

# Term Paper

For Research Directions

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by

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## 0.1 Overview of Applied Machine Learning

Applied machine learning is a large topic. It takes the topics and tools of machine learning and theorizes applications for the real-world. The research explores new ways to represent, manipulate, and guide data analysis with machine learning tools. The research often creates new architectures that perform better in an applied scenario. There are many tools within machine learning. Machine learning architecture is also very flexible. For example, each machine learning model can consist of a varying number of layers, nodes, and even submodels. Moreover, machine learning behavior depends on its input. Some of the papers covered in the related work will explore how data manipulations can further the performance of existing machine learning models. For example, it has been shown that providing regularization produces a model that performs better on new data. Furthermore, there are many ways and techniques to apply regularization. Newer theories have proposed new techniques for regularization. Moreover, many of these new techniques may apply to certain types of machine learning architectures or nodes, such as new forms of regularization for LSTM nodes. Of particular interest to my research has included techniques for handling multi-varied types of input. For example, my masters thesis explored the combination of text and image data within a single machine learning model. These types of advanced machine learning pipelines drive big data, big analysis, and ways to analyze complicated data. I plan on continuing to drive my research within the direction of exploring new ways to handle various inputs with different data types. The field of applied machine learning is vast and full of opportunity for new researchers to discover new theories and make

innovations in the use, application, and understanding of machine learning.

From the related work covered in this paper, there are major threads under development in the arena of applied machine learning. These pertain to machine learning with each type of data. The most popular types of data that receive attention when researchers theorize about their use and possible applications are text, audio, visual, and time-series data. These data types are popular because they are commonly available. Such data are available in public repositories of data or through application APIs, such as text and image data that is available from utilizing the Twitter API. Each data type has multiple facets. More interestingly, certain machine learning algorithms perform better and differently for particular data types. Neural Networks (NNs) perform very well on simple text learning tasks, yet struggle to learn image data. Convolutional Neural Networks (CNNs) may underperform with text-analysis, but have excelled at image-analysis. Video analysis tends to use Long-Term Short Memory nodes (LSTMs), but often incorporate CNNs, since videos are composed of many images.

While there are many techniques for analyzing different types of data, society and academia has seen an increase in the amount of available data. Moreover, not all data is the same. There are many types of video data. There is still video data, moving video data, video at night, day, in different places, and with more people. These data differences exist in text data too. A researcher can analyze text data from Twitter, which looks different than text data from a research paper, which also looks different from text data translated from audio data. The different data types and variations within data types are a challenge for researchers. The creation



of theories about Twitter text data represents advances in our knowledge of social media. Creating models that are better at understanding text data that is created from audible speech can further research's understanding of text sentence structure. These examples only illustrate that there are many ways to approach each data type, and each data type provides many ways to explore and understand its data.

There are many benchmarks within the field of applied machine learning. Many of these benchmarks are the performance of well-tuned machine learning algorithms on a given set of data. It is common for papers within the field of applied machine learning to attempt to improve upon machine learning model performance benchmarks with new tools or techniques. Another common occurrence is to create an architecture that performs well on new data, or with a new aspect of data. The paper will then apply the machine learning architecture against existing benchmarks to show it performs similarly well on the data. It is common to apply the machine learning architecture to existing benchmarks as a litmus test of the machine learning model's overall performance. There are many benchmarks from repositories like Kaggle or libraries like sklearn. New research is always creating new data and creating new benchmarks.

It is worth reviewing the popular tools and approaches within the field of applied machine learning. Machine learning models take inputs. These inputs are transformed by models into outputs. There are many manipulations on the data while it passes through the models. The outputs depend on the type of machine learning. Two common tasks within machine learning are classification and regression. Classification models tend to output a probability for each classification through the final layer,

known as the softmax layer. How the input is manipulated depends on the type of machine learning model. One common type of machine learning model is an Artificial Neural Network (ANNs), which apply simple functions to the inputs, such as a sigmoid, relu, or tanh function. The model is generally composed of a few layers, where each node is connected to each node in its subsequent layer. The network's input weights, for each layer, are adjusted based on the model's error. The Convolutional Neural Network (CNNs) is similar. The CNN is also composed of nodes. Half of the CNN learning is the same as ANNs, i.e. nodes connect to one another and go through a simple learning function like relu. The difference with CNNs is how the layers are connected. Instead of connecting all layers together, CNNs split the data up into regional chunks, e.g. the upper right array of data. The region of datas are connected. One intersting behavior from the CNN is that region sizes are halved and joined. In this way, regional behavior is captured and joined together in the output. Another major type of machine learning model is a Recurrent Neural Network (RNNs). RNNs are very similar to ANNs, except their layers are connected differently. The RNNs layers do not always connect to the next layer, i.e. the layer's output may serve as input to a previous/the same layer. This provides a cycle of input output information within the neural network. This allows each layer to have some input from future layers, which creates a sense of network memory, where previous data serves as input to the network's current behavior.

## 0.2 Related Work

Shen et. al explores attention mechanisms for machine learning. The subject of attention mechanisms is not well known within machine learning. It has recently attracted a large amount of attention, due to its performance and speed of computation. Since attention mechanisms are more lightweight, they train faster. The mechanism, as will be explained, still relies on nodes, and therefore has much of the flexibility of neural networks. Shen et. al delve into a type of attention mechanisms, a recurrent attention and bi-way attention mechanism denoted as a Directional Self-Attention Network (DiSAN). The paper shows that its DiSAN model outperforms complicated RNN models in prediction accuracy and time efficiency on existing benchmarks. The paper is relevant because it presents another, quite new machine learning mechanism that has shown promise for applied machine learning.

The attention mechanism takes advantage of a hidden neural network layer. The hidden layer works on the input sequence and predicts the importance of their weights. This creates a mechanism where neural network inputs are scrutinized by a separate neural network. The separate neural network determines the importance of the weights, and give credence to those weights, so that the model primarily uses the most important inputs. The result is a categorical distribution for the input sequence, and the neural network nodes have memory of which input sequences are important or more relevant. One disadvantage of these networks is that temporal order of input information is lost. The paper's DiSAN model helps fix this by providing sequential memory for the attention networks. The paper demonstrates that their attention

mechanism models perform particularly well at alignment scores between two sources, i.e. does well at providing a similarity score between two sources or texts.

There are a few jewels in the Shen et. al paper, like how an additive function for attention often outperforms multiplicative attention, and is also more memory efficient. Their models make use of cross-entropy as an optimization objective and include L2 regularization. The minimization optimizer is Adadelta with mini-batch of size 64. The initial learning rate is quite large, i.e. 0.5, which is decreased over epochs. The weight matrices for networks use GloVe and are pre-trained with out of vocabulary words, which initially were randomly initialized from a uniform distribution. The model uses a dropout of 0.25 and 0.2. The dropout is also varied throughout the learning process. The final model uses fewer parameters than either RNN or CNN networks by margins of 3%. The model is applied to the Stanford Sentiment Treebank and performs better than the best existing model by 0.52%. The model is also applied to Sentences Involving Compositional Knowledge (SICK) and with a similar performance. Of important note is the model's bi-directional ability to track different features in forward progressing layers than a backward focused layer, one picking up word families and the latter focusing on word carousel.

Ji Lee performs sequential short-text classification with ANNs. The author's point is that text classifications often occur by only considering a text, not necessarily its preceding or subsequent texts. The paper proposes that using information preceding short texts may improve classification accuracy. Their model initially generates vector representations for short-texts using either the RNN or CNN architectures. The authors utilized early stopping after 10 epochs and performed hyperparameter

training. Their model serves as a benchmark for ANN performance to sequential short-text classification.

Wenpeng et al perform a comparative study between CNN and RNN for Natural Language Processing (NLP). This is an interesting subject, since RNNs and CNNs differently model sentences. RNNs capture units in sequence and CNNs are good at extracting positional invariant features. Both CNNs and RNNs are also the primary types of DNNs. The paper covers multiple NLP tasks with each type of network, specifically CNNs, Gated Recurrent Units (GRUs), and LSTMs. It is worth mentioning that the networks in the study did not obtain great performance on existing benchmarks, which may limit the value of the study's insights. The NLP tasks are sentiment/relation classification, textual entailment, answer selection, question-relation matching, and part-of-speech tagging. The authors found that both CNNs and RNNs provide complementary information on text classification tasks. The authors also found that changing hidden layer sizes and batch sizes resulted in large performance fluctuations. A related work in the study found that RNNs compute a weighted sum of n-grams while CNNs extract the most important n-grams and only consider their resulting activation.

I read a paper on sentence pair scoring by Petr et al. The authors argue that many sentence pairing tasks like Answer Set Selection, Semantic Text Scoring, Next Utterance Ranking, and Recognizing Textual Entailment are all very similar. They propose a unified framework that employs task-independent models for sentence pair scoring models. The model can easily compare models against its baseline in an effort to create a better framework for evaluating machine learning models. It could be

worthy comparing any models I might create for sentence pair scoring within their model framework.

There were a few papers on deep learning with video data. One interesting paper performed deep learning by using CNNs on multiple frames. This paper was by Hossein Mobahi. The paper performs large-scale object recognition. Videos are composed of multiple frames, which provides a number of frames which contain the same objects. These similar frames can each be processed by a CNN to provide additional information and possibly better accuracy in object recognition. The paper learns the objects, based on the frame-to-frame video motion by performing classification on each frame. The authors see learning from multiple frames more related to evolution, as humans experience learning through the world, which is constantly moving and changing. The paper made use of 72x72 sized images of 100 images, where each object was shot 100 times at angles that each differed by 5 degrees.

Wojciech Zaremba explores RNN regularization. Dropout is the most successful technique for regularizing neural networks, but they do not work well with RNNs and Long Short-Term Memory units (LSTMs). Dropout works by randomly dropping outputs on a certain percentage of nodes. Dropout is used as a form of regularization to make networks more generic and stable on new inputs. Being able to apply regularization to RNNs or LSTMs could make video deep learning much more performant. Due to lack of regularization effectiveness in RNNs, RNNs tend to quickly overfit on large networks. The author's trick is to apply the dropout operator only to the non-recurrent connections. The final model uses minibatch of size 20 with 650 units per layer of the LSTM.

Graves from Google researched speech recognition with RNNs. The paper presents a system to transcribe audio data to text. The paper is novel because it performs transcription without a phonetic representation. The model uses a bidirectional LSTM RNN architecture. Current practice working from audio to text data comprises speaker normalization and vocal tract length normalization. The normalized voice is then fed into a model. The extra step of normalization of voices makes the model bad at dealing with outlier voices, such as the elderly. By having the model directly transcribe the audio data, the model can overcome the difficulties of odd voice tracts. There are papers by Graves that perform raw speech with RNNs and Restricted Boltzmann Machines (RBMs), but the model is expensive and tends to be worse than conventional processing. A previous work did speech recognition with this architecture (Eybern et al., 2009), but it used a shallow architecture and did not deliver compelling results. An advantage of this research is its use of bidirectional RNNs to capture the whole utterances and their context. This is possibly useful in the core research proposed by the term paper as a method for analyzing the entire context of speech data.

Karen et al. proposes a unique use of combining CNNs for action recognition in videos. The goal is to capture complementary information from still frames and their motion. The recognition of human actions in video is well researched. This paper builds upon existing works by creating a new architecture for analyzing human actions by combining an image-based model and a movement-based model, e.g. one model tracks the still images and the other tracks the gradient of movement in those images. In this way, the paper presents a technique to combine two different data

types into a single CNN model. The overall idea is the motion and still-frame data types are very different. Also, actions often contain motion. The action motion can aid to the identification of the action. The CNNs are separately trained and later combined via their softmax scores. The paper does some interesting calculations for the motion in order to account for a moving camera by subtracting movement that exists across the entire frame. The CNNs do max-pooling with a 3x3 window and a stride of 2, which seemed practically too large. The images were 224x224 and randomly cropped, horizontally flipped, and underwent RGB jittering. The authors found that such fine-tuning only gave marginal improvements over the training set. The paper also saw that large dropout over-regularises learning and leads to a worse overall accuracy.

Translating images to videos is a popular topic. It is particularly interesting because it performs translation from one data type to another. Donahue et al presents a model transcribing video to text descriptions. The paper proposes an architecture known as Long-term Recurrent Convolutional Networks (LRCNs). The goal of the architecture is to leverage CNN recognition strengths and to have an RNN remember time-varying inputs and outputs. One of the largest difficulties with the model is deciding how much time-varying information to remember, which were not deterministic in this model due to their issue of the vanishing gradient in their RNN model. The authors see their model as an improvement on video activity datasets with complex time dynamics and improve existing benchmarks by 4%. The LRCN predicts the video class at each time step and average the predictions for a final classification. The model extracts from 16 frame clips and uses a stride of 8 frames from each video.



The model is trained on TACoS, a dataset for video/sentence pairs.

**0.3    What area within IT would you like to draw  
upon to inform a topic that you are interested  
in?**

**0.4    Topic**

#### 0.4.0.1 What is known about this topic?

#### 0.4.0.2 What needs to be known?

#### 0.4.0.3 What would you like to know?

#### 0.4.0.4 Why is it important?

#### 0.4.0.5 Why we should care?

0.5 Describe your understanding of one or two open problems/questions in IT

**0.5.1** What is the gap between what is known and what needs to be known?



### 0.5.2 What would you like to know?

### 0.5.3 Formulate a question that specifies b.

## 0.6 Research Question

### 0.6.1 Open Research Problems in IT

## 0.7 Purpose Statement

### 0.7.1 Signpost that establishes the central intent for the study?

My thesis was two-fold, initially it was creating simple neural network and convolutional neural networks in order to perform prediction on advertisements. Each network regressed and output that represented how well the advertisement performed on social media. The second goal of my thesis was to somehow combine my analysis of NN and CNNs. The initial ideas were to average their regressed outputs, as an average equally weights outputs from both models. Another idea was to feed each output into a new machine learning model. The outputs from the NN and CNN were fed into a decision tree, hoping that the decision tree would create a result that performed better than simple averaging. The decision tree was slightly beneficial, but overall the combination of the two models performed worse than each individual model. The result denoted that there was no obvious or simple way to combine machine learning models, especially models that were comprised of different data types, e.g. images and text data.

The really interesting and fun part of the thesis occurred while exploring ways to combine the NN and CNN models. The decided upon plan-of-action was to try another method for combining the NN and CNN. The thesis attempted to combine the NN and CNN mid-model. The important observation was that most of the model's computations were finished before the model's final output layer. The model's could be combined at the n-1 layer. This allowed each model to stay mostly independent, while combining their data. The result was a final model that performed better than

the NN or CNN model. The thesis found that combining models of different data types is interesting, difficult, and worth exploring. The topic of combining models of different data types offers a lot of promise. If researcher's can find better ways to model complex data, i.e. data that contains multiple data types, then researcher's and practitioners will have better tools for analyzing real-world data. Most data in the world is complex, interconnected, and can be represented in many ways. For example, medical diagnosing patients makes use of visual data, e.g. X-Rays and a set of symptoms, which can be represented as text data. Having ways to combine the analysis of text and image data can produce models that make better predictions on these datasets.

The central intent for my research is developing methods and machine learning architectures that best process a combination of image and text inputs. The research will investigate ways to manipulate inputs and formulate architectures to handle these types of data inputs. Central to many of the related works were architectures and methods to process the data differently. Current reserach is full of methods and architectures for processing data. It is feasible that some of these methods can be combined or leveraged to work well on a combination of text and image data.

One such interesting method for combining the analysis of image and text data is to make use of attention from machine learning models to remember which combinations of text and image data are most important. The method begins with two shallow models, a text-based model and image-based model. The models are attention models and track which input sequences are most important. A third combination model can be built using the two independent models. The third model can use the

attention layers from each models. In this way, the new model looks for the most important input sequences for the text-based and image-based models. It seems like the one hidden layer that makes use of the text-based and image-based hidden layers might be robust enough to create a combined model that performs well on the data by paying special attention to the most important input features. It would be interesting to see how the behavior of the model changes if another hidden layer is added to the model, since this would be combining the most important inputs from each model. This combination of the models is similar to the thesis methodology, which worked well.

Another method is to iteratively build the combined model. I propose that text-based and image-based models are built. I propose that a combined model begins with the inputs of the text and image-based data. For each new layer of the combined model, I propose that the hidden layers and their weights from the text and image-based models are added to the combined model. This allows the combined model to garner important data from each individual text/image-based model while analyzing their combination within the main layer. The added layers can be frozen so that their weights don't change with training. Only the original layers, which are not from the text/image based models undergo training. This allows the model to train on the relationships between the image and text relations in the model.

A third interesting method would be to train a single network twice. CNNs have had some success with text. It would be interesting to train a CNN model on images, freeze the top few layers, and then train the rest of the lower layers on text data. One challenge is formatting the text and image data for a single model. The result might

be useful for finding the major image features and increasing some of the accuracy with text data.

**0.7.2 Is there a body of knowledge in IT you would like to contribute to?**

**0.7.3 Is there an area of practice you would like to improve?**



## 0.8 Theory

## 0.8.1 Philosophical Assumptions

### 0.8.1.1 Social Reality

### 0.8.1.2 What we understand to be true

## 0.9 How do we understand?

## 0.10 Means of Investigation

0.10.0.1 Qualitative/Inductive

0.10.0.2 Quantitative/Deductive

## **0.10.1 Means of Evidence**

### **0.10.1.1 Data Collection**

### **0.10.1.2 Data Analysis**

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