# RNN\_Captioning

March 8, 2023

```
[1]: # This mounts your Google Drive to the Colab VM.
     from google.colab import drive
     drive.mount('/content/drive')
     # TODO: Enter the foldername in your Drive where you have saved the unzipped
     # assignment folder, e.g. 'cs231n/assignments/assignment3/'
     FOLDERNAME = 'cs231n/assignments/assignment3/'
     assert FOLDERNAME is not None, "[!] Enter the foldername."
     # Now that we've mounted your Drive, this ensures that
     # the Python interpreter of the Colab VM can load
     # python files from within it.
     import sys
     sys.path.append('/content/drive/My Drive/{}'.format(FOLDERNAME))
     # This downloads the COCO dataset to your Drive
     # if it doesn't already exist.
     %cd /content/drive/My\ Drive/$FOLDERNAME/cs231n/datasets/
     !bash get_datasets.sh
     %cd /content/drive/My\ Drive/$FOLDERNAME
```

Mounted at /content/drive /content/drive/My Drive/cs231n/assignments/assignment3/cs231n/datasets /content/drive/My Drive/cs231n/assignments/assignment3

## 1 Image Captioning with RNNs

In this exercise, you will implement vanilla Recurrent Neural Networks and use them to train a model that can generate novel captions for images.

#### 2 COCO Dataset

For this exercise, we will use the 2014 release of the COCO dataset, a standard testbed for image captioning. The dataset consists of 80,000 training images and 40,000 validation images, each annotated with 5 captions written by workers on Amazon Mechanical Turk.

Image features. We have preprocessed the data and extracted features for you already. For all images, we have extracted features from the fc7 layer of the VGG-16 network pretrained on ImageNet, and these features are stored in the files train2014\_vgg16\_fc7.h5 and val2014\_vgg16\_fc7.h5. To cut down on processing time and memory requirements, we have reduced the dimensionality of the features from 4096 to 512 using Principal Component Analysis (PCA), and these features are stored in the files train2014\_vgg16\_fc7\_pca.h5 and val2014\_vgg16\_fc7\_pca.h5. The raw images take up nearly 20GB of space so we have not included them in the download. Since all images are taken from Flickr, we have stored the URLs of the training and validation images in the files train2014\_urls.txt and val2014\_urls.txt. This allows you to download images on-the-fly for visualization.

Captions. Dealing with strings is inefficient, so we will work with an encoded version of the captions. Each word is assigned an integer ID, allowing us to represent a caption by a sequence of integers. The mapping between integer IDs and words is in the file coco2014\_vocab.json, and you can use the function decode\_captions from the file cs231n/coco\_utils.py to convert NumPy arrays of integer IDs back into strings.

Tokens. There are a couple special tokens that we add to the vocabulary, and we have taken care of all implementation details around special tokens for you. We prepend a special <START> token and append an <END> token to the beginning and end of each caption respectively. Rare words are replaced with a special <UNK> token (for "unknown"). In addition, since we want to train with minibatches containing captions of different lengths, we pad short captions with a special <NULL> token after the <END> token and don't compute loss or gradient for <NULL> tokens.

You can load all of the COCO data (captions, features, URLs, and vocabulary) using the load\_coco\_data function from the file cs231n/coco\_utils.py. Run the following cell to do so:

```
base dir /content/drive/My
Drive/cs231n/assignments/assignment3/cs231n/datasets/coco_captioning
train_captions <class 'numpy.ndarray'> (400135, 17) int32
train_image_idxs <class 'numpy.ndarray'> (400135,) int32
val_captions <class 'numpy.ndarray'> (195954, 17) int32
val_image_idxs <class 'numpy.ndarray'> (195954,) int32
train_features <class 'numpy.ndarray'> (82783, 512) float32
val_features <class 'numpy.ndarray'> (40504, 512) float32
idx_to_word <class 'list'> 1004
word_to_idx <class 'dict'> 1004
train_urls <class 'numpy.ndarray'> (82783,) <U63
val_urls <class 'numpy.ndarray'> (40504,) <U63
```

#### 2.1 Inspect the Data

It is always a good idea to look at examples from the dataset before working with it.

You can use the sample\_coco\_minibatch function from the file cs231n/coco\_utils.py to sample minibatches of data from the data structure returned from load\_coco\_data. Run the following to sample a small minibatch of training data and show the images and their captions. Running it multiple times and looking at the results helps you to get a sense of the dataset.

```
[4]: # Sample a minibatch and show the images and captions.
# If you get an error, the URL just no longer exists, so don't worry!
# You can re-sample as many times as you want.
batch_size = 3

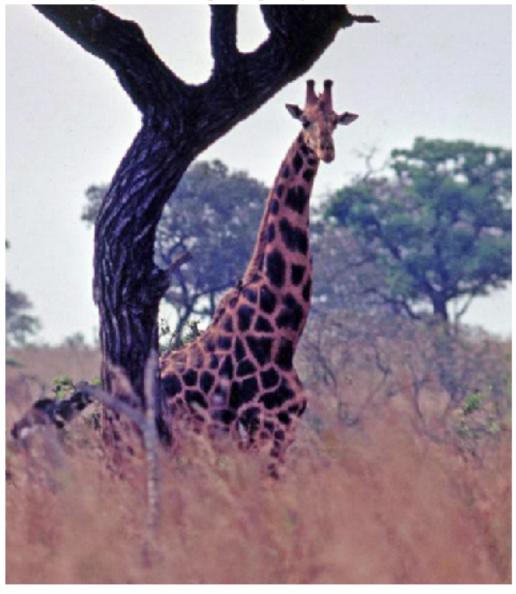
captions, features, urls = sample_coco_minibatch(data, batch_size=batch_size)
for i, (caption, url) in enumerate(zip(captions, urls)):
    plt.imshow(image_from_url(url))
    plt.axis('off')
```

```
caption_str = decode_captions(caption, data['idx_to_word'])
plt.title(caption_str)
plt.show()
```

<START> a kite flying high in the air with a sky background <END>



<START> a giraffe standing in a grassy area next to trees <END>





<START> a close up of a slice of pizza and a sandwich <END>

#### 3 Recurrent Neural Network

As discussed in lecture, we will use Recurrent Neural Network (RNN) language models for image captioning. The file cs231n/rnn\_layers.py contains implementations of different layer types that are needed for recurrent neural networks, and the file cs231n/classifiers/rnn.py uses these layers to implement an image captioning model.

We will first implement different types of RNN layers in cs231n/rnn\_layers.py.

**NOTE:** The Long-Short Term Memory (LSTM) RNN is a common variant of the vanilla RNN. LSTM\_Captioning.ipynb is optional extra credit, so don't worry about references to LSTM in cs231n/classifiers/rnn.py and cs231n/rnn\_layers.py for now.

# 4 Vanilla RNN: Step Forward

Open the file cs231n/rnn\_layers.py. This file implements the forward and backward passes for different types of layers that are commonly used in recurrent neural networks.

First implement the function rnn\_step\_forward which implements the forward pass for a single timestep of a vanilla recurrent neural network. After doing so run the following to check your

implementation. You should see errors on the order of e-8 or less.

```
[5]: N, D, H = 3, 10, 4

x = np.linspace(-0.4, 0.7, num=N*D).reshape(N, D)
prev_h = np.linspace(-0.2, 0.5, num=N*H).reshape(N, H)
Wx = np.linspace(-0.1, 0.9, num=D*H).reshape(D, H)
Wh = np.linspace(-0.3, 0.7, num=H*H).reshape(H, H)
b = np.linspace(-0.2, 0.4, num=H)

next_h, _ = rnn_step_forward(x, prev_h, Wx, Wh, b)
expected_next_h = np.asarray([
    [-0.58172089, -0.50182032, -0.41232771, -0.31410098],
    [ 0.66854692, 0.79562378, 0.87755553, 0.92795967],
    [ 0.97934501, 0.99144213, 0.99646691, 0.99854353]])

print('next_h error: ', rel_error(expected_next_h, next_h))
```

next\_h error: 6.292421426471037e-09

### 5 Vanilla RNN: Step Backward

In the file cs231n/rnn\_layers.py implement the rnn\_step\_backward function. After doing so run the following to numerically gradient check your implementation. You should see errors on the order of e-8 or less.

```
[6]: from cs231n.rnn_layers import rnn step_forward, rnn_step_backward
     np.random.seed(231)
     N, D, H = 4, 5, 6
     x = np.random.randn(N, D)
     h = np.random.randn(N, H)
     Wx = np.random.randn(D, H)
     Wh = np.random.randn(H, H)
     b = np.random.randn(H)
     out, cache = rnn_step_forward(x, h, Wx, Wh, b)
     dnext h = np.random.randn(*out.shape)
     fx = lambda x: rnn_step_forward(x, h, Wx, Wh, b)[0]
     fh = lambda prev_h: rnn_step_forward(x, h, Wx, Wh, b)[0]
     fWx = lambda Wx: rnn_step_forward(x, h, Wx, Wh, b)[0]
     fWh = lambda Wh: rnn_step_forward(x, h, Wx, Wh, b)[0]
     fb = lambda b: rnn_step_forward(x, h, Wx, Wh, b)[0]
     dx_num = eval_numerical_gradient_array(fx, x, dnext_h)
     dprev_h_num = eval_numerical_gradient_array(fh, h, dnext_h)
     dWx_num = eval_numerical_gradient_array(fWx, Wx, dnext_h)
```

```
dWh_num = eval_numerical_gradient_array(fWh, Wh, dnext_h)
db_num = eval_numerical_gradient_array(fb, b, dnext_h)

dx, dprev_h, dWx, dWh, db = rnn_step_backward(dnext_h, cache)

print('dx error: ', rel_error(dx_num, dx))
print('dprev_h error: ', rel_error(dprev_h_num, dprev_h))
print('dWx error: ', rel_error(dWx_num, dWx))
print('dWh error: ', rel_error(dWh_num, dWh))
print('db error: ', rel_error(db_num, db))
```

dx error: 4.0192769090159184e-10
dprev\_h error: 2.5632975303201374e-10
dWx error: 8.820222259148609e-10
dWh error: 4.703287554560559e-10
db error: 7.30162216654e-11

#### 6 Vanilla RNN: Forward

Now that you have implemented the forward and backward passes for a single timestep of a vanilla RNN, you will combine these pieces to implement a RNN that processes an entire sequence of data.

In the file cs231n/rnn\_layers.py, implement the function rnn\_forward. This should be implemented using the rnn\_step\_forward function that you defined above. After doing so run the following to check your implementation. You should see errors on the order of e-7 or less.

```
[7]: N, T, D, H = 2, 3, 4, 5
    x = np.linspace(-0.1, 0.3, num=N*T*D).reshape(N, T, D)
    h0 = np.linspace(-0.3, 0.1, num=N*H).reshape(N, H)
    Wx = np.linspace(-0.2, 0.4, num=D*H).reshape(D, H)
    Wh = np.linspace(-0.4, 0.1, num=H*H).reshape(H, H)
    b = np.linspace(-0.7, 0.1, num=H)
    h, = rnn forward(x, h0, Wx, Wh, b)
    expected_h = np.asarray([
         [-0.42070749, -0.27279261, -0.11074945, 0.05740409, 0.22236251],
         [-0.39525808, -0.22554661, -0.0409454, 0.14649412, 0.32397316],
         [-0.42305111, -0.24223728, -0.04287027, 0.15997045, 0.35014525],
      ],
         [-0.55857474, -0.39065825, -0.19198182, 0.02378408, 0.23735671],
         [-0.27150199, -0.07088804, 0.13562939, 0.33099728, 0.50158768],
         [-0.51014825, -0.30524429, -0.06755202, 0.17806392, 0.40333043]]])
    print('h error: ', rel_error(expected_h, h))
```

h error: 7.728466158305164e-08

#### 7 Vanilla RNN: Backward

In the file cs231n/rnn\_layers.py, implement the backward pass for a vanilla RNN in the function rnn\_backward. This should run back-propagation over the entire sequence, making calls to the rnn\_step\_backward function that you defined earlier. You should see errors on the order of e-6 or less.

```
[8]: np.random.seed(231)
     N, D, T, H = 2, 3, 10, 5
     x = np.random.randn(N, T, D)
     h0 = np.random.randn(N, H)
     Wx = np.random.randn(D, H)
     Wh = np.random.randn(H, H)
     b = np.random.randn(H)
     out, cache = rnn_forward(x, h0, Wx, Wh, b)
     dout = np.random.randn(*out.shape)
     dx, dh0, dWx, dWh, db = rnn backward(dout, cache)
     fx = lambda x: rnn_forward(x, h0, Wx, Wh, b)[0]
     fh0 = lambda h0: rnn_forward(x, h0, Wx, Wh, b)[0]
     fWx = lambda Wx: rnn_forward(x, h0, Wx, Wh, b)[0]
     fWh = lambda Wh: rnn_forward(x, h0, Wx, Wh, b)[0]
     fb = lambda b: rnn_forward(x, h0, Wx, Wh, b)[0]
     dx_num = eval_numerical_gradient_array(fx, x, dout)
     dh0_num = eval_numerical_gradient_array(fh0, h0, dout)
     dWx_num = eval_numerical_gradient_array(fWx, Wx, dout)
     dWh_num = eval_numerical_gradient_array(fWh, Wh, dout)
     db_num = eval_numerical_gradient_array(fb, b, dout)
     print('dx error: ', rel_error(dx_num, dx))
     print('dh0 error: ', rel_error(dh0_num, dh0))
     print('dWx error: ', rel_error(dWx_num, dWx))
     print('dWh error: ', rel_error(dWh_num, dWh))
     print('db error: ', rel_error(db_num, db))
```

dx error: 1.5382471741255213e-09
dh0 error: 3.3839683625222904e-09
dWx error: 7.150535778495087e-09
dWh error: 1.2973384202679133e-07
db error: 1.4889016011591717e-10

### 8 Word Embedding: Forward

In deep learning systems, we commonly represent words using vectors. Each word of the vocabulary will be associated with a vector, and these vectors will be learned jointly with the rest of the system.

In the file cs231n/rnn\_layers.py, implement the function word\_embedding\_forward to convert words (represented by integers) into vectors. Run the following to check your implementation. You should see an error on the order of e-8 or less.

out error: 1.000000094736443e-08

## 9 Word Embedding: Backward

Implement the backward pass for the word embedding function in the function word\_embedding\_backward. After doing so run the following to numerically gradient check your implementation. You should see an error on the order of e-11 or less.

```
[10]: np.random.seed(231)

N, T, V, D = 50, 3, 5, 6
x = np.random.randint(V, size=(N, T))
W = np.random.randn(V, D)

out, cache = word_embedding_forward(x, W)
dout = np.random.randn(*out.shape)
dW = word_embedding_backward(dout, cache)

f = lambda W: word_embedding_forward(x, W)[0]
dW_num = eval_numerical_gradient_array(f, W, dout)
```

```
print('dW error: ', rel_error(dW, dW_num))
```

dW error: 3.2774595693100364e-12

### 10 Temporal Affine Layer

At every timestep we use an affine function to transform the RNN hidden vector at that timestep into scores for each word in the vocabulary. Because this is very similar to the affine layer that you implemented in assignment 2, we have provided this function for you in the temporal\_affine\_forward and temporal\_affine\_backward functions in the file cs231n/rnn\_layers.py. Run the following to perform numeric gradient checking on the implementation. You should see errors on the order of e-9 or less.

```
[11]: np.random.seed(231)
      # Gradient check for temporal affine layer
      N, T, D, M = 2, 3, 4, 5
      x = np.random.randn(N, T, D)
      w = np.random.randn(D, M)
      b = np.random.randn(M)
      out, cache = temporal_affine_forward(x, w, b)
      dout = np.random.randn(*out.shape)
      fx = lambda x: temporal_affine_forward(x, w, b)[0]
      fw = lambda w: temporal_affine_forward(x, w, b)[0]
      fb = lambda b: temporal_affine_forward(x, w, b)[0]
      dx_num = eval_numerical_gradient_array(fx, x, dout)
      dw num = eval numerical gradient array(fw, w, dout)
      db_num = eval_numerical_gradient_array(fb, b, dout)
      dx, dw, db = temporal_affine_backward(dout, cache)
      print('dx error: ', rel_error(dx_num, dx))
      print('dw error: ', rel_error(dw_num, dw))
      print('db error: ', rel_error(db_num, db))
```

dx error: 2.9215945034030545e-10
dw error: 1.5772088618663602e-10
db error: 3.252200556967514e-11

# 11 Temporal Softmax Loss

In an RNN language model, at every timestep we produce a score for each word in the vocabulary. We know the ground-truth word at each timestep, so we use a softmax loss function to compute loss

and gradient at each timestep. We sum the losses over time and average them over the minibatch.

However there is one wrinkle: since we operate over minibatches and different captions may have different lengths, we append <NULL> tokens to the end of each caption so they all have the same length. We don't want these <NULL> tokens to count toward the loss or gradient, so in addition to scores and ground-truth labels our loss function also accepts a mask array that tells it which elements of the scores count towards the loss.

Since this is very similar to the softmax loss function you implemented in assignment 1, we have implemented this loss function for you; look at the temporal\_softmax\_loss function in the file cs231n/rnn layers.py.

Run the following cell to sanity check the loss and perform numeric gradient checking on the function. You should see an error for dx on the order of e-7 or less.

```
[12]: # Sanity check for temporal softmax loss
      from cs231n.rnn_layers import temporal_softmax_loss
      N, T, V = 100, 1, 10
      def check_loss(N, T, V, p):
          x = 0.001 * np.random.randn(N, T, V)
          y = np.random.randint(V, size=(N, T))
          mask = np.random.rand(N, T) <= p</pre>
          print(temporal softmax loss(x, y, mask)[0])
      check loss(100, 1, 10, 1.0) # Should be about 2.3
      check_loss(100, 10, 10, 1.0) # Should be about 23
      check loss(5000, 10, 10, 0.1) # Should be within 2.2-2.4
      # Gradient check for temporal softmax loss
      N, T, V = 7, 8, 9
      x = np.random.randn(N, T, V)
      y = np.random.randint(V, size=(N, T))
      mask = (np.random.rand(N, T) > 0.5)
      loss, dx = temporal_softmax_loss(x, y, mask, verbose=False)
      dx_num = eval_numerical_gradient(lambda x: temporal_softmax_loss(x, y,__
       →mask)[0], x, verbose=False)
      print('dx error: ', rel_error(dx, dx_num))
```

```
2.3027781774290146
23.025985953127226
2.2643611790293394
dx error: 2.583585303524283e-08
```

### 12 RNN for Image Captioning

Now that you have implemented the necessary layers, you can combine them to build an image captioning model. Open the file cs231n/classifiers/rnn.py and look at the CaptioningRNN class.

Implement the forward and backward pass of the model in the loss function. For now you only need to implement the case where cell\_type='rnn' for vanilla RNNs; you will implement the LSTM case later. After doing so, run the following to check your forward pass using a small test case; you should see error on the order of e-10 or less.

```
[13]: N, D, W, H = 10, 20, 30, 40
      word_to_idx = {'<NULL>': 0, 'cat': 2, 'dog': 3}
      V = len(word_to_idx)
      T = 13
      model = CaptioningRNN(
          word_to_idx,
          input_dim=D,
          wordvec dim=W,
          hidden_dim=H,
          cell_type='rnn',
          dtype=np.float64
      # Set all model parameters to fixed values
      for k, v in model.params.items():
          model.params[k] = np.linspace(-1.4, 1.3, num=v.size).reshape(*v.shape)
      features = np.linspace(-1.5, 0.3, num=(N * D)).reshape(N, D)
      captions = (np.arange(N * T) % V).reshape(N, T)
      loss, grads = model.loss(features, captions)
      expected_loss = 9.83235591003
      print('loss: ', loss)
      print('expected loss: ', expected_loss)
      print('difference: ', abs(loss - expected_loss))
```

loss: 9.832355910027387 expected loss: 9.83235591003 difference: 2.6130209107577684e-12

Run the following cell to perform numeric gradient checking on the CaptioningRNN class; you should see errors around the order of e-6 or less.

```
[14]: np.random.seed(231)
batch_size = 2
```

```
timesteps = 3
input_dim = 4
wordvec_dim = 5
hidden_dim = 6
word_to_idx = {'<NULL>': 0, 'cat': 2, 'dog': 3}
vocab_size = len(word_to_idx)
captions = np.random.randint(vocab_size, size=(batch_size, timesteps))
features = np.random.randn(batch size, input dim)
model = CaptioningRNN(
    word_to_idx,
    input_dim=input_dim,
    wordvec_dim=wordvec_dim,
    hidden_dim=hidden_dim,
    cell_type='rnn',
    dtype=np.float64,
loss, grads = model.loss(features, captions)
for param name in sorted(grads):
    f = lambda _: model.loss(features, captions)[0]
    param grad num = eval numerical gradient(f, model.params[param name],
 overbose=False, h=1e-6)
    e = rel_error(param_grad_num, grads[param_name])
    print('%s relative error: %e' % (param_name, e))
```

W\_embed relative error: 2.331070e-09 W\_proj relative error: 1.112417e-08 W\_vocab relative error: 4.274379e-09 Wh relative error: 5.858117e-09 Wx relative error: 1.590657e-06 b relative error: 9.727211e-10 b\_proj relative error: 1.934807e-08 b vocab relative error: 7.087097e-11

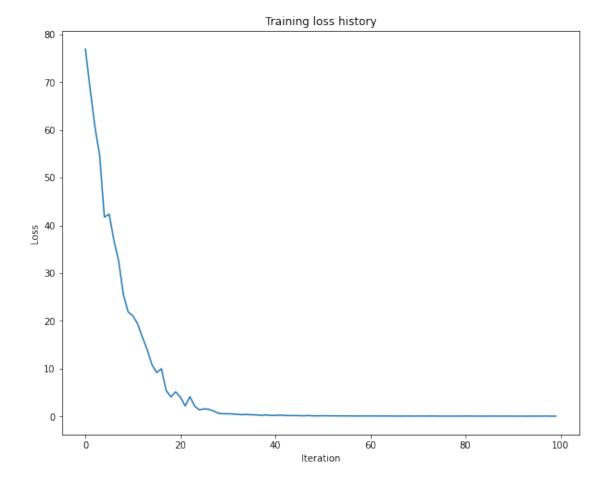
# 13 Overfit RNN Captioning Model on Small Data

Similar to the Solver class that we used to train image classification models on the previous assignment, on this assignment we use a CaptioningSolver class to train image captioning models. Open the file cs231n/captioning\_solver.py and read through the CaptioningSolver class; it should look very familiar.

Once you have familiarized yourself with the API, run the following to make sure your model overfits a small sample of 100 training examples. You should see a final loss of less than 0.1.

```
[15]: np.random.seed(231)
      small_data = load_coco_data(max_train=50)
      small_rnn_model = CaptioningRNN(
          cell_type='rnn',
          word_to_idx=data['word_to_idx'],
          input_dim=data['train_features'].shape[1],
          hidden dim=512,
          wordvec_dim=256,
      )
      small_rnn_solver = CaptioningSolver(
          small_rnn_model, small_data,
          update_rule='adam',
          num_epochs=50,
          batch_size=25,
          optim_config={
           'learning_rate': 5e-3,
          },
          lr_decay=0.95,
          verbose=True, print_every=10,
      )
      small_rnn_solver.train()
      # Plot the training losses.
      plt.plot(small_rnn_solver.loss_history)
      plt.xlabel('Iteration')
      plt.ylabel('Loss')
      plt.title('Training loss history')
      plt.show()
     base dir /content/drive/My
     Drive/cs231n/assignments/assignment3/cs231n/datasets/coco_captioning
     (Iteration 1 / 100) loss: 76.913487
     (Iteration 11 / 100) loss: 21.062728
     (Iteration 21 / 100) loss: 4.016259
     (Iteration 31 / 100) loss: 0.567183
     (Iteration 41 / 100) loss: 0.239398
     (Iteration 51 / 100) loss: 0.161974
     (Iteration 61 / 100) loss: 0.111529
     (Iteration 71 / 100) loss: 0.097581
```

(Iteration 81 / 100) loss: 0.099065 (Iteration 91 / 100) loss: 0.073967



Print final training loss. You should see a final loss of less than 0.1.

```
[16]: print('Final loss: ', small_rnn_solver.loss_history[-1])
```

Final loss: 0.08207125171647277

## 14 RNN Sampling at Test Time

Unlike classification models, image captioning models behave very differently at training time vs. at test time. At training time, we have access to the ground-truth caption, so we feed ground-truth words as input to the RNN at each timestep. At test time, we sample from the distribution over the vocabulary at each timestep and feed the sample as input to the RNN at the next timestep.

In the file cs231n/classifiers/rnn.py, implement the sample method for test-time sampling. After doing so, run the following to sample from your overfitted model on both training and validation data. The samples on training data should be very good. The samples on validation data, however, probably won't make sense.

```
[18]: # If you get an error, the URL just no longer exists, so don't worry!
      # You can re-sample as many times as you want.
      for split in ['train', 'val']:
          minibatch = sample coco minibatch(small_data, split=split, batch_size=2)
          gt_captions, features, urls = minibatch
          gt_captions = decode_captions(gt_captions, data['idx_to_word'])
          sample_captions = small_rnn_model.sample(features)
          sample captions = decode captions(sample captions, data['idx to word'])
          for gt caption, sample caption, url in zip(gt captions, sample captions,
       ⇔urls):
              img = image_from_url(url)
              # Skip missing URLs.
              if img is None: continue
              plt.imshow(img)
              plt.title('%s\n%s\nGT:%s' % (split, sample_caption, gt_caption))
              plt.axis('off')
              plt.show()
```

Output hidden; open in https://colab.research.google.com to view.

### 15 Inline Question 1

In our current image captioning setup, our RNN language model produces a word at every timestep as its output. However, an alternate way to pose the problem is to train the network to operate over *characters* (e.g. 'a', 'b', etc.) as opposed to words, so that at it every timestep, it receives the previous character as input and tries to predict the next character in the sequence. For example, the network might generate a caption like

```
'A', '', 'c', 'a', 't', '', 'o', 'n', '', 'a', '', 'b', 'e', 'd'
```

Can you describe one advantage of an image-captioning model that uses a character-level RNN? Can you also describe one disadvantage? HINT: there are several valid answers, but it might be useful to compare the parameter space of word-level and character-level models.

Your Answer: In character level RNN, the word vector is shorter than the vacobulary dictionary, it's true when enbeding them into a word vector. The learnable parameters of character level RNN is smaller then vanilla RNN. But the output maybe a invalid word.