- 1. Visualizing a CNN with CIFAR10
- a) CIFAR10 Dataset:

To import the data, I modified the function main as the following according to the trainCifarStarterCode.py. I used 800 images in each class of the training set and 100 images in each class of the testing sets. The batchsize was set to 50. The nchannels was set to 1 and image size was wet to 28, since each image is grayscale and of size 28 X 28.

```
def main():
   ntrain = 800 # per class
   ntest = 100 # per class
   nclass = 10 # number of classes
   imsize = 28
   nchannels = 1
   batchsize = 50
   Train = np.zeros((ntrain * nclass, imsize, imsize, nchannels))
   Test = np.zeros((ntest * nclass, imsize, imsize, nchannels))
   LTrain = np.zeros((ntrain * nclass, nclass))
   LTest = np.zeros((ntest * nclass, nclass))
   itrain = -1
   itest = -1
    for iclass in range(0, nclass):
        for isample in range(0, ntrain):
           path = 'CIFAR10/Train/%d/Image%05d.png' % (iclass, isample)
            im = imageio.imread(path); # 28 by 28
            im = im.astype(float) / 255
           itrain += 1
           Train[itrain, :, :, 0] = im
           LTrain[itrain, iclass] = 1 # 1-hot lable
        for isample in range(0, ntest):
           path = 'CIFAR10/Test/%d/Image%05d.png' % (iclass, isample)
            im = imageio.imread(path); # 28 by 28
            im = im.astype(float) / 255
           itest += 1
           Test[itest, :, :, 0] = im
            LTest[itest, iclass] = 1 # 1-hot lable
    sess = tf.InteractiveSession()
```

## To visualize the dataset's size, the following code were run:

```
import glob
import os
import re
import numpy as np
from skimage import io
from keras.utils.np utils import to categorical
from sklearn.preprocessing import OneHotEncoder
def read cifar10():
    cifar labels = ['airplane', 'automobile', 'bird', 'cat', 'deer', 'dog', 'frog', 'horse',
'ship', 'truck']
    file spec = '*.png'
    train path = os.path.join('CIFAR10/Train/*/', file spec)
    test_path = os.path.join('CIFAR10/Test/*/', file_spec)
    train_collection= io.imread_collection(train_path)
    test collection = io.imread collection(test path)
    # Normalization of pixel values (to [0-1] range)
    train_images = np.stack(train_collection).astype(float) / 255
    test images = np.stack(test collection).astype(float) / 255
    #Use sklearn package for one-hot-encoder
    label_encoder = OneHotEncoder()
    train label =[]
    test \overline{l}abel =[]
    for file in train collection.files:
```

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```
train_label.append(int(re.split("/",file)[2]))
train_set=pd.DataFrame(train_label)
train_labels=label_encoder.fit_transform(train_set[[0]]).toarray()
#label_encoder.fit
for file in test_collection.files:
    test_label.append(int(re.split("/",file)[2]))
test_set=pd.DataFrame(test_label)
test_labels=label_encoder.fit_transform(test_set[[0]]).toarray()
return train_images, train_labels, test_images, test_labels

X_train, y_train, X_test, y_test = read_cifar10()
X_train.shape, y_train.shape, X_test.shape
```

The size of the training dataset, training label, testing dataset, and testing labels were: ((10000, 28, 28), (10000, 10), (1000, 28, 28), (1000, 10))

b) Train LeNet5 on CIFAR10:

Code: https://colab.research.google.com/drive/1HGXxCdpQDidrM-zc0WMA76-HI0cg5hN8?authuser=1#scrollTo=ezrU\_Qq3WPVE

Each layer of the network was shown in the following:

- 1. Convolutional layer with kernel 5 x 5 and 32 filter maps followed by ReLU
- 2. Max Pooling layer subsampling by 2

```
W_conv1 = weight_variable([5, 5, 1, 32])
b_conv1 = bias_variable([32])
h_conv1 = tf.nn.relu(conv2d(tf_data, W_conv1) + b_conv1) #
h pool1 = max pool 2x2(h_conv1)
```

- 3. Convolutional layer with kernel 5 x 5 and 64 filter maps followed by ReLU
- 4. Max Pooling layer subsampling by 2

```
W_conv2 = weight_variable([5, 5, 32, 64])
b_conv2 = bias_variable([64])
h_conv2 = tf.nn.relu(conv2d(h_pool1, W_conv2) + b_conv2) #
h pool2 = max pool 2x2(h_conv2)
```

5. Fully Connected layer that has input 7\*7\*64 and output 1024

```
W_fc1 = weight_variable([7 * 7 * 64, 1024])
b_fc1 = bias_variable([1024])
h_pool2_flat = tf.reshape(h_pool2, [-1, 7 * 7 * 64])
h_fc1 = tf.nn.tanh(tf.matmul(h_pool2_flat, W_fc1) + b_fc1) #
# dropout
keep_prob = tf.placeholder(tf.float32)
h fc1 drop = tf.nn.dropout(h fc1, keep_prob)
```

6. Fully Connected layer that has input 1024 and output 10 (for the classes)

```
# loss
# set up the loss, optimization, evaluation, and accuracy
```

#### 7. Softmax layer (Softmax Regression + Softmax Nonlinearity)

```
cross entropy = tf.reduce mean(tf.nn.softmax cross entropy with logits(labels=tf labels,
logits=y_conv))
correct prediction = tf.equal(tf.argmax(y conv, 1), tf.argmax(tf labels, 1))
# optimization
optimizer = tf.train.AdamOptimizer(1e-3).minimize(cross_entropy)
accuracy = tf.reduce mean(tf.cast(correct prediction, tf.float32), name='accuracy')
sess.run(tf.initialize all variables())
# setup as [batchsize, width, height, numberOfChannels] and use np.zeros()
batch xs = np.zeros((batchsize, imsize, imsize, nchannels))
# setup as [batchsize, the how many classes]
batch ys = np.zeros((batchsize, nclass))
step\_size = 3000
train accuracy list = []
train_loss_list = []
step list = []
test_accuracy_list = []
test loss list = []
for i in range(step_size): # try a small iteration size once it works then continue
    perm = np.arange(ntrain * nclass)
   np.random.shuffle(perm)
    for j in range(batchsize):
        batch_xs[j, :, :, :] = Train[perm[j], :, :, :]
        batch_ys[j, :] = LTrain[perm[j], :]
    train accuracy = accuracy.eval(feed dict={
        tf data: batch xs, tf labels: batch ys, keep prob: 0.5})
    train_accuracy_list.append(train_accuracy)
    train loss = cross entropy.eval(feed dict={
        tf data: batch xs, tf labels: batch ys, keep prob: 0.5})
    train loss list.append(train loss)
    step_list.append(i)
    test_accuracy = accuracy.eval(feed_dict={tf_data: Test, tf_labels: LTest, keep_prob: 1.0})
    test accuracy list.append(test accuracy)
    test loss = cross entropy.eval(feed dict={tf data: Test, tf labels: LTest, keep prob: 1.0})
    test loss list.append(test loss)
    if i % 1000 == 0 or i == step size:
        # calculate train accuracy and print it
        print("step %d, training accuracy %g" % (i, train_accuracy))
        print("step %d, training loss %g" % (i, train_loss))
    optimizer.run(
        feed dict={tf data: batch xs, tf labels: batch ys, keep prob: 0.5}) # dropout only during
training
print("test accuracy %g" % accuracy.eval(feed dict={tf data: Test, tf labels: LTest, keep prob: 1.0}))
```

To plot the train/test accuracy and train/test loss. I have added the following code:

```
plt.figure(figsize=(12, 9))
plt.subplot(1, 2, 1)
plt.plot(np.array(step_list), train_accuracy_list, label='Train')
plt.plot(np.array(step_list), test_accuracy_list, label='Test')
plt.title('Accuracy')
plt.legend()
plt.xlabel('Steps')
plt.ylabel('Accuracy')
plt.ylim(0, 1)

plt.subplot(1, 2, 2)
plt.plot(np.array(step_list), train_loss_list, label='Train')
plt.plot(np.array(step_list), test_loss_list, label='Test')
plt.title('Cross Entropy')
```

plt.legend()
plt.xlabel('Steps')
plt.ylabel('Loss')

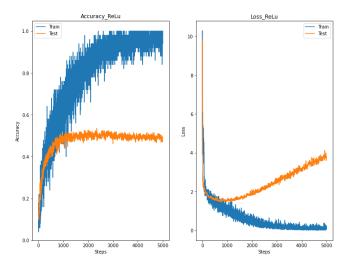
The following hyperparameters were tested in our analyses:

- 1. ReLu activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 +5000 iterations.
- 2. Tanh activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 +5000 iterations.
- 3. Tanh activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 10000 + 5000 iterations.
- 4. ReLu activation function + AdamOptimizer + learning rate 1e-4 + training sample size: 8000+5000 iterations.
- 5. Tanh activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 +8000 iterations.
- 6. ReLu activation function + AdamOptimizer + learning rate 1e-5 + training sample size: 8000 + 5000 iterations.
- 7. Tanh activation function + GradientDescentOptimizer + learning rate 1e-3 + training sample size: 8000 + 5000 iterations
- 8. sigmoid activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 + 5000 iterations.
- 9. Tanh activation function + Xavier initializer (initial =tf.compat.v1.keras.initializers.glorot\_normal();W = initial (shape)) + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 + 5000 iterations.

#### Results:

1. ReLu activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 +5000 iterations.

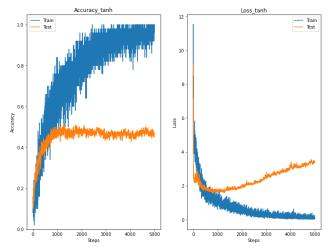
```
step 0, training accuracy 0.06 step 0, training loss 5.29658 step 1000, training accuracy 0.68 step 1000, training loss 1.07742 step 2000, training accuracy 0.82 step 2000, training loss 0.435025 step 3000, training accuracy 0.96 step 3000, training loss 0.122239 step 4000, training accuracy 0.98 step 4000, training loss 0.0586619 test accuracy 0.49
```



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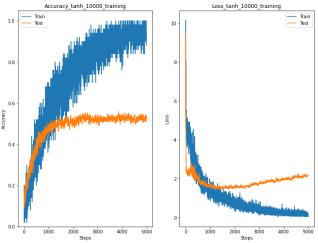
2. Tanh activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 +5000 iterations.

```
step 0, training accuracy 0.16 step 0, training loss 5.78253 step 1000, training accuracy 0.7 step 1000, training loss 0.885759 step 2000, training accuracy 0.76 step 2000, training loss 0.498296 step 3000, training accuracy 0.96 step 3000, training loss 0.269278 step 4000, training accuracy 0.96 step 4000, training loss 0.0822848 test accuracy 0.447
```



3. Tanh activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 10000 + 5000 iterations.

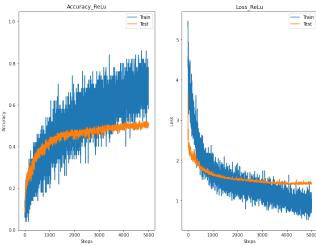
```
step 0, training accuracy 0.12 step 0, training loss 5.37518 step 1000, training accuracy 0.56 step 1000, training loss 1.09585 step 2000, training accuracy 0.58 step 2000, training loss 0.909169 step 3000, training accuracy 0.92 step 3000, training loss 0.192808 step 4000, training accuracy 0.96 step 4000, training loss 0.193473 test accuracy 0.519
```



4. ReLu activation function + AdamOptimizer + learning rate 1e-4 + training sample size: 8000+5000 iterations.

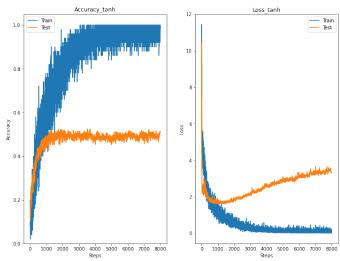
step 0, training accuracy 0.08
step 0, training loss 5.31366

```
step 1000, training accuracy 0.38 step 1000, training loss 2.16572 step 2000, training accuracy 0.48 step 2000, training loss 1.33932 step 3000, training accuracy 0.64 step 3000, training loss 0.951593 step 4000, training accuracy 0.64 step 4000, training loss 1.13764 test accuracy 0.505
```



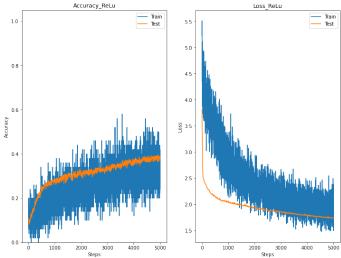
5. Tanh activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 +8000 iterations.

```
step 0, training accuracy 0.1
  step 0, training loss 5.86789
step 1000, training accuracy 0.72
step 1000, training loss 0.913591
step 2000, training accuracy 0.74
step 2000, training loss 0.566394
step 3000, training accuracy 0.9
step 3000, training loss 0.201429
step 4000, training accuracy 0.9
step 4000, training loss 0.25615
step 5000, training accuracy 0.96
step 5000, training loss 0.199501
step 6000, training accuracy 0.94
step 6000, training loss 0.168871
step 7000, training accuracy 0.96
step 7000, training loss 0.105653
       test accuracy 0.51
```



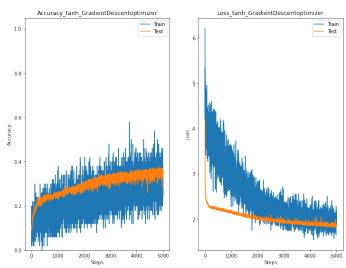
6. ReLu activation function + AdamOptimizer + learning rate 1e-5 + training sample size: 8000 + 5000 iterations.

step 0, training accuracy 0.08 step 0, training loss 5.21778 step 1000, training accuracy 0.16 step 1000, training loss 2.91727 step 2000, training accuracy 0.28 step 2000, training loss 2.27441 step 3000, training accuracy 0.38 step 3000, training loss 1.93839 step 4000, training accuracy 0.32 step 4000, training loss 2.25674 test accuracy 0.393



7. Tanh activation function + GradientDescentOptimizer + learning rate 1e-3 + training sample size: 8000 + 5000 iterations

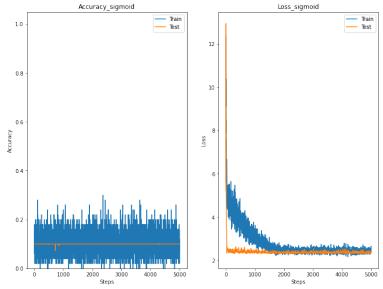
step 0, training accuracy 0.12 step 0, training loss 6.21313 step 1000, training accuracy 0.24 step 1000, training loss 3.01556 step 2000, training accuracy 0.26 step 2000, training loss 2.16182 step 3000, training accuracy 0.26 step 3000, training loss 2.38066 step 4000, training accuracy 0.22 step 4000, training loss 1.86151 test accuracy 0.348



8. sigmoid activation function + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 + 5000 iterations.

step 0, training accuracy 0.08 step 0, training loss 5.62024 step 1000, training accuracy 0.24

```
step 1000, training loss 3.01812
step 2000, training accuracy 0.12
step 2000, training loss 2.46636
step 3000, training accuracy 0.04
step 3000, training loss 2.3243
step 4000, training accuracy 0.06
step 4000, training loss 2.55688
test accuracy 0.1
```

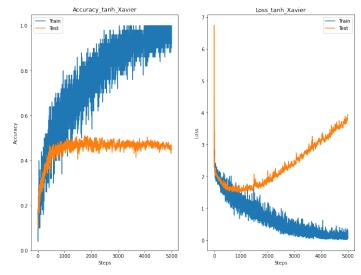


9. Tanh activation function + Xavier initializer + AdamOptimizer + learning rate 1e-3 + training sample size: 8000 + 5000 iterations

The weight initializer was modified as following. Here we use the Xavier initializer:

```
def weight_variable(shape):
    initial = tf.compat.v1.keras.initializers.glorot_normal()
    W = initial (shape)
    return tf.Variable(W)

    step 0, training accuracy 0.18
        step 0, training loss 2.28702
    step 1000, training accuracy 0.64
    step 1000, training loss 1.0656
    step 2000, training loss 1.0656
    step 2000, training loss 0.648412
    step 3000, training loss 0.249307
    step 4000, training accuracy 0.92
    step 4000, training loss 0.290149
        test accuracy 0.452
```



From the above analyses, we could see that ReLu performed better than Tanh activation, which performed better than sigmoid activation. As the number of iterations increased, the test accuracy also increased. As the number of the training samples increased, the accuracy increased. In addition, Adam Optimizer worked better than GradientDescent Optimizer did. With the addition of Xavier initializer, the model performed slightly better than using truncated normal with standard deviation 0.1. The learning rate 1e-4 seemed to work the best compared to 1e-3 and 1e-5, using tanh activation functions, 8000 training samples, and 5000 iterations.

c) Visualize the Trained Network: Visualize the first convolutional layer's weights.

The mean, standard deviation, and the variance of the two convolutional layers with ReLu activations were calculated using the following code:

```
# calculate statistics of the activations
h1 = h_conv1.eval(feed_dict = {tf_data: Test, tf_labels: LTest, keep_prob: 1.0})
h2 = h_conv2.eval(feed_dict = {tf_data: Test, tf_labels: LTest, keep_prob: 1.0})
mean_h1 = np.mean(np.array(h1))
std_h1 = np.std(np.array(h1))
var_h1 = np.var(np.array(h2))
mean_h2 = np.mean(np.array(h2))
std_h2 = np.std(np.array(h2))
var_h2 = np.var(np.array(h2))
print("ReLu activation 1: mean %g, standard deviation %g, variance %g" % (mean_h1, std_h1, var_h1))
print("ReLu activation 2: mean %g, standard deviation %g, variance %g" % (mean_h2, std_h2, var_h2))
```

To show the first convolutional layer's weights. The following codes were added.

```
n_filters, ix = 32, 1
for i in range(n_filters):
f = first_conv_weight[:, :, :, i]
# specify subplot and turn off axis
ax = plt.subplot(4, 8, ix)
# plot filter channel in grayscale
plt.imshow(f[:, :, 0], cmap='gray')
ix += 1
plt.axis('off')
# show the figure
plt.show()
```

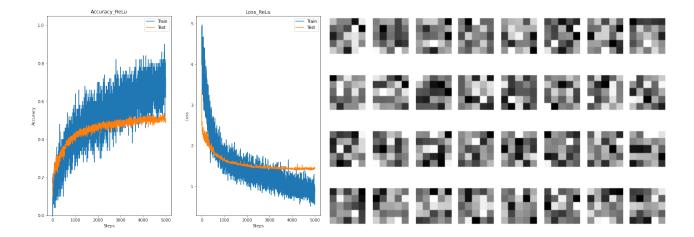
The results were shown in the following:

```
step 0, training accuracy 0.2
step 0, training loss 4.87657
step 1000, training accuracy 0.3
step 1000, training loss 1.89349
step 2000, training accuracy 0.38
```

```
step 2000, training loss 1.71414
step 3000, training accuracy 0.56
step 3000, training loss 1.4345
step 4000, training accuracy 0.78
step 4000, training loss 0.924481
```

test accuracy 0.508

ReLu activation 1: mean 0.0741311, standard deviation 0.0843887, variance 0.00712145 ReLu activation 2: mean 0.0240031, standard deviation 0.0536668, variance 0.00288012



### 2. Visualizing and Understanding Convolutional Networks

### Paper summary

This paper introduced a multi-layered Deconvolutional Network (deconvnet) to visualize and understand large convolutional network models. The network model consisted of eight convnet layers. The first five layers had a deconvnet attached via a switch, following by the two conventional fully-connected networks before the last class softmax layer. Each of the five convnet layer had set of learned filters that passes though relu activation functions then max pooled and normalized across each feature map. In the deconvnet, the feature maps that were constructed by the convnet were set as input while all other activations in the layer were muted. The deconvnet reversed the actions in the convnet by first unpooled the maxima in each pooling layer, then used a relu non-lineality to reconstruct the signals from each layer. Each deconvnet allows us to view a given convnet activation, showing distinct patterns that activate the feature map from the training samples. From the paper, the first layer seemed to pick up the essence of images, such as color blocks and region/location of the images. The second layer seemed to be able to identify the edges and the shape of the objects. As the network got deeper, the deeper layers could learn and capture more complex patterns and eventually could reconstruct whole new images that resemble the real objects. This method makes the deep of the network a vital point, as mentioned in the paper.

## 3 Build and Train an RNN on MNIST

#### a) Setup an RNN:

The setup was shown as following:

To load the RNN cell, certain modifications were needed:

import numpy as np
import tensorflow as tf
from tensorflow.python.ops import rnn, rnn\_cell
from tensorflow.keras import optimizers
import matplotlib.pyplot as plt
%tensorflow version 1.15

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```
if (tf.__version__.split('.')[0] == '2'):
   import tensorflow.compat.v1 as tf
   tf.disable v2 behavior()
```

#### The parameters were:

```
learningRate = 1e-3
trainingIters = 60000
batchSize = 100
displayStep = 10

nInput = 28  # we want the input to take the 28 pixels
nSteps = 28  # every 28
nHidden = 128  # number of neurons for the RNN
nClasses = 10  # this is MNIST so you know
```

#### The model was set up as following:

## Optimization, cost, evaluation, and accuracy were set up as following:

```
#optimization
#create the cost, optimization, evaluation, and accuracy
#for the cost softmax_cross_entropy_with_logits seems really good

cost = tf.reduce_mean(tf.nn.softmax_cross_entropy_with_logits(logits=pred, labels=y))
optimizer = tf.train.RMSPropOptimizer(learning_rate=learningRate).minimize(cost)
correctPred = tf.equal(tf.argmax(pred, 1), tf.argmax(y, 1))
accuracy = tf.reduce mean(tf.cast(correctPred, tf.float32))
```

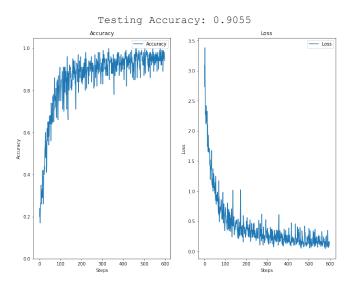
#### The following parameters were tuned:

Learning rate: 1e-3, 1e-4

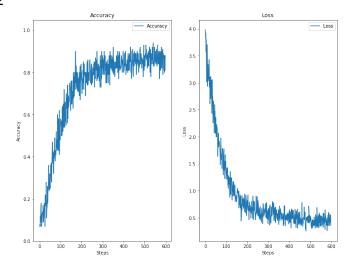
Batchsize: 50, 100

• Iteration: 60,000, 100,000. 150,000

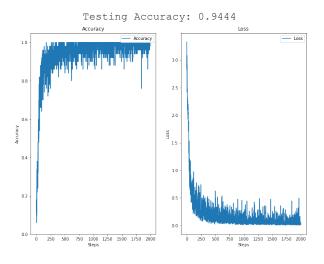
Learning rate: 1e-3, iteration 60,000, batchsize: 100:



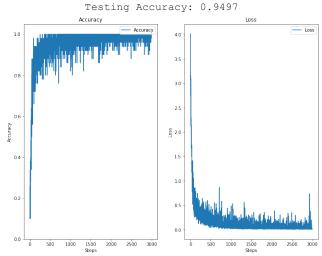
Learning rate: 1e-4, iteration 60,000, batchsize: 100:



Learning rate: 1e-4, iteration 100,000, batchsize: 50:



Learning rate: 1e-3, iteration 150,000, batchsize: 50:



The model with the 1e-3 learning rate, 150,000 iterations, and 50 batch size seemed to give the highest testing accuracy 0.95 for basic rnn.

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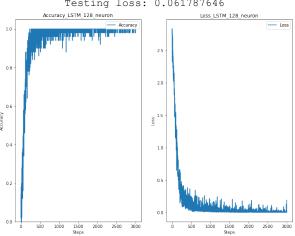
b) How about using an LSTM or GRU: change line 35 in the starter code (see below) to use LSTM and GRU instead of RNN.

#### LSTM:

```
lstmCell = rnn_cell.BasicLSTMCell(nHidden, forget_bias=1.0)
learningRate = 1e-3
trainingIters = 150000
batchSize = 50
displayStep = 10

nInput = 28  # we want the input to take the 28 pixels
nSteps = 28  # every 28
nHidden = 128  # number of neurons for the RNN
nClasses = 10  # this is MNIT so you know
```

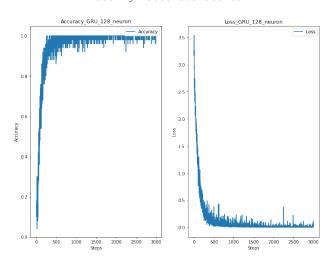
#### Testing Accuracy: 0.9801 Testing loss: 0.061787646



## GRU result:

```
lstmCell = rnn_cell.GRUCell(nHidden)
learningRate = 1e-3
trainingIters = 150000
batchSize = 50
displayStep = 10
nInput = 28  # we want the input to take the 28 pixels
nSteps = 28  # every 28
nHidden = 128  # number of neurons for the RNN
nClasses = 10  # this is MNIT so you know
```

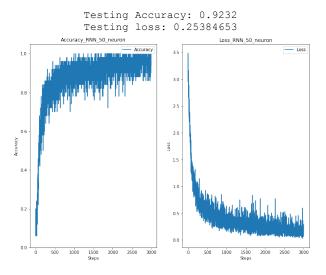
Testing Accuracy: 0.9756 Testing loss: 0.07563189



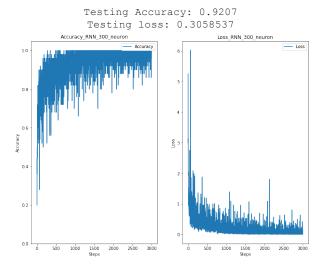
## ELEC 576 - Assignment 2

GRU seemed to perform better than LSTM, and basic RNN under the condition: with the 1e-3 learning rate, 150,000 iterations, and 50 batch size. We then changed the number of hidden units to 50 and 300 and the results are shown in the following:

## RNN 50 neurons:

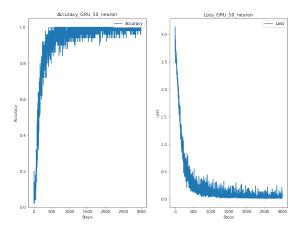


# RNN\_300\_neurons:



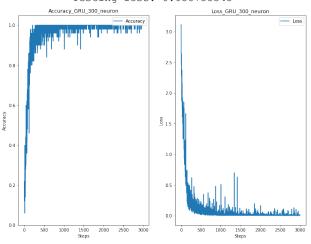
GRU\_50\_neurons:

Testing Accuracy: 0.9728 Testing loss: 0.08430433

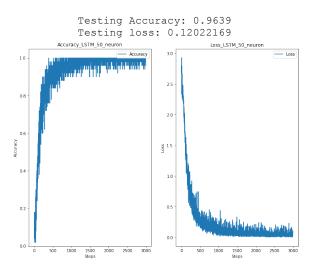


# GRU\_300\_neurons:

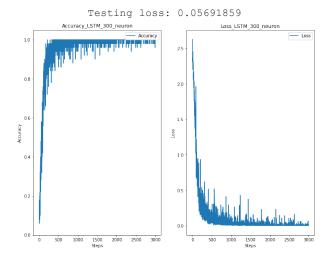
Testing Accuracy: 0.9823 Testing loss: 0.058735345



# LSTM\_50\_neurons:



LSTM\_300\_neurons:



As the size of the hidden units increased from 50, 128, to 300, the testing accuracy increased slightly. However, as the number of hidden units increased, the runtime increased. Using the same parameters, the GRU model performed slightly better than the LSTM model, which performed better than the basic RNN model.

c) Compare against the CNN: Compare with training using convnet in assignment 1 and describe any similarities or differences.

CNN from assignment 1 gave test accuracy of 0.9861 which is the highest among basic\_RNN, GRU, and LSTM, which were around 0.983. Both the CNN and RNN are similar that they both use neural network to learn and as the number of iterations increases, the neural network can adjust based on loss functions and finally recognize patterns and features of the data. Both RNN and CNN could suffer from the vanishing and exploding gradient problem and both types of network share the parameters across different time point to decrease the computational cost. CNN contains convolutional layers which consists of filters to transform and process the data before feeding to the next layer. CNN performs better with visual data or data that has spatial information and is considered more powerful compared to RNN. CNNs use connectivity pattern between the neurons with fixed size inputs and generates fixed size outputs. Unlike the CNN, RNN can learn from the past information in a sequence. RNN uses time-series information. The network reuses activation functions from past datapoints in the sequence as well as the new input at specific time point. RNN includes less feature compatibility but can handle arbitrary input/output lengths.

## Reference:

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