incorrect sketch, e.g. connection not horizontal / Explaining ResNet skip connections / skip connections in general / Saying they would use Residual Blocks / Not mentioning encoder and decoder (text/sketch)



5.4 What are the differences between the autoencoder and the variational autoencoder in terms of the goal and loss?

#### Goal:

(+ 0.5p): AE - recovers input / Learn efficient embeddings of unlabeled data / Learn representation of input in latent space.

(+ 0.5p): VAE - provides a range of data in the latent space which is helping to generate new data / Generate new data that is from the same distribution as the input.

#### Loss:

(+ 0.5p): AE - Reconstructed output is close to the input / MSE/L1/L2 between encoder input and decoder output.

(+ 0.5p): VAE - Reconstruct output that is close to the input AND latent space is close to a Gaussian or normally distributed / KL-divergence + L1/L2.



5.5 The decoder part of an autoencoder can also be used in a Generative Adversarial Network (GAN). What is the difference between an autoencoder and a GAN in terms of network architecture? (0.5p each) What is the goal of using the discriminator loss in GAN? (1p)

### **Network Architecture:**

(+ 1p): AE: has an encoder (0.5p), GAN: has a discriminator. (0.5p)

(0.5p): AE: cooperative networks vs. GAN: adversarial networks / Just mentioning one of them.

**(0p)**: GANs: only decoder (info in the question desc) / supervised vs. unsupervised (Irrelevnat here) / Generate new data (Not archi related).

### Discriminator loss:

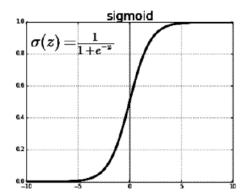
(+ 1p): Output image look real in general / Correctly classifying fake and real data

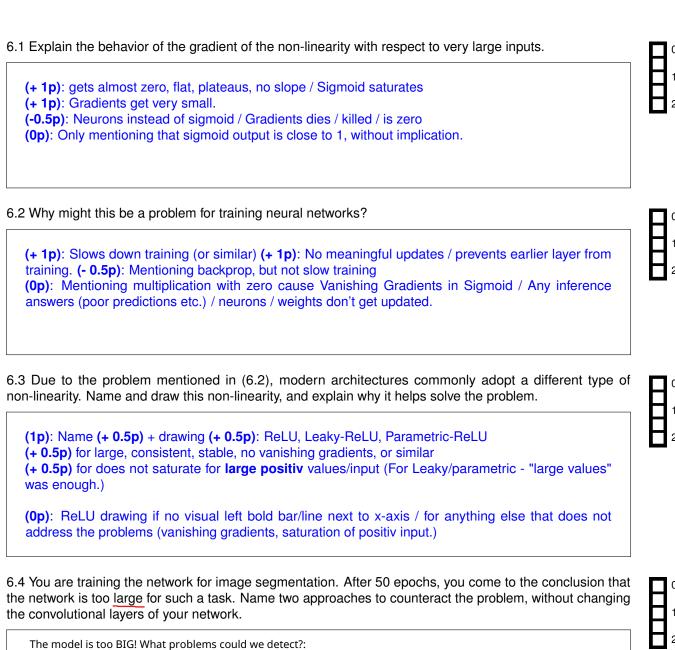
**(0.5p)**: Supervise generator / Improve generator / Tells "how good the generator is" / The goal of the loss is to classify real and fake.

**(0p)**: Only talking about minmax game / Saying the discriminator's sole goal is to classify generated images as fake.

# Problem 6 CNNs (10 credits)

You are training a neural network with 10 convolutional layers with the non-linearity shown below:





Solutions:

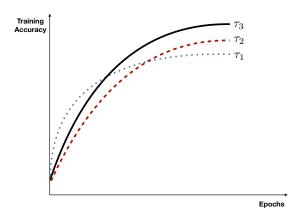
1. BN, Skip connecitons

2. Smaller batch sizes

Vanishing/exploding gradients, Run out of memory, overfit



6.5 You adapt your network training accordingly, and now you are performing a grid search to find the optimal hyperparameters for vanilla stochastic gradient descent (SGD). You try three learning rates  $\tau_i$  with  $i \in \{1, 2, 3\}$ , and obtain the following three curves for the training accuracy, all of the curves have already converged. Order the learning rates from larger to smaller.

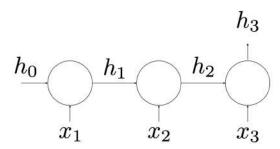


**(+ 2p)**:  $\tau_1 > \tau_3 > \tau_2$ 

### Problem 7 LSTMs (9 credits)

7.1 Consider a vanilla RNN cell of the form  $h_t = \tanh(V \cdot h_{t-1} + W \cdot x_t)$ . The figure below shows the input sequence  $x_1$ ,  $x_2$ , and  $x_3$ .





Given the dimensions  $x_t \in \mathbb{R}^4$  and  $h_t \in \mathbb{R}^{12}$ , what is the number of parameters in the RNN cell? Neglect the bias parameter.

 $4 \times 12 + 12 \times 12$  (+ 1p) = 48 + 144 = 192 (+ 1p) (0.5p): Some reasonable formula, but just not the correct one. **Accepted**:  $4 \times 12 + 12 \times 12 + bias / 3 \times (4 \times 12 + 12 \times 12 + bias)$ 

7.2 If  $x_t$  is the 0 vector, then  $h_t = h_{t-1}$ . Discuss whether this statement is correct.

**Case 1:** (+ 1p): False. (+ 1p): After transformation with V and non-linearity  $x_t = 0$  does not lead to  $h_t = h_{t-1}$ . /  $h_t = Vh_{t-1}$  / a counterexample. (0.5p): Only true when  $h_{t-1} = 0$  / Hidden state updates every time.

Case 2: (0p) Yes + any statements.

Case 3: (+ 2p) Uncertain + correct statements, e.g.  $\exists V, h : h = tanh(Vh)$  and  $\exists V, h : h \neq tanh(Vh)$ . (+ 1p) only if no valid statement.

7.3 Now consider the following **one-dimensional** ReLU-RNN cell.

$$h_t = \text{ReLU}(V \cdot h_{t-1} + W \cdot x_t)$$

(Hidden state, input, and weights are scalars)

Calculate  $h_1$ ,  $h_2$  and  $h_3$  where V = 1, W = 2,  $h_0 = -3$ ,  $x_1 = 1$ ,  $x_2 = 2$  and  $x_3 = 0$ .

$$h_0 = -3$$
  
(+ 1p) : $h_1 = \text{relu}(1 \cdot (-3) + 2 \cdot 1) = 0$   
(+ 1p) : $h_2 = \text{relu}(1 \cdot 0 + 2 \cdot 2) = 4$   
(+ 1p) : $h_3 = \text{relu}(1 \cdot 4 + 2 \cdot 0) = 4$ 



7.4 A Long-Short Term Memory (LSTM) unit is defined as

$$\begin{split} g_1 &= \sigma \left( W_1 \cdot x_t + U_1 \cdot h_{t-1} \right), \\ g_2 &= \sigma \left( W_2 \cdot x_t + U_2 \cdot h_{t-1} \right), \\ g_3 &= \sigma \left( W_3 \cdot x_t + U_3 \cdot h_{t-1} \right), \\ \tilde{c}_t &= \tanh \left( W_c \cdot x_t + u_c \cdot h_{t-1} \right), \\ c_t &= g_2 \circ c_{t-1} + g_3 \circ \tilde{c}_t, \\ h_t &= g_1 \circ c_t, \end{split}$$

where  $g_1$ ,  $g_2$ , and  $g_3$  are the gates of the LSTM cell.

- 1) Assign these gates correctly to the **forget** *f*, **update** *u*, and **output** *o* gates. (1p)
- 2) What does the value  $c_t$  represent in a LSTM? (1p)

```
(0.5p) for 2 correct g_i, i \in \{1, 2, 3\}.

(1p) for 3 correct g_i, i \in \{1, 2, 3\}.

g_1 = \text{output gate}
g_2 = \text{forget gate}
g_3 = \text{update gate}
(+ 1p): c_t: cell state.
```

## Problem 8 Training & Evaluation (9.5 credits)

8.1 A common way to divide your data is by splitting it into a train, validation, and test split. Explain the purpose of each split in detail and how we use each split (1p for each split). How much percentage of data do you commonly assign to each split (0.5p)?

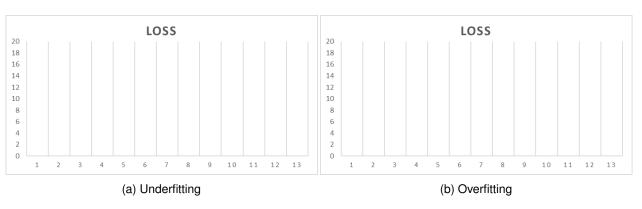
**Split**: **(+ 0.5p)** examples: (60-20-20) (80-10-10) (90-5-5) (70-15-15) (70-20-10) (60-30-10) (50-30-20) or any acceptable split (training portion is > 50%).

**Training**: (+ 1p): used to train the parameters (weights) of the model. (0.5p): train the model / calculate the gradients / optimize the loss.

**Validation**: **(+ 1p)**: hyperparameters tuning(searching/finding) / check the generalization performance / compute loss (performance) on unseen data / sanity check. **(0.5p)**: check the performance but do not emphasize "on unseen data". **(0p)**: only state "check if it is overfitting" / only state "validate the model".

**Test**: (+ 1p): Final evaluation(verification)/ overall performance (to test hyperparameters). (0.5p): only used once. (0p): only state "test the model".

8.2 Explain the issues of overfitting and underfitting (1p each). Additionally, describe how your loss curves look like in each of the cases - draw the corresponding plots (1p each). (Make sure to label your curves).



### **Curves**:

(+ 1p): Undefitting: if both curves descend from the start to the end (could keep going) / both curves stay at a high position and gap between them is small.

(+ 1p): Overfitting: The training curve continues descending. The val curve first decreases then increases after some critical point / The val curve plateaus. (0p): Only one curve each is drawn / if "test" curve is drawn / if val curve is below the training curve without sufficient explanations / if curves are drawn without labels val and training.

### **Explanations**:

- Underditting: The model doesn't perform well on the training set.
- Overfitting: The model performs very well on the training set, but underperforms on unseen data.

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8.3 A friend tries a new learning method and shows you this training loss plot. Name the method that was applied.



(+ 1p): learning rate scheduling (decay) / reducing learning rate / step (stepwise) decay.

(0.5p): Any imprecise term implying reducing the learning rate dynamically.

**(0p)**: Adaptive learning rate method without further descriptions recognised as Adam / Momentum / RMSProp.



8.4 You successfully trained your model on the task of Image Classification with product images you collected from Amazon. It achieves good classification accuracy on your collected data. Now, you took pictures of objects yourself, however, your model misclassifies most objects. Give one reason, why your model performs poorly on these images you took.

(+ 1p): Domain gap between data distribution.

Additional space for solutions—clearly mark the (sub)problem your answers are related to and strike out invalid solutions.

