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Tensor-based Factorization Algorithms for Pixel-wise Classification of Hyperspectral Data Using Deep Convolutional Networks

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Abstract: Tensor-based algorithms for data compression have evolved in recent years according to the needs of several research areas. Tucker Decomposition (TKD) is one of the most popular factorization methods based on tensor algebra, but it is clear that it is not the only algorithm which can produce a factorization for a given input data set. Besides, this decomposition does not have singular solutions, i.e., it converges to local minima. Hence, depending on the input data, tensor-based decompositions can achieve better solution to a specific input. The phenomenology of Remote Sensing (RS) Hyperspectral Images (HSI) belongs to the set of natural numbers, i.e., the set of positive integers. Then, a non-negative tensor factorization suggest a more suitable decomposition for positive data by nature. The main purpose of this work is to prove the benefits in processing time, as well as in accuracy, of using a well-posed factorization algorithm. Specifically, this paper performs a quantitative analysis of tensor-based factorization algorithms applied to semantic segmentation of HSI using Deep Convolutional Networks (DCN).

Keywords: deep convolutional networks; hyperspectral imagery; tensor decomposition

1. Introduction

Reducing the dimensionality of input data for machine learning algorithms has been one of the most active research areas in recent years [1]. The insertion of tensor-based algorithms for this sort of tasks drove a revolution in several areas such as image processing [2].

Most of the researches in the image processing area require data acquired by multiple sensors. Even in the simplest case, color images, data acquired by three sensors that perceive reflectance of an object are processed. Each sensor receives reflectance in different wavelength ranges, and by merging that data, a color image is produced. Thus, the images can be represented in a form of three-dimensional arrays or third-order tensors. Two dimensions represent the spatial properties and the third dimension denotes the depth, i.e., the spectral bands. Medical analysis [3], mineralogy [4], agriculture [5], radar images [6] and, above all, remote sensing multi- and hyper-spectral images [7] can be represented, by nature, as third-order tensors.

Spectral imagery remarkably aids certain image processing tasks [8]. Recently, the use of this type of data has grown exponentially in various areas such as agriculture [9], medical analysis [10], biomedical [11], natural disaster prediction [12], security affairs [13], among others. The ability to obtain information about a target not only by its reflectance in the spatial domain, but also by response at different wavelengths, has driven a growth in accuracy and precision in tasks such as classification and segmentation [14].

32 Few years ago, several unsupervised classification and segmentation algorithms [] were
33 developed, taking advantage of the properties that spectral data produce. Subsequently, with the
34 introduction of supervised machine learning algorithms such as SVM [], kNN [] and ANN [], it was
35 found that, under certain conditions, there is a direct relationship between the number of bands used
36 and the performance of these algorithms []. However, with the aim of improving results, neural
37 network models evolved into deep neural networks []. This caused the computational complexity to
38 rise considerably and spectral image processing was not easily achievable. The foregoing requires
39 having robust computer equipment to achieve competitive results in time.

40 Several works opted for matrix factorization algorithm to reduce the high-dimensionality of
41 spectral images []. More recently, with the development of tensor factorization algorithms [], it has
42 been found that some algorithms based on tensor algebra produce advantages over those based on
43 matrices []. Nevertheless, the data produced by both of them are hard to understand for supervised
44 classification algorithms that need spatial relation between pixels to produce a wise prediction [].

45 In this work, we propose an alternative solution to the problem described previously. To reduce
46 processing times in supervised classification algorithms, such as deep neural networks, we propose a
47 model that, from the benefits offered by tensor decomposition algorithms, aids compression of spectral
48 images. This produces a lower dimensional tensor while preserving the structural and numerical
49 nature of the original data.

50 1.1. State of the art

51 There are several works focused on the development of frameworks that reduce computational
52 complexity of machine learning algorithms for semantic segmentation of hyperspectral datasets []. The
53 crucial factor, which is addressed in this work, is to achieve compression of the input data to reduce
54 the high number of computations, but without sacrificing pixel accuracy, overall accuracy, precision and
55 recall in the classification task.

56 Before the introduction of tensor decomposition algorithms, the way to use hyperspectral images
57 as input for supervised classification algorithms was by band selection [23] and [22]. Later, matrix
58 decomposition algorithms were used, such as PCA in [?], and even non-negative matrix decomposition
59 methods [?]. In 2015 Zhang et al. [24] were pioneers in experimenting with multilinear algebra-based
60 decompositions on hyperspectral images.

61 On the other hand, there was also the possibility of using multispectral images due to the small
62 number of spectral bands, which still made efficient results in classification without dimensionality
63 reduction achievable, as done in [11], [18], [21] and [?]. However, the need to increase classification
64 performance forces researchers to use data with more features that favor and aid the classification of
65 various classes, which are difficult to differentiate with little spectral data. Thus, more recent researches
66 have decided to use hyperspectral images with tensor decompositions, which has increased the results
67 in classification accuracy [26], [27], [29], [?] and [?].

68 Recently, Sayeh et al. [?] published a work close to our research. They proposed a non-negative
69 tensor decomposition of hyperspectral images but, different to our research, they try to preserve certain
70 spatial-spectral features into the so called abundance maps, i.e. the projection matrices, while this work
71 pursues to preserve the nature of the image just compressing the main information in the positive core
72 tensor.

73 Table 1 summarizes some of the most cited related papers, which deal with the
74 compression-classification issue.

Table 1. Related work in spectral imagery semantic segmentation.

Reference	Input	Decomposition	Reduction	Classifier
Li, S. et al. [23] (2014)	HSI	-	Band selection	SVM
Zhang, L. et al. [24] (2015)	HSI	TKD	Spatial-Spectral	-
Wan, Q. et al. [22] (2016)	HSI	-	Band selection	SVM/kNN/CART
Kemker, R. et al. [11] (2017)	MSI	-	-	CNN
Tong L. et al. [] (2017)	HSI	NMF	Unmixing	-
Hamida, A. et al. [21] (2017)	MSI	-	-	CNN
Chien, J. et al. [] (2017)	RGB	TFNN	Spatial-Spectral	TFNN
Dewa, M. et al. [] (2018)	HSI	PCA	Spectral	PCA
Xu, Y. et al. [] (2018)	HSI	-	-	CNN
Li, J. et al. [28] (2019)	MSI	NTD-CNN	Spatial-spectral	-
An, J. et al. [27] (2019)	HSI	T-MLRD	Spatial-spectral	SVM/1NN
An, J. et al. [29] (2019)	HSI	TDA	Spatial-spectral	SVM/1NN
Lopez, J. et al. [] (2019)	MSI	TKD	Spectral	FCN
Sayeh, M. et al. [] (2019)	HSI	NTD	Spatial-Spectral	3D-CNN
Our framework	MSI/HSI	NTKD	Spectral	CNN

75 1.2. Contribution

76 In the state of the art we can find a variety of frameworks looking for dimensionality reduction
 77 of images of any type, that is, RGB [?], medical [?], SAR [?], multispectral [?], among others.
 78 In particular, the large number of spectral bands in hyperspectral images has focused efforts in this
 79 category [?]. Spatial [?], spectral [?] and spatial-spectral [?] compression have been achieved with
 80 matrix and tensor decompositions. It is important to highlight that, a decomposition as pre-processing
 81 for a classification algorithm, instead of favoring, could be counterproductive and greatly affect its
 82 performance. It is therefore important to make a proper selection of the type of decomposition that
 83 would produce a suitable data set for post-processing.

84 Unlike previous works, this work seeks to adapt the data in the best way to be the input of deep
 85 convolutional networks. Convolutional network models are designed to extract and interpret all the
 86 spatial properties of an image by moving the kernels over the input data []. Therefore, producing
 87 uncorrelated data in space and spectrum, would make harder the interpretation of the data in the
 88 convolutional network [?]. Thus, the proposed framework maintains the positive tensor nature of
 89 the spectral images and the spatial dimensionality to preserver spatial-spectral correlation of the data
 90 while reducing the spectral dimensionality, in order to decrease computational load in the pixel-wise
 91 classification process.

92 We can summarize the contribution of this work with the following two points:

- 93 1. The framework NTKD3-CNN proposed in this work, develops a new strategy to improve
 94 accuracy results of semantic segmentation convolutional neural networks by finding suitable
 95 tensor data, preserving spatial correlation and values in the set of the natural numbers while
 96 compressing the spectral domain and in turn decreasing computational load.
- 97 2. This work also presents an exhaustive performance analysis measuring and comparing its
 98 efficiency with the most popular metrics, i.e., as pixel accuracy (PA), also PA in function of the
 99 number of new tensor bands, precision, recall, F1, orthogonality degree of the factor matrices
 100 and the core tensor, reconstruction error of the original tensor, and execution time.

101 The remainder of this work is organized as follows. Section ?? introduces tensor algebra notation
 102 and basic concepts to familiarize the reader with the symbology used in this paper. Section ?? presents
 103 the problem statement of this work and the mathematical definition. In Section 4, CNN theory is
 104 described for classification and semantic segmentation. Section ?? presents the framework proposed
 105 for compression and semantic segmentation of spectral images. Experimental results are presented in
 106 Section ???. Finally, Sections ?? and 8 present a discussion and conclusions based on the results obtained
 107 in the experiments.

108 2. Tensor-Based Factorizations

109 Matrix-based factorizations, such as PCA [] and SVD [] have been significant and useful tools for
 110 dimensionality reduction and other approaches. Nevertheless, they are limited by representations of
 111 data in two modes. Most of current applications have data structures often as higher-order arrays, e.g.
 112 dimensions of space, time, and frequency. This 2-way view in matrix factorizations may be inadequate
 113 and it is natural to use tensor decomposition approaches [?].

114 We can define a tensor as a multi-way or multidimensional array. The order of a tensor is the
 115 number of dimensions, also known as modes, i.e., an N -order tensor $\mathbf{X} \in \mathbb{R}^{I_1 \times I_2 \times \dots \times I_N}$ is an N -dimesional
 116 array, which elements x_{i_1, i_2, \dots, i_N} are indexed by $i_n \in 1, 2, \dots, I_n$ for $1 \leq n \leq N$.

117 Throughout this paper, the mathematical notation used by Kolda et al. [17] has been adopted.
 118 Table 2 summarize this notation.

Table 2. Tensor algebra notation summary

$\mathbf{A}, \mathbf{A}, \mathbf{a}, a$	Tensor, matrix, vector and scalar respectively
$\mathbf{A} \in \mathbb{R}^{I_1 \times \dots \times I_N}$	N -order tensor of size $I_1 \times \dots \times I_N$.
$a_{i_1 \dots i_N}$	An element of a tensor
$\mathbf{a}_{:i_2:i_3}, \mathbf{a}_{i_1::i_3},$ and $\mathbf{a}_{i_1:i_2::}$	Column, row and tube fibers of a third order tensor
$\mathbf{A}_{i_1::}, \mathbf{A}_{:i_2::}, \mathbf{A}_{::i_3::}$	Horizontal, lateral and frontal slices for a third order tensor
$\mathbf{A}^{(n)}, \mathbf{a}^{(n)}$	A matrix/vector element from a sequence of matrices/vectors
$\mathbf{A}_{(n)}$	Mode- n matricization of a tensor. $\mathbf{A}_{(n)} \in \mathbb{R}^{I_n \times \prod_{m \neq n} I_m}$
$\mathbf{X} = \mathbf{a}^{(1)} \circ \dots \circ \mathbf{a}^{(N)}$	Outer product of N vectors, where $x_{i_1 i_2 \dots i_N} = a_{i_1}^{(1)} \dots a_{i_N}^{(N)}$
$\langle \mathbf{A}, \mathbf{B} \rangle$	Inner product of two tensors.
$\mathbf{B} = \mathbf{A} \times_n \mathbf{U}$	n -mode product of tensor $\mathbf{A} \in \mathbb{R}^{I_1 \times \dots \times I_N}$ by a matrix $\mathbf{U} \in \mathbb{R}^{J \times I_n}$ along axis n .

119 2.1. Basic concepts

120 It is also necessary to introduce some tensor algebra operations and basic concepts used in later
 121 explanations. These notations were taken textually from [17].

122 2.1.1. Matricization

123 The mode- n matricization is the process of reordering the elements of a tensor into a matrix along
 124 axis n and it is denoted as $\mathbf{A}_{(n)} \in \mathbb{R}^{I_n \times \prod_{m \neq n} I_m}$.

125 2.1.2. Outer Product

126 The outer product of N vectors $\mathbf{X} = \mathbf{a}^{(1)} \circ \dots \circ \mathbf{a}^{(N)}$ produces a tensor $\mathbf{X} \in \mathbb{R}^{I_1 \times \dots \times I_N}$
 127 where \circ denotes the outer product and $\mathbf{a}^{(n)}$ denotes a vector in a sequence of N vectors
 128 and each element of the tensor is the product of the corresponding vector elements; i.e.,
 129 $x_{i_1 i_2 \dots i_N} = a_{i_1}^{(1)} \dots a_{i_N}^{(N)}$.

130 2.1.3. Inner Product

131 The inner product of two tensors $\mathbf{A}, \mathbf{B} \in \mathbb{R}^{I_1 \times \dots \times I_N}$ is the sum of the products of their entries;
 132 i.e., $\langle \mathbf{A}, \mathbf{B} \rangle = \sum_{i_1=1}^{I_1} \dots \sum_{i_N=1}^{I_N} a_{i_1 \dots i_N} b_{i_1 \dots i_N}$.

133 2.1.4. N -Mode Product

134 It means the multiplication of a tensor $\mathbf{A} \in \mathbb{R}^{I_1 \times \dots \times I_N}$ by a matrix $\mathbf{U} \in \mathbb{R}^{J \times I_n}$ or vector $\mathbf{u} \in \mathbb{R}^{I_n}$ in
 135 mode n ; i.e., along axis n . It is represented by $\mathbf{B} = \mathbf{A} \times_n \mathbf{U}$, where $\mathbf{B} \in \mathbb{R}^{I_1 \times \dots \times I_{n-1} \times J \times I_{n+1} \times \dots \times I_N}$ [17].

136 2.1.5. Rank-One Tensor

137 A tensor $\mathbf{X} \in \mathbb{R}^{I_1 \times \dots \times I_N}$ is rank one if it can be written as the outer product of N vectors;
 138 i.e., $\mathbf{X} = \mathbf{a}^{(1)} \circ \dots \circ \mathbf{a}^{(N)}$.

¹³⁹ 2.1.6. Rank-R Tensor

¹⁴⁰ The rank of a tensor \mathfrak{X} is the smallest number of components in a CPD; i.e., the smallest
¹⁴¹ number of rank-one tensors that generate \mathfrak{X} as their sum [17].

¹⁴² 2.1.7. N-Rank

¹⁴³ The n -rank of a tensor $\mathfrak{X} \in \mathbb{R}^{I_1 \times \dots \times I_N}$ denoted $\text{rank}_n(\mathfrak{X})$, is the column rank of $\mathbf{X}_{(n)}$; i.e., the
¹⁴⁴ dimension of the vector space spanned by the mode- n fibers. Hence, if $R_n \equiv \text{rank}_n(\mathfrak{X})$ for $n = 1, \dots, N$,
¹⁴⁵ we can say that \mathfrak{X} has a rank – (R_1, \dots, R_N) tensor.

¹⁴⁶ 2.2. Tucker Decomposition (TKD)

¹⁴⁷ The TKD [17], for the particular case of third-order tensors, can be formally formulated as follows
¹⁴⁸ [?]. Given a third-order data tensor $\mathfrak{X} \in \mathbb{R}^{I_1 \times I_2 \times I_3}$ and three positive indices J_1, J_2 and J_3 , find a core
¹⁴⁹ tensor $\mathfrak{G} \in \mathbb{R}^{J_1 \times J_2 \times J_3}$ and three component matrices called factor matrices $\mathbf{U}_1 \in \mathbb{R}^{I_1 \times J_1}$, $\mathbf{U}_2 \in \mathbb{R}^{I_2 \times J_2}$
¹⁵⁰ and $\mathbf{U}_3 \in \mathbb{R}^{I_3 \times J_3}$ which perform the following approximate decomposition:

$$\mathfrak{X} = \mathfrak{G} \times_1 \mathbf{U}^{(1)} \times_2 \mathbf{U}^{(2)} \times_3 \mathbf{U}^{(3)} + \mathcal{E} \quad (1)$$

¹⁵¹ where \mathcal{E} denotes the approximation error. The core tensor \mathfrak{G} preserves the level of interaction for each
¹⁵² factor or projection matrix $\mathbf{U}^{(n)}$. The factor matrices are commonly considered orthogonal, but in
¹⁵³ Tucker models with non-negativity constraints, that is not necessarily imposed [?]. These matrices
¹⁵⁴ can be seen as the principal components in each mode [17] (see Figure 1). J_n represents the number of
¹⁵⁵ components in the decomposition; i.e., the rank – (R_1, R_2, R_3) .

¹⁵⁶ We can also denote the TKD using the matricization approach and express it by

$$\mathbf{X}_{(1)} = \mathbf{U}^{(1)} \mathbf{G}_{(1)} (\mathbf{U}^{(3)} \otimes \mathbf{U}^{(2)})^T \quad (2a)$$

$$\mathbf{X}_{(2)} = \mathbf{U}^{(2)} \mathbf{G}_{(2)} (\mathbf{U}^{(3)} \otimes \mathbf{U}^{(1)})^T \quad (2b)$$

$$\mathbf{X}_{(3)} = \mathbf{U}^{(3)} \mathbf{G}_{(3)} (\mathbf{U}^{(2)} \otimes \mathbf{U}^{(1)})^T \quad (2c)$$

¹⁵⁷ where \otimes denotes the Kronecker product and $\mathbf{X}_{(n)}$ and $\mathbf{G}_{(n)}$ are the n -mode matricized versions of
¹⁵⁸ tensor \mathfrak{X} and \mathfrak{G} respectively.

¹⁵⁹ Starting from (1), the reconstruction of an approximated tensor can be given by

$$\hat{\mathfrak{X}} = \mathfrak{G} \times_1 \mathbf{U}^{(1)} \times_2 \mathbf{U}^{(2)} \times_3 \mathbf{U}^{(3)} \quad (3)$$

¹⁶⁰ where $\hat{\mathfrak{X}}$ is the reconstructed tensor.

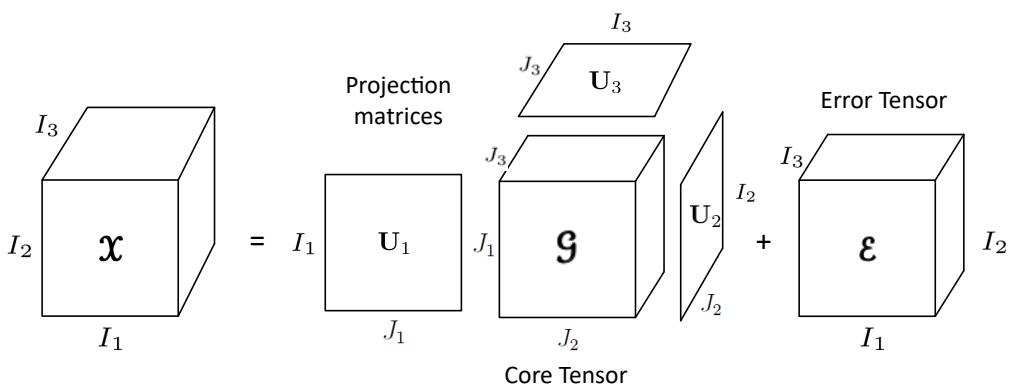


Figure 1. Tucker decomposition for a third-order tensor.

¹⁶¹ Then, we can acquire the core tensor \mathfrak{G} by the multilinear projection

$$\mathbf{G} = \mathbf{X} \times_1 \mathbf{U}^{(1)\text{T}} \times_2 \mathbf{U}^{(2)\text{T}} \times_3 \mathbf{U}^{(3)\text{T}} \quad (4)$$

162 where $\mathbf{U}^{(n)\text{T}}$ denotes the transpose matrix of $\mathbf{U}^{(n)}$ for
 163 $n = 1, \dots, N$. The reconstruction error ξ can be computed as

$$\xi(\hat{\mathbf{X}}) = \|\mathbf{X} - \hat{\mathbf{X}}\|_F^2 \quad (5)$$

164 and $\|\cdot\|_F$ represents the Frobenius norm. To compute the best rank approximation of a tensor, it is
 165 required an iterative algorithm. HOSVD, ALS and HOOI are algorithms commonly used in TKD [?].

166 HOOI initializes the factors matrices using HOSVD and assumes that orthogonal matrices are
 167 known, so that the core tensor is obtained with (4). Then, it maximizes the cost function

$$\max_{\mathbf{U}^{(1)}, \mathbf{U}^{(2)}, \mathbf{U}^{(3)}} \|\mathbf{X} \times_1 \mathbf{U}^{(1)\text{T}} \times_2 \mathbf{U}^{(2)\text{T}} \times_3 \mathbf{U}^{(3)\text{T}}\|_F^2 \quad (6)$$

168 with $\mathbf{U}^{(n)}$ unknown. Fixing all factor matrices but one, tensor \mathbf{X} can be projected onto the
 169 $\{R_1, \dots, R_{n-1}, R_{n+1}, \dots, R_N\}$ -dimensional space as

$$\mathbf{W}^{(-n)} = \mathbf{X} \times_1 \mathbf{U}^{(1)\text{T}} \dots \times_{n-1} \mathbf{U}^{(n-1)\text{T}} \times_{n+1} \mathbf{U}^{(n+1)\text{T}} \dots \times_N \mathbf{U}^{(N)\text{T}} \quad (7)$$

170 and the orthogonal matrices can be estimated as an orthonormal basis for the dominant subspace of
 171 the projection by applying the standard matrix SVD for n -mode unfolded matrix $\mathbf{W}_{(n)}^{(-n)}$ for $n = 1, 2, 3$
 172 [?].

173 2.2.1. Non-negative Tucker Decomposition (NTD)

174 The NTD is a Tucker decomposition with nonnegativity constraints, which develops a new tensor
 175 factorization method []. Thus, for the third-order case, the NTD can be formulated as follows. Given a
 176 third-order tensor $\mathbf{X} \in \mathbb{R}_+^{I_1 \times I_2 \times I_3}$ find a core tensor $\mathbf{G} \in \mathbb{R}_+^{I_1 \times I_2 \times I_3}$ and the factor matrices $\mathbf{U}_1 \in \mathbb{R}_+^{I_1 \times J_1}$,
 177 $\mathbf{U}_2 \in \mathbb{R}_+^{I_2 \times J_2}$ and $\mathbf{U}_3 \in \mathbb{R}_+^{I_3 \times J_3}$ which performs the approximation given in Eq. (1). The TKD method is
 178 similarly followed for the NTD.

179 The HOOI algorithm can be applied for the particular case of third-order tensor. Furthermore,
 180 it can be slightly adjusted for preserving any input dimension and develop the decomposition in a
 181 specific order. Algorithm 1 shows the HOOI algorithm for a NTD.

182 **Algorithm 1:** HOOI algorithm to compute a rank- (R_1, \dots, R_N) NTD for an N th-order tensor
 $\mathbf{X} \in \mathbb{R}^{I_1 \times \dots \times I_N}$.

183 **Function** HOOI($\mathbf{X}, J_1, \dots, J_N$):
 initialize $\mathbf{U}^{(n)} \in \mathbb{R}^{I_n \times J_n}$ for $n = 1, \dots, N$ using HOSVD or random
repeat
 for $n = 1, \dots, N$ do
 $\mathbf{W}^{(-n)} \leftarrow \mathbf{X} \times_{-n} \{\mathbf{U}^T\}$
 $[\mathbf{U}^{(n)}, \Sigma^{(n)}, \mathbf{V}^{(n)}] \leftarrow \text{svds}(\mathbf{W}_{(n)}^{(-n)}, J_n, 'LM')$
 $\mathbf{U}^{(n)} \leftarrow [\mathbf{U}^{(n)}]_+$
end
until fit ceases to improve or maximum iterations exhausted;
 $\mathbf{G} \leftarrow \mathbf{W}^{(-N)} \times_N \mathbf{U}^{(N)\text{T}}$
Output: $\mathbf{U}^{(n)} \in \mathbb{R}_+^{I_n \times J_n}$, $\mathbf{G} \in \mathbb{R}_+^{J_1 \times J_2 \times \dots \times J_N}$

¹⁸⁴ **3. Problem phenomenology**

¹⁸⁵ **3.1. Spectral Imagery**

¹⁸⁶ Multi- or Hyper-spectral images are by nature multidimensional nonnegative arrays. A spectral
¹⁸⁷ image can be sorted and represented as a third-order tensor $\mathbf{X} \in \mathbb{R}_+^{I_1 \times I_2 \times I_3}$, where I_1 , I_2 and I_3 represent
¹⁸⁸ its height, width and spectral bands respectively. In RS image processing, spectral images are frequently
¹⁸⁹ used for classification of different material in a scene of interest. However, due to the low spatial
¹⁹⁰ resolution produced by the distance between the sensor and the target, spatial features are not sufficient
¹⁹¹ to discern certain classes. That is why spectral resolution plays an important role in this type of task.

¹⁹² The separation into spectral bands allows perception of reflectance at different wavelengths. This
¹⁹³ helps to better characterize various materials, in order to simplify the process of discernment between
¹⁹⁴ classes. The effort to obtain these spectral features generates a greater amount of data, which increases
¹⁹⁵ the processing complexity. This is where the spectral decomposition task becomes relevant.

¹⁹⁶ **3.2. Problem Statement**

¹⁹⁷ Given a Spectral Image as a third-order tensor $\mathbf{X} \in \mathbb{R}^{I_1 \times I_2 \times I_3}$, and its corresponding pixelwise
¹⁹⁸ classification ground truth matrix $\mathbf{Y} \in \mathbb{R}^{I_1 \times I_2}$ for a specific number of classes C , find, through
¹⁹⁹ Non-negative Tensor Decomposition, the best rank- (R_1, R_2, R_n) approximation and its respective
²⁰⁰ core tensor $\mathbf{G} \in \mathbb{R}^{I_1 \times I_2 \times I_3}$, where $R_1 = I_1$, $R_2 = I_2$ and $R_3 = I_3 << I_3$, to be the input of a pixel-wise
²⁰¹ classification Convolutional Neural Network and produce an output matrix $\hat{\mathbf{Y}}$ of predicted classes,
²⁰² achieving competitive performance metrics for pixel-wise classification while decreasing computational
²⁰³ load in the classification process.

²⁰⁴ **3.3. Mathematical Definition**

²⁰⁵ We can mathematically define the problem statement described above as an optimization problem.

$$\begin{aligned} \min_{\mathbf{G}, \mathbf{U}^{(1)}, \mathbf{U}^{(2)}, \mathbf{U}^{(3)}} \quad & \|\mathbf{X} - \mathbf{G} \times_1 \mathbf{U}^{(1)} \times_2 \mathbf{U}^{(2)} \times_3 \mathbf{U}^{(3)}\|_F^2 \\ \text{subject to} \quad & \mathbf{U}^{(n)} \in \mathbb{R}_+^{I_n \times J_n} \quad \text{for } n = 1, 2, 3 \quad \text{and} \quad \mathbf{G} \in \mathbb{R}_+^{I_1 \times I_2 \times I_3} \\ & J_1 = I_1, J_2 = I_2 \quad \text{no compression in the spatial domain,} \\ & J_3 << I_3 \quad \text{reduced spectral domain at the core tensor,} \\ & \xi(\hat{\mathbf{X}}) \rightarrow 0 \quad \text{and} \quad \text{PA} \geq \psi \quad \text{competitive pixel accuracy up to a threshold} \end{aligned} \quad (8)$$

²⁰⁶ **4. Deep Convolutional Neural Networks (DCNNs)**

CNNs are supervised feed-forward DL-ANNs for computer vision. The idea of applying a sort of convolution of the synaptic weights of a neural network through the input data yields to a preservation of spatial features, which alleviates the hard task of classification and in turn semantic segmentation. This type of ANN works under the same linear regression model as every machine learning (ML) algorithm. Since images are three dimensional arrays, we can use tensor algebra notation to describe the input of CNNs as a tensor $\mathbf{A} \in \mathbb{R}^{I_1 \times I_2 \times I_3}$, where I_1 , I_2 , and I_3 represent height, width, and depth of the third order array respectively; i.e., the spatial and spectral domain of an image. We can write generally the linear regression model used for ANNs as

$$\hat{\mathbf{y}} = \sigma(\mathbf{W}\mathbf{g} + \mathbf{b}) \quad (9)$$

where $\hat{\mathbf{y}}$ represents the output prediction of the network; σ denotes an activation function; \mathbf{g} is the input dataset; \mathbf{W} and \mathbf{b} are the matrix of synaptic weights and the bias vector, respectively. These parameters are adjustable; i.e., their values are modified every iteration looking for convergence to

minimize the loss in the prediction through optimization algorithms [32]. For simplicity, the bias vector can be ignored, assuming that matrix \mathbf{W} will update until convergence independently of another parameter [32]. Considering that the input dataset to a CNN is a multidimensional array, we can represent (??) and (9) using tensor algebra notation as

$$\hat{\mathbf{y}} = \sigma(\mathbf{WG}) \quad (10)$$

where $\hat{\mathbf{y}}$ represents the prediction output tensor of the ANN (in our case, a second order tensor or matrix $\hat{\mathbf{Y}}$), \mathbf{G} is the input dataset, and \mathbf{W} is a $K_1 \times K_2 \times F_1$ tensor called filter or kernel with the adaptable synaptic weights. Different to conventional ANN, in CNNs, \mathbf{W} is a shiftable square tensor is much smaller in height and width than the input data, i.e., $K_1 = K_2$ and $K_s \ll I_s$ for $s = 1, 2$; F_1 denotes the number of input channels; i.e., $F_1 = I_3$. For hidden layers, instead of the prediction tensor $\hat{\mathbf{y}}$, the output is a matrix called activation map $\mathbf{M} \in \mathbb{R}^{I_1 \times I_2}$, which preserves features from the original data in each domain. Actually, it is necessary to use much kernels $\mathbf{W}^{(f_2)}$ as activation maps, with different initialization values to preserve diverse features of the image. Hence, we can also define activation maps as a tensor $\mathbf{M} \in \mathbb{R}^{I_1 \times I_2 \times F_2}$ where F_2 denotes the number of activation maps produced by each filter (see Figure 2). Kernels are displaced through the whole input image as a discrete convolution operation. Then, each element of the output activation map $m_{i_1 i_2 f_2}$ is computed by the summary of the Hadamard product of kernel $\mathbf{W}^{(f_2)}$ and a subtensor from the input tensor \mathbf{G} centered in position (i, j) and with same dimensions of \mathbf{W} , as follows

$$m_{i_1 i_2 f_2} = \sigma \left[\sum_{k_1=1}^{K_1} \sum_{k_2=1}^{K_2} \sum_{f_1=1}^{F_1} w_{k_1, k_2, f_1} g_{i_1+k_1-o_1, i_2+k_2-o_2, f_1} \right] \quad (11)$$

where $m_{i_1 i_2 f_2}$ denotes the value of the output activation map f_2 at position i_1, i_2 ; σ represents the activation function; and o_1 and o_2 are offsets in spatial dimensions which depend on the kernel size, and equal $\frac{K_1+1}{2}$ and $\frac{K_2+1}{2}$ respectively (see Figure 2).

210

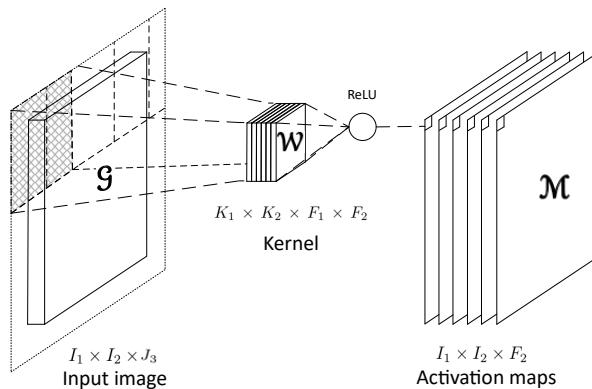


Figure 2. Convolutional layer with a $K_1 \times K_2 \times F_1 \times F_2$ kernel. Input channels F_1 must equal the spectral bands J_3 . To preserve original dimensions at the output, zero padding is needed [18]. Output dimensions also depend on stride $S = 1$ to consider every piece of pixel information and to preserve original dimensions.

An ANN is trained by using iterative gradient-based optimizers, such as Stochastic gradient descent, Momentum, RMSprop, and Adam [32]. This drive the cost function $L(\mathbf{W})$ to a very low value by updating the synaptic weights \mathbf{W} . We can compute the cost function by any function that measures the difference between the training data and the prediction, such as Euclidean distance or cross-entropy [10]. Besides, the same function is used to measure the performance of the model during

testing and validation. In order to avoid overfitting [32], the total cost function used to train an ANN combines one of the cost functions mentioned before, plus a regularization term.

$$J(\mathbf{W}) = L(\mathbf{W}) + R(\mathbf{W}), \quad (12)$$

where $J(\mathbf{W})$ denotes the total cost function and $R(\mathbf{W})$ represents a regularization function. Then, we can decrease $J(\mathbf{W})$ by updating the synaptic weights in the direction of the negative gradient. This is known as the method of steepest descent or gradient descent.

$$\mathbf{W}' = \mathbf{W} - \phi \nabla_{\mathbf{W}} J(\mathbf{W}), \quad (13)$$

where \mathbf{W}' represents the synaptic weights tensor in next iteration during training, ϕ denotes the learning rate parameter, and $\nabla_{\mathbf{W}} J(\mathbf{W})$ the cost function gradient. Gradient descent converges when every element of the gradient is zero, or in practice, very close to zero [10].

CNNs has been successfully used in many image classification frameworks. This variation in architecture from other typical ANN models yields the network to learn spatial and spectral features, which are highly profitable for image classification. Besides, FCNs, constructed with only convolutional layers are able to classify each element of the input image; i.e., they yield pixel-wise classification, or in other words, semantic segmentation.

5. Methodology

The following subsections described the methodology followed for the framework propose in this work. We can summarize the big picture in three steps: the HSI modeling, the tensor decomposition, the classifier and the decision making.

5.1. Tensor modeling

Consider an input dataset $\mathbf{X} \in \mathbb{N}^{I_1 \times I_2 \times I_3}$ with $I_1 \times I_2 \times I_3$ samples in the space of the natural numbers \mathbb{N} , where a fiber $\mathbf{x}_{i_1 i_2}$ represents the spectra or endmember of pixel $i_1 i_2$ and can be represented by the Linear Mixing Model (LMM) as follows

$$\mathbf{x}_{i_1 i_2} = \sum_{c=1}^C (\alpha_{i_1 i_2 c} \mathbf{m}_c + \boldsymbol{\eta}) \quad (14)$$

where α_c is the contribution of material c at pixel $i_1 i_2$, \mathbf{m}_c denotes the endmember of a specific material c , and $\boldsymbol{\eta}$ represents an additive noise vector. The abundance vectors $\alpha_{i_1 i_2}$ must always satisfy two constraints, i) the non-negativity, $\alpha_{i_1 i_2 c} \geq 0$ for all $c = 1, \dots, C$, and ii) the sum-to-one restriction, $\sum_{c=1}^C \alpha_{i_1 i_2 c} = 1$. Figure 3a shows the spectral signatures for the Indian Pines dataset.

5.2. Tensor factorization

Consider $\mathbf{Y} \in \mathbb{C}^{I_1 \times I_2}$ as the matrix of actual classes corresponding to our dataset \mathbf{X} , and $\hat{\mathbf{Y}} \in \mathbb{C}^{I_1 \times I_2}$ as the prediction matrix, where \mathbb{C} defines the set of C different classes. In order to reduce data dimensionality of the input dataset \mathbf{X} while keeping classifier performance, we propose to use the restricted NTD denoted as \mathcal{T} , producing a core tensor $\mathbf{G} \in \mathbb{R}^{I_1 \times I_2 \times J_3}$ and n factors matrices $\mathbf{U}^{(n)} \in \mathbb{R}^{I_n \times J_n}$, expressed as

$$\mathbf{X} \xrightarrow{\mathcal{T}} (\mathbf{G}, \mathbf{U}^{(n)}) \quad (15)$$

where the decomposition is restricted to preserve the spatial domain and to be only in the 3rd-mode by the Tucker1 model

$$\mathbf{X} = \mathbf{G} \times_1 \mathbf{I} \times_2 \mathbf{I} \times_3 \mathbf{U}^{(3)} \quad (16)$$

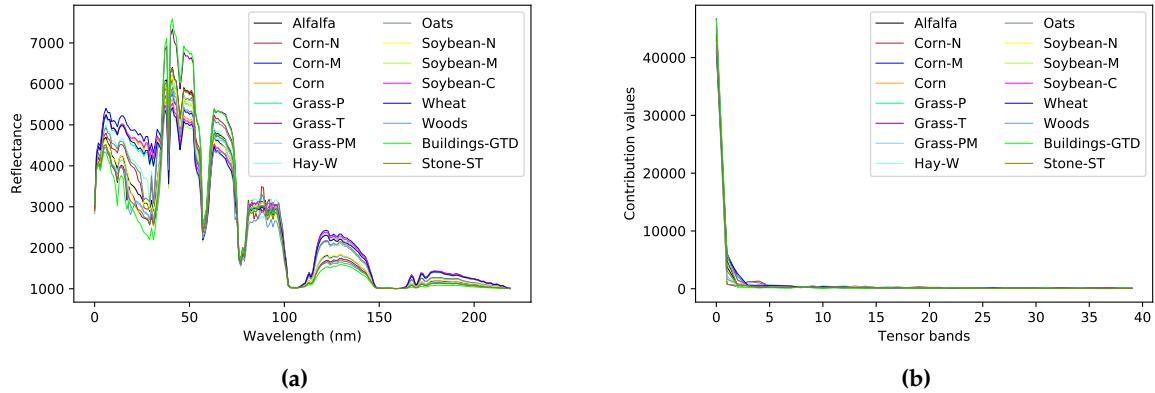


Figure 3. Behavior of the 16 classes of the Indian Pines dataset, a) in the spectral domain (spectral signatures) and b) in the tensor bands domain.

Hence, each fiber $\mathbf{x}_{i_1 i_2}$ of the core tensor takes a new representation in the tensor bands domain and can be mathematically defined as follows

$$\mathbf{g}_{i_1 i_2} = \sum_{c=1}^C (\beta_{i_1 i_2 c} \mathbf{s}_c + \boldsymbol{\eta}) \quad (17)$$

where β_c is the contribution of material c at pixel $i_1 i_2$ and \mathbf{s}_c denotes the endmember of a specific material c . We can see in Figure 3b the new tensor bands values for each class.

We also propose a variant of the NTD that does an integer decomposition, i.e., the Integer Non-negative Tucker decomposition (INTD). The INTD follows the same Tucker model described in Section 2.2. It considers the additional restriction of decomposing a tensor in the set of the natural numbers.

5.3. Classifier

The tensor decompositions generates a core tensor where the first tensor bands provide the most of the information to differentiate the classes of interest from the input dataset. Then, the core tensor $\mathcal{G} \in \mathbb{N}^{I_1 \times I_2 \times J_3}$, with $J_3 < I_3$, and its corresponding ground truth \mathbf{Y} form the input tuple of the classifier Θ , which produce a predicted label for each element of the input, i.e.,

$$(\mathcal{G}, \mathbf{Y}) \xrightarrow{\Theta} \hat{\mathbf{Y}} \quad (18)$$

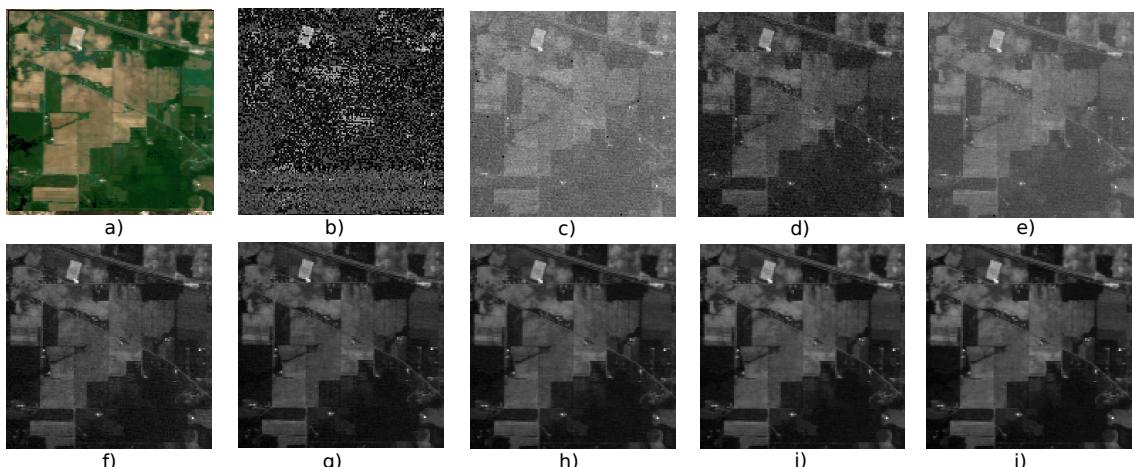


Figure 4. Indian Pines dataset a) True color image b) - j) 1st to 9th spectral band.

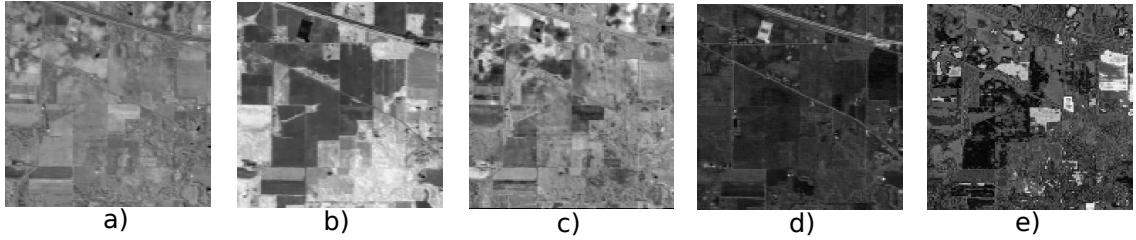


Figure 5. TKD tensor bands of the Indian Pines dataset a) - e) 1st to 5th tensor band.

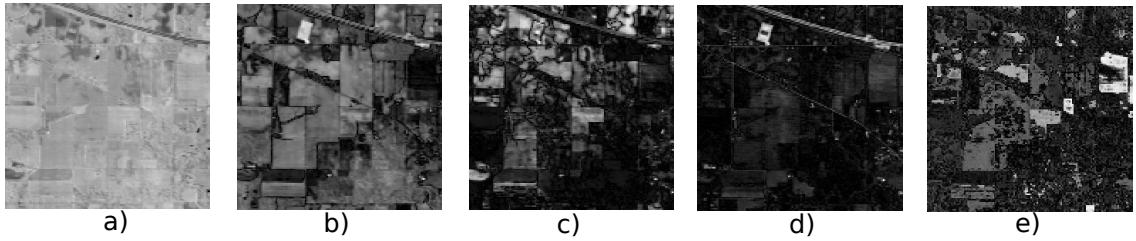


Figure 6. NTD tensor bands of the Indian Pines dataset a) - e) 1st to 5th tensor band.

250 The performance of our classification model can be measured by the cross-entropy loss, whose
251 output is a probability value. The cross-entropy loss increases as the predicted probability diverges
252 from the actual label and it is computed as

$$J(\mathbf{W}) = -\mathbb{E}_{\mathbf{g}, \mathbf{Y} \sim p} \log p(\mathbf{Y}|\mathbf{g}) \quad (19)$$

253 where $J(\mathbf{g})$ represents the loss function. For a multiclass probability distribution, the cross entropy
254 cost function can be written as

$$H(y, p) = - \sum_{c=1}^C y_c \log(p_c) \quad (20)$$

255 where $H(y, p)$ denotes the cross entropy of targets y with a probability p .

256 We use the softmax function as the output of our classifier, to represent the probability distribution
257 over C different classes. Formally, the softmax function is given by

$$\delta(\mathbf{z})_c = \frac{e^{z_c}}{\sum_{l=1}^L e^{z_l}} \quad (21)$$

258 where $\delta(\mathbf{z})_c$ denotes the softmax function of vector \mathbf{z} , which is each 3rd-mode fiber of the activation
259 maps at the last convolutional layer. Hence, the softmax function produces a normalized probability
260 distribution for every input pixel, which can be seen as the contribution parameter in the LMM Eq. 14.

261 In this paper, we aim to feed supervised classifiers based on 3D-CNN, with a lower dimensionality
262 tensor than the original dataset. This has three particular motivations: 1) to avoid overfitting the
263 DCNN, 2) to reduce the computational complexity, and 3) keep the classifier performance while
264 reducing the execution time. Figure 7 shows the big picture of the framework proposed.

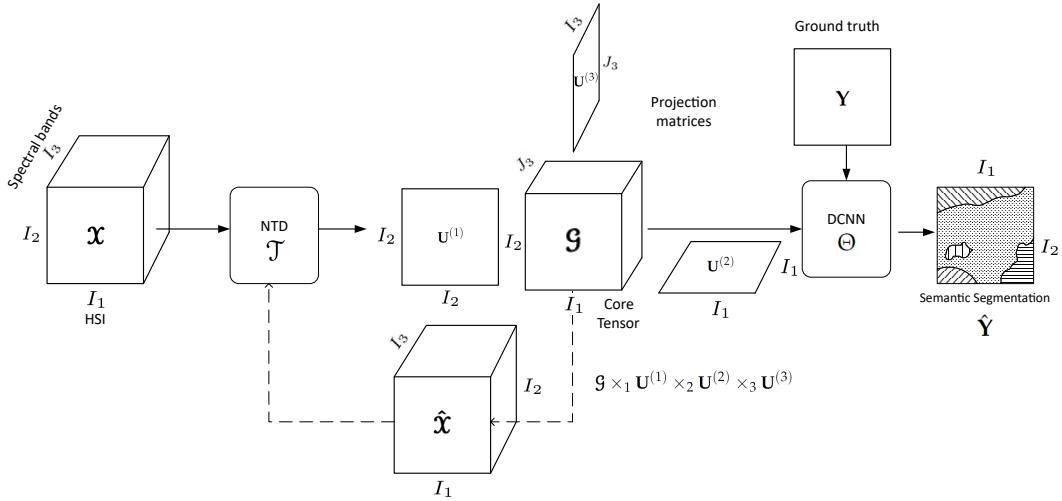


Figure 7. Big picture of the framework proposed.

265 5.4. Decomposition analysis

266 Our proposed framework faces two main challenges. The first is the selection of the decomposition
 267 method. We are looking for the best representation of the input dataset for a 3D-CNN, so, we limit
 268 the set of methods to those that produce a decomposition tensor with the same structure as the input
 269 tensor. TKD, NTD and the INTD proposed generate a core tensor with the desired properties.

270 The second challenge is the search for the rank – (J_1, J_2, J_3). As we want to preserve the spatial
 271 domain $J_1 = I_1$ and $J_2 = I_2$, but J_3 has to be selected so that the performance of the classifier does not
 272 decrease considerably. Both decisions are made under a criterion under the probabilistic point of view.

273 The Kullback-Leibler divergence is a metric for quantifying the difference between the probability
 274 distributions of the original MSI X and the core tensor G as

$$D_{KL}(X\|G) = \sum_{i=1}^I p_i(x) \log \frac{p_i(x)}{g_i(x)} \quad (22)$$

275 where $D_{KL}(X\|G)$ represents the KL divergence of the two probability distributions. Figure 8a shows
 276 the results of this metric for the three decomposition used in this work.

277 Besides, a symmetric version of the KL divergence is used, the Jensen Shanon divergence. This is
 278 another method of measuring the similarity between two probability distributions. Defining $M = \frac{X+G}{2}$,
 279 we can write the JS divergence as

$$D_{JS}(X\|G) = \frac{1}{2}D_{KL}(X\|M) + \frac{1}{2}D_{KL}(G\|M) \quad (23)$$

280 where $D_{JS}(X\|G)$ represents the JS divergence of the probability distributions X and G . Figure 8b
 281 shows the JS divergence for the TKD, NTD and INTD.

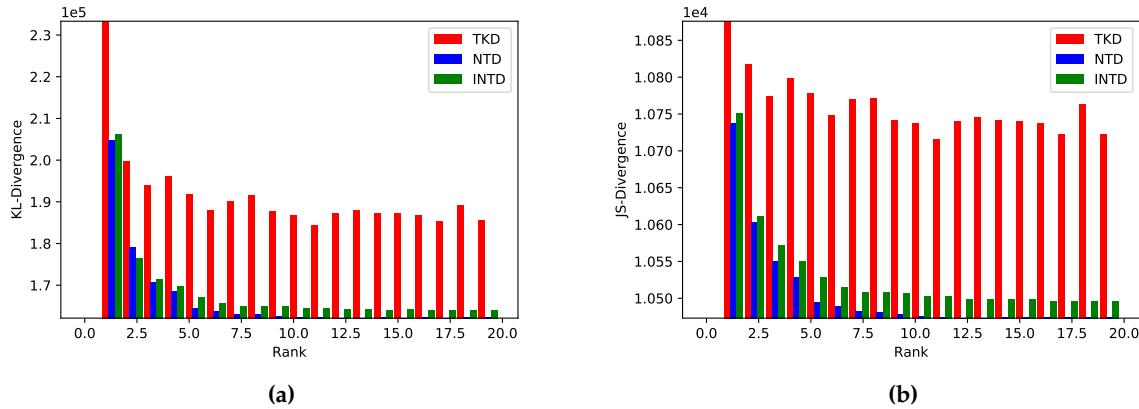


Figure 8. Divergences between the input dataset and the core tensor generated by TKD, NTD and INTD, a) KL-divergence and b) JS-divergence.

282 6. Experimental Results

283 6.1. Input Data

284 For this work, we chose three of the most popular multi- and hyperspectral dataset for
285 classification.

286 6.1.1. Sentinel-2

287 This dataset developed by Lopez et al. [?] is composed of RS Sentinel-2 scenarios from central
288 Europe. It has 100 scenarios for the training space and 10 scenarios for testing, all of them with
289 128×128 pixels with spatial resolution of $20m^2$ and 9 spectral bands in the range $490 - 2190nm$.
290 The labels are semi-manually assigned for five classes of interest: vegetation, soil, water, clouds and
291 shadows. Data are available in the link [Sentinel-2 Dataset](#).

Table 3. Average of contribution per class in Sentinel-2 dataset.

Class	Dataset (%)	Train (%)	Test (%)
Soil	23.58	22.87	30.73
Shadow	2.52	2.58	1.91
Cloud	13.87	14.37	8.83
Water	12.13	11.93	14.10
Vegetation	47.88	48.23	44.41

292 6.1.2. Indian Pines

293 This dataset is a scene produced by AVIRIS in North-western Indiana and consists of 145×145
294 pixels and 224 spectral bands in the wavelength range $0.4\text{--}2.5\mu m$. The Indian Pines scene contains
295 two-thirds agriculture, and one-third forest or other natural perennial vegetation. There are two major
296 dual lane highways, a rail line, as well as some low density housing, other built structures, and smaller
297 roads. Since the scene is taken in June some of the crops present, corn, soybeans, are in early stages of
298 growth with less than 5% coverage. The ground truth available is designated into sixteen classes and
299 is not all mutually exclusive. Indian Pines data are available at [Indian Pines dataset](#).

300 6.1.3. Salinas

301 This scene was collected by the AVIRIS sensor over Salinas Valley, California. It has 512×217
302 pixels with spatial resolution $3.7m$, and 224 spectral bands. It includes vegetables, bare soils, and
303 vineyard fields. Salinas groundtruth contains 16 classes.

Table 4. Summary of the different dataset used for experiments in this work.

Dataset	Spatial dimensions	Bands	Classes	Samples
Sentinel-2 CNNMSI Indian Pines Salinas	128 × 128	9	5	16,220,160
	145 × 145	224	16	4,709,600
	512 × 217	224	16	24,887,296

304 6.2. Metrics

305 6.2.1. Relative Mean Square Error (rMSE)

306 In order to compute the reconstruction error of the tensor \mathbf{X} for the implementation of HOOI,
 307 the rMSE was used:

$$308 \quad rMSE(\hat{\mathbf{X}}) = \frac{1}{Q} \sum_{q=1}^Q \frac{\|\hat{\mathbf{x}}_q - \mathbf{x}_q\|_F^2}{\|\mathbf{x}_q\|_F^2}, \quad (24)$$

308 where \mathbf{x}_q represents the q -th CNNMSI from our dataset with Q MSIs and $\hat{\mathbf{x}}_q$ its corresponding
 309 reconstruction computed by (3).

310 6.2.2. Cohen's Kappa Coefficient

311 Cohen's kappa coefficient is a very robust metric used to measure reliability of multi-class and
 312 imbalanced class classification algorithms. It is computed by

$$313 \quad \kappa = \frac{\rho_o - \rho_e}{1 - \rho_e} \quad (25)$$

313 where ρ_o is the observed agreement, and ρ_e is the expected agreement. This metric will always produce
 314 values less than or equal to 1, where 1 means perfect agreement. Negative values indicate no agreement.
 315 i.e., futile classification.

316 6.2.3. Pixel Accuracy (PA)

317 We used the PA metric to compute a ratio between the amount of correctly classified pixels and
 318 the total number of pixels as follows. Given a confusion matrix relating the True Positive (TP), True
 319 Negatives (TN), False Positives (FP) and False Negatives (FN), the PA is computed by

$$320 \quad PA = \frac{\sum_{c=1}^C \tau_{cc}}{\sum_{c=1}^C \sum_{d=1}^C \tau_{cd}} = \frac{TP + TN}{TP + TN + FP + FN} \quad (26)$$

320 where c is the number of class for $c = 1, \dots, C$ and τ_{cc} is the amount of pixels of class c correctly
 321 assigned to class c i.e., TP and TN, and τ_{cd} is the amount of pixels of class c inferred to belong to class
 322 d . Despite this metric is wide used, it is not a totally fair metric for imbalanced classes. In this work we
 323 used this metric with comparison purposes. However, we also used metrics more in line with multi
 324 class classification tasks.

325 6.2.4. Precision

326 Another metric used in this work as a performance evaluation metric in multiclass classification
 327 is precision. This is a metric that measures the percentage of pixels from class c correctly classified. It
 328 is computed with the following equation

$$329 \quad \Psi_c = \frac{\tau_{cc}}{\sum_{d=1}^C \tau_{cd}} = \frac{TP}{TP + FP} \quad (27)$$

329 where Ψ_c denotes the precision of class c , which is the number of TP divided by the TP plus FP.

330 6.2.5. Recall or Sensitivity

331 Recall, or also known as sensitivity is a metric that indicates the proportion of pixels classified as
332 class c that actually belong to class c . It is computed with the following equation

$$v_c = \frac{\tau_{cc}}{\sum_{d=1}^C \tau_{dc}} = \frac{TP}{TP + FN} \quad (28)$$

333 where v_c denotes the recall of class c for $c = 1, \dots, C$.

334 6.2.6. F1 Score

335 In order to summarize precision and recall in one only metric, we use the F1 score, which is
336 computed by

$$F1 = \frac{2\Psi v}{\Psi + Y} \quad (29)$$

337 This metric provides a very appropriate measure of multiclass classification for imbalanced dataset.

338 7. Discussion and Comparison

339 8. Conclusions

340 8.1. Figures, Tables and Schemes

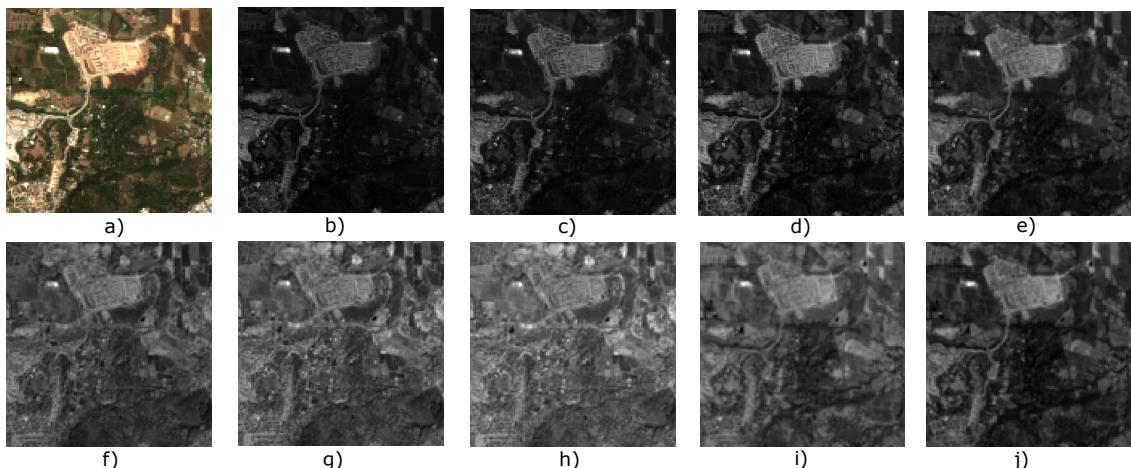


Figure 9. Original Sentinel-2 spectral bands, a) True color image, b) to j) 1st to 9th spectral band respectively.

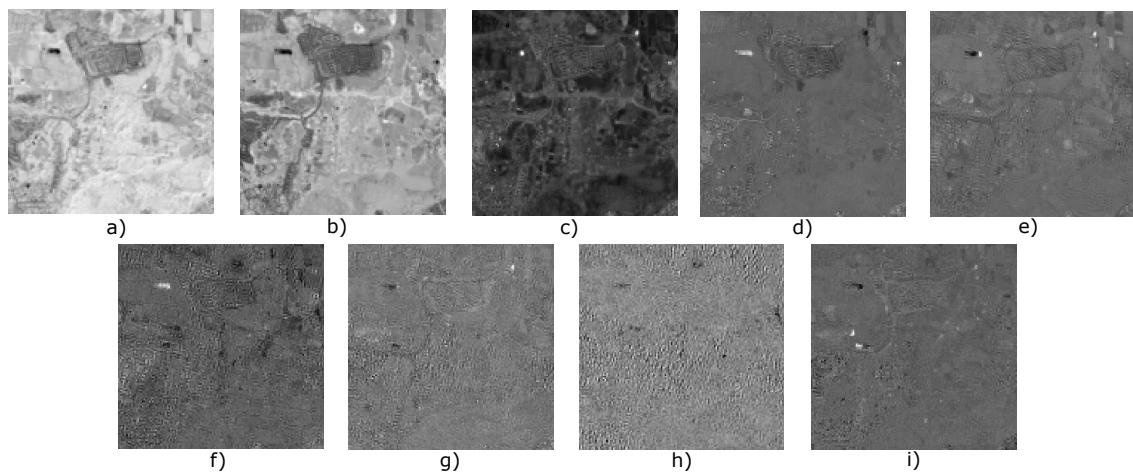


Figure 10. Tensor bands from the Tucker Decomposition, a) to i) 1st to 9th band respectively.

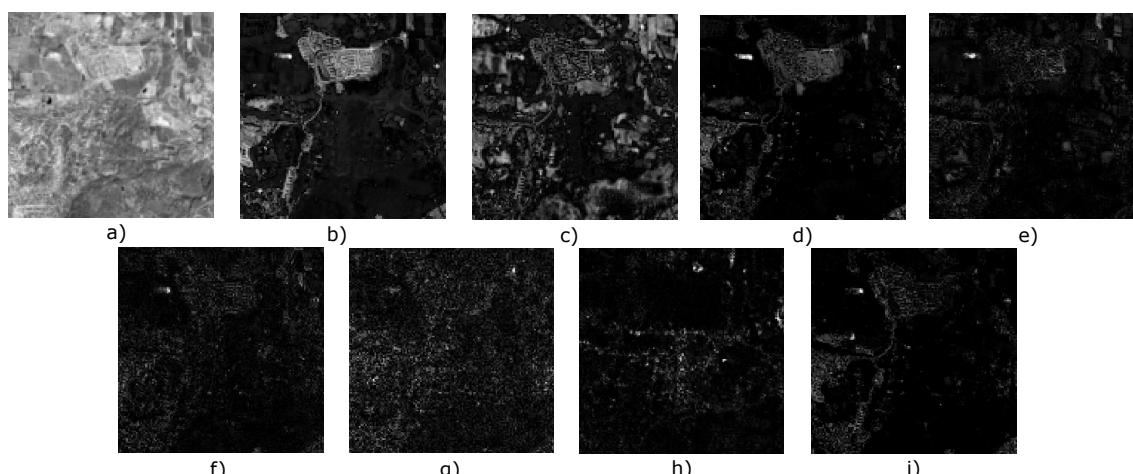


Figure 11. Tensor bands from the Non-negatice Tucker Decomposition, a) to i) 1st to 9th band respectively.

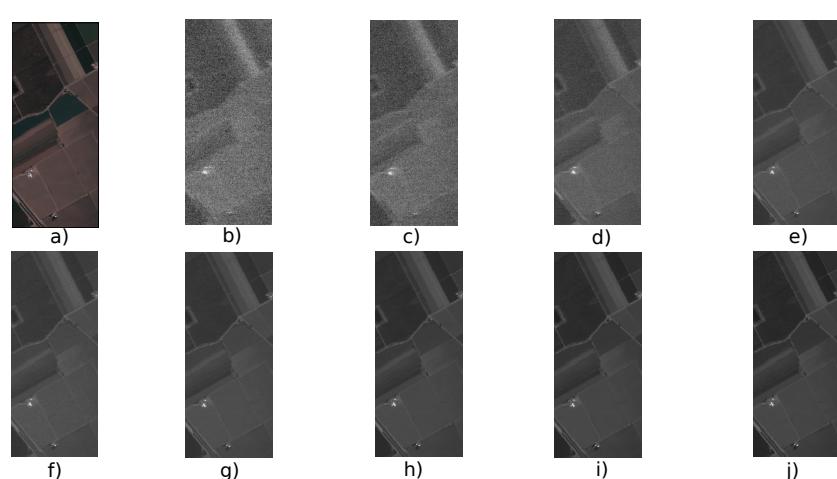


Figure 12. Original Sentinel-2 spectral bands.

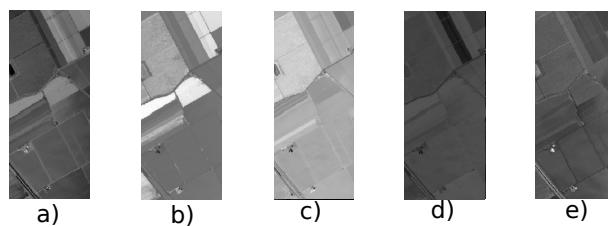


Figure 13. Tucker Decomposition Tensor bands.

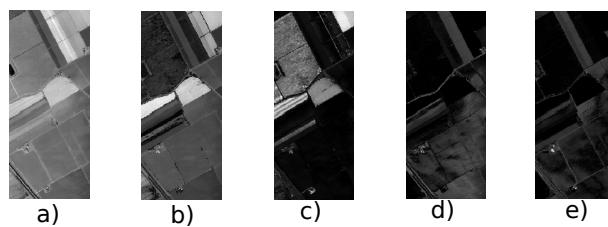


Figure 14. Nonnegative Tucker Decomposition Tensor bands.

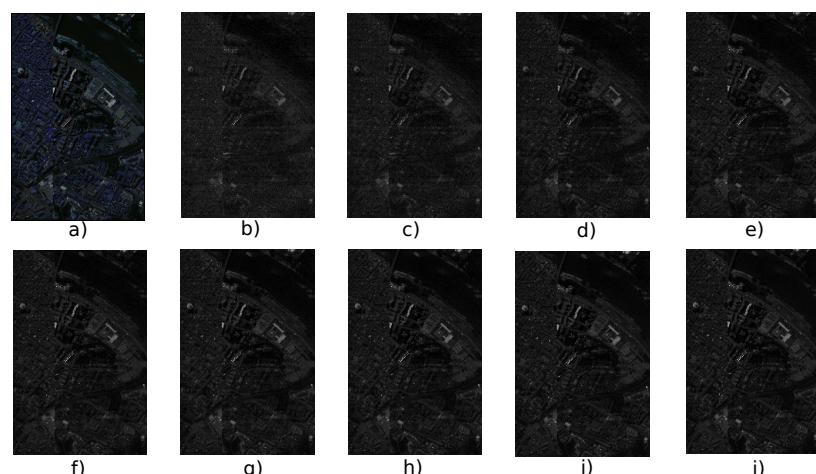


Figure 15. Original Sentinel-2 spectral bands.

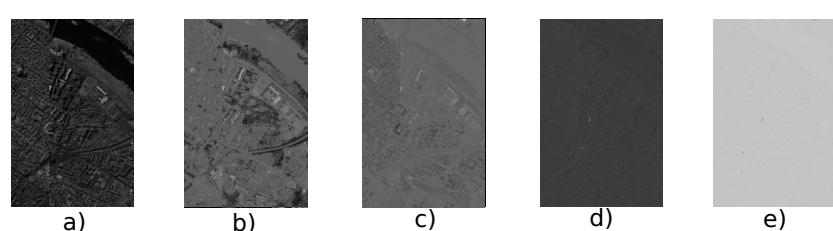


Figure 16. Tucker Decomposition Tensor bands.

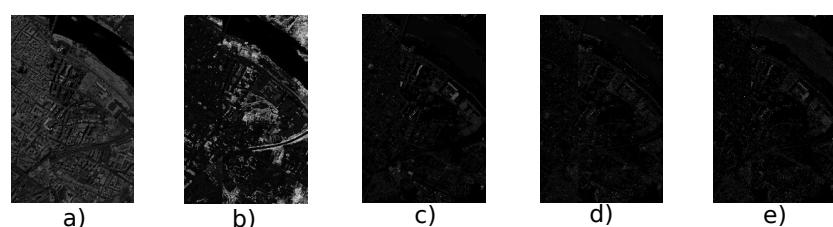
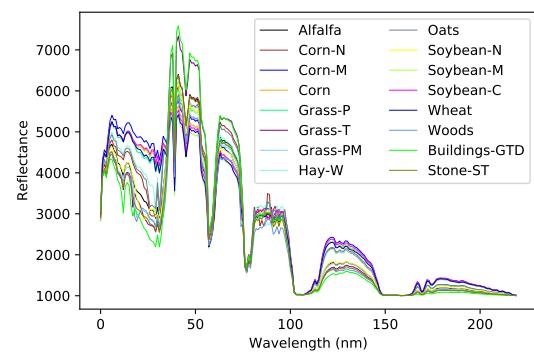
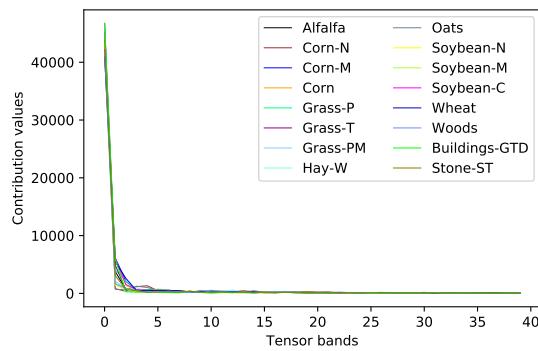


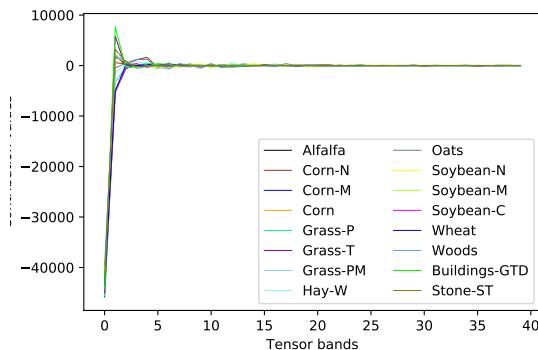
Figure 17. Nonnegative Tucker Decomposition Tensor bands.



(a)



(b)



(c)

Figure 18. Indian Pines Spectral Signatures a) Original, b) NTD and c) TKD

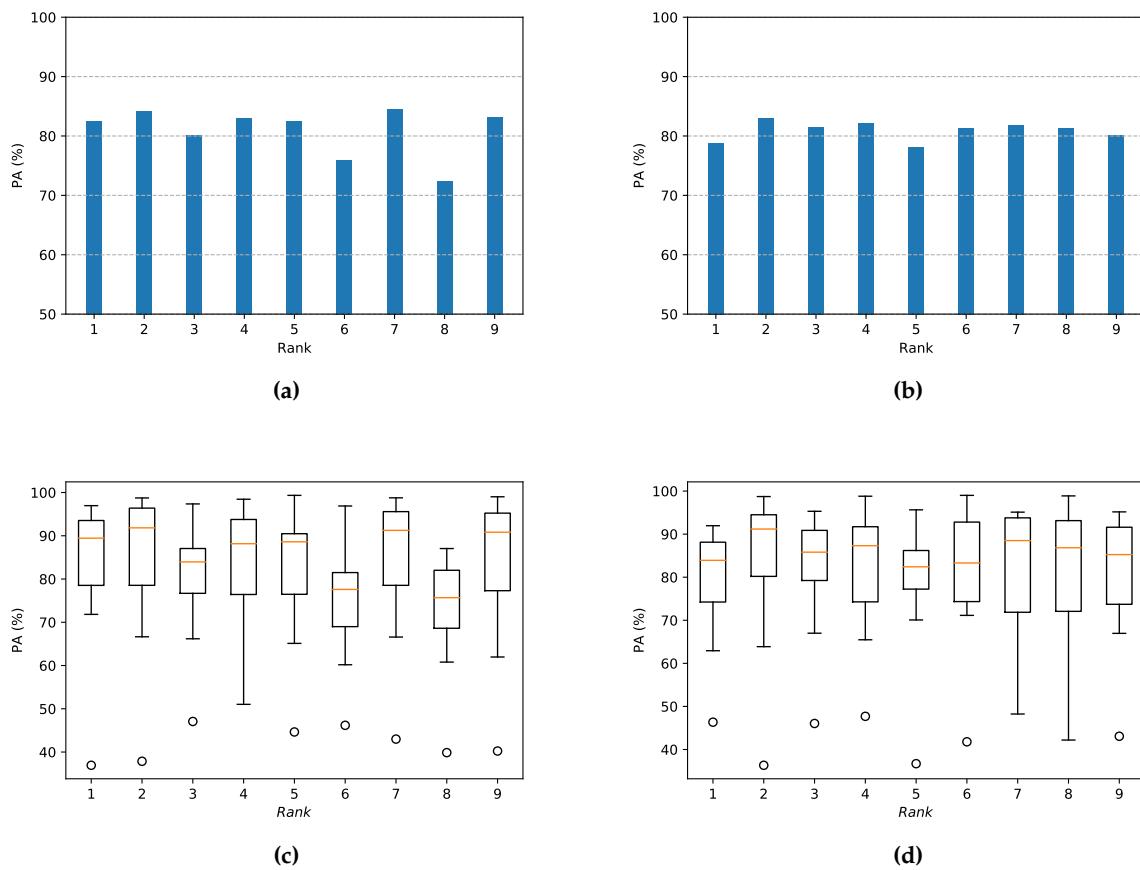


Figure 19. Pixel accuracy vs Rank results a) Comparative bar plot NTKD and TKD, b) Comparative bar plot NTKD and TKD c) Box and whiskers plot for NTKD, and d) Box and whiskers plot for TKD

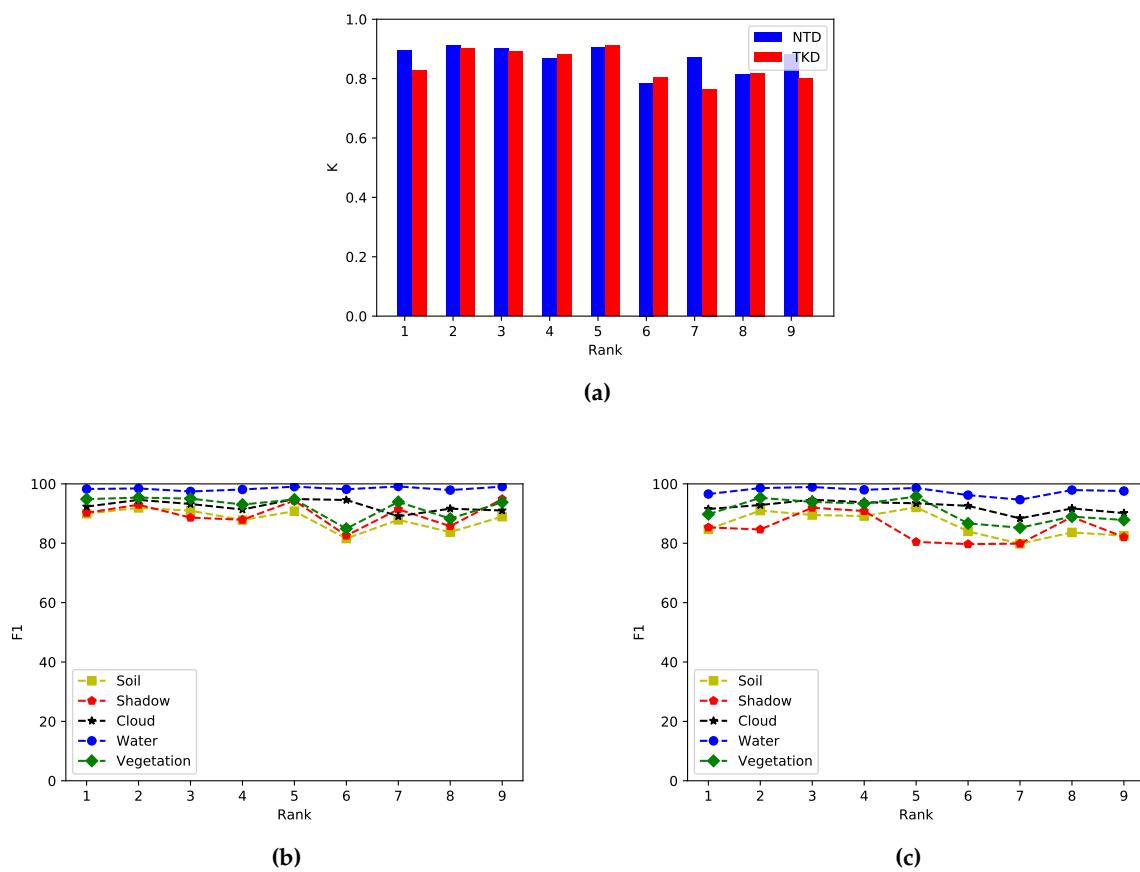


Figure 20. Performance evaluation metrics. a) Kappa score comparison NTD vs TKD, b) F1 for NTD and c) F1 for TKD

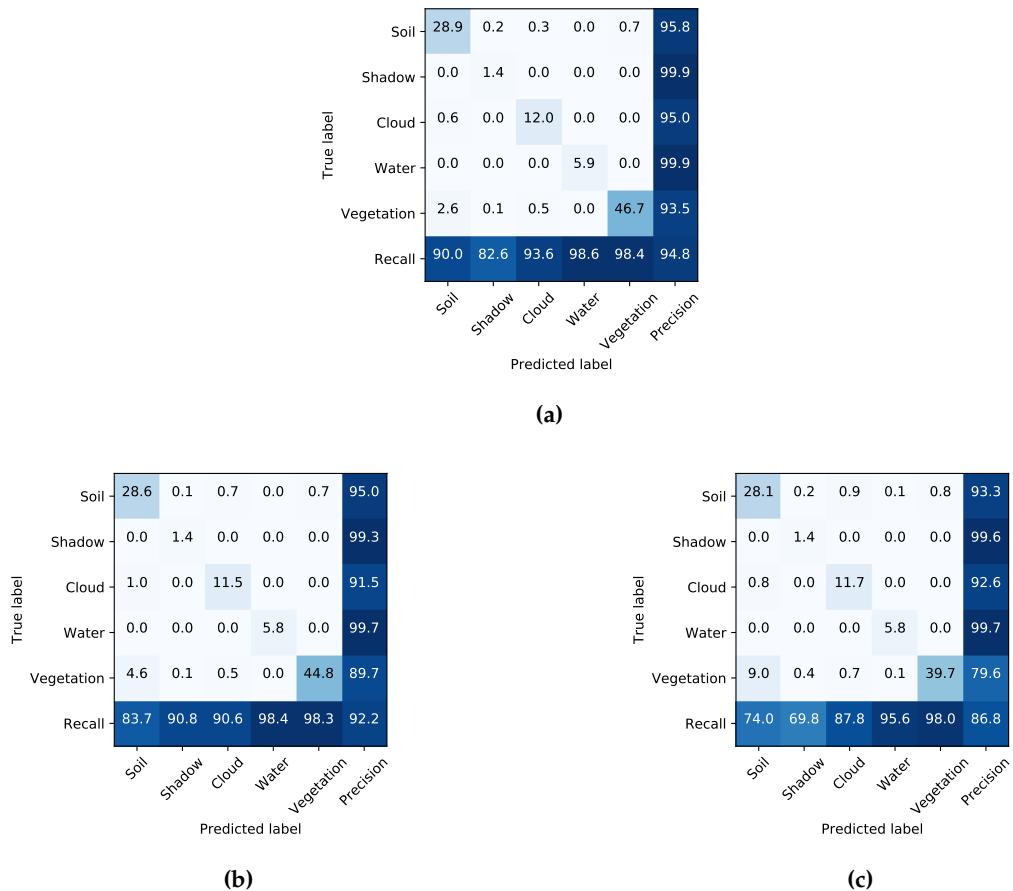


Figure 21. Confusion matrix for a) Sentinel-2 original dataset, b) NTD, c) TKD.

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348 Abbreviations

349 The following abbreviations are used in this manuscript:

350	ANN	Artificial Neural Network
	CNN	Convolutional neural network
	CPD	Canonical Polyadic Decomposition
351	DL	Deep Learning
	FCN	Fully Convolutional Network
	HOOI	Higher-Order Orthogonal Iteration
	HOSVD	Higher-Order Singular Value Decomposition

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430 **Sample Availability:** Samples of the compounds are available from the authors.

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