

Report on arXiv Scientific Text Classification

Jordy Van Landeghem¹

¹ KU Leuven

1. Summary

This report presents the results of the arXiv Scientific Text Classification task. The goal of this task is to classify scientific papers into one or more categories based on the paper’s abstract. The dataset consists of +2.5M papers, which are split into a category-stratified training set of 2M papers and a validation set of 500K papers.

First, I focused on establishing a discriminative encoder-based baseline for multi-label classification using BERT [2]. I then experimented with different encoders (DeBERTa [3] (known to be a more powerful encoder), SciBERT [7] (in-domain pretraining)), batch sizes (6→64), learning rates (1e-4→2e-5), and loss functions (binary cross-entropy vs. two-way multi-label loss [5]) to improve the model’s performance.

Out of interest, I also explored alternate approaches such as few-shot classification with a one-vs-rest strategy (SetFit [10]) and generative models (Llama2 [9]) instruction-tuned on human-readable labels. The report concludes with a discussion of future work. In total, I invested <20 hours in this task and mainly focused on prototyping and experimenting with different approaches at multi-label text classification.

The key observations of this report are:

- I. Observations TBD at the end of the project (ETA: 2024-02-07 EOD)

2. Exploratory Data Analysis

The notebook ‘EDA.ipynb’ contains documentation and visualization of observations made on the arXiv dataset.

The papers are classified into X categories, with a mean of XXX categories per paper. The distribution of the number of papers per category is highly skewed. TBD: add more EDA results.

The preprocessed dataset is available at https://huggingface.co/datasets/jordyv1/arXiv_dataset_prep. The dataset contains the following fields:

- *abstract*: without any preprocessing such as lemmatization, risky with many technical terms, could reduce overfitting when done right
- *primary*: the primary category of the paper; could be used for multi-class classification
- *categories*: the categories of the paper as a list of labels, *e.g.* [cs.AI, eess.AS]; multi-label classification
- *strlabel*: human-readable labels for the categories joined with ‘;’, *e.g.* [cs.AI, eess.AS] → ”Artificial Intelligence;Audio and Speech Processing”

3. Experiments

3.1. Methods

Some motivation is due for the choice of alternate approaches than encoder-based discriminative models. The discriminative models are known to be powerful and are the current baselines of choice for multi-label classification. However, they are also known to be data-hungry, which is hard in the case of an imbalanced long-tailed label distribution as here, and require substantial fine-tuning to achieve good performance.

A generative pre-trained LLM such as Llama2 [9] is known to be more flexible and can be instruction tuned toward any task described in natural language with potentially fewer instances, while rendering a semantic understanding of the labels and even the ability to generate new labels. Given the higher computational cost involved with LLMs, I subsampled the dataset to 10% of the original size to keep the computation time reasonable.

SetFit [10] is a few-shot classification framework for fine-tuning Sentence Transformers. It is substantially more data-efficient and can be trained with different multi-label strategies (one-vs-rest), which might be more robust to label noise and label imbalance. I opted for this setup, as in industry settings, supervised learning is often not feasible due to the lack of a large set of labeled data, and few-shot learning is a promising alternative. I created a new Sentence Transformer from SciBERT and used this to fine-tune the SetFit model.

3.2. Evaluation

The performance of the discriminative models is evaluated using standard metrics: *precision*, *recall*, *micro-averaged F1 score*, and *hamming loss*. The generative models are evaluated using my own extended metric, *Average Normalized Levenshtein Similarity* (ANLS) [11], that evaluates the quality of the generated labels and the similarity to the human-readable labels, agnostic of the order of the labels and permissive to low edit distance on individual generated labels.

For example, the ANLS of the generated labels "Audio and Speech Processing;Artificial Intelligence" and the human-readable labels "Artificial Intelligence;Audio and Speech Processing" is 1.0, as well as for "Audio Processing;Artificial Intelligence" given an NLS threshold τ of 0.5. The threshold can be adapted to the task's needs, *e.g.* to enforce a minimum similarity to the human-readable labels, such that even incomplete ones could be reconstructed by surface form or semantic similarity (*e.g.* Audio Processing is closest to Audio and Speech Processing of all other labels).

4. Results

All results are reported on a test set subsampled from the validation set to keep computation time reasonable. The best attained results are reported in Table 1. All experiment runs and results are available at <https://wandb.ai/jordy-vlan/scientific-text-classification>.

Table 1. Results of the different models (trained with different number of steps based on loss curve validation) on the test set. The hamming loss is minimized, while other metrics are maximized.

Model	Accuracy	Precision	Recall	F1	Hamming(\downarrow)	ANLS
BERT(10K)	0.993	0.776	0.461	0.578	0.007	
BERT	0.993	0.776	0.461	0.578	0.007	
DeBERTa (50K)	0.994	0.763	0.555	0.643	0.006	
SciBERT	0.994	0.797	0.525	0.633	0.006	
SciBERT (2-way)	0.994	0.791	0.577	0.667	0.006	
SciBERT*(100K)	0.995	0.779	0.627	0.695	0.005	
SetFit (ovr@20)						
SetFit (ovr-diff@20)						
Llama2						0.607

5. Future Work

Of course, all the following depends on the needs of the task and the available resources.

- Hyperparameter tuning: extend MultiLabelTrainer with [Optuna](#) or [Ray Tune](#) or [Wandb sweeps](#)

- Feature fusion from arXiv metadata (*e.g.* authors (co-citation network), date of submission)
- Ensembling of different pre-trained models (*e.g.* BERT, DeBERTa, SciBERT, SetFit, Llama2), potentially weighted by normalized validation scores
- Combine predictive models with different output spaces (*e.g.* multi-label, multi-class) to enforce consistency on the primary category and average label cardinality
- Continue with **encoder-decoder models** for multi-label classification (*e.g.* T5Enc [4])
 - Comment: overkill for single task finetuning, could be useful when combining multiple tasks (summarization, translation, classification, ...)
- Design different prompts with function calling for postprocessing the output of LLMs (*e.g.* JSON structure for unique classes)
- Investigate graph neural networks for better use of the **label hierarchy** (*e.g.* in the medical domain [1])
- Explore strategies for dealing with **label noise** (*e.g.* label smoothing, CleanLab [6, 8])

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