

Startup Project B4

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Abstract: This is a summary report of the results obtained for the startup program assigned to the B4 students. First a quick review of what Neural Networks are and their importance to the classification problems will be discussed as a review of some math concepts behind Neural Networks. Then, some of the more commonly used networks architectures will be implemented using the python framework for Deep Neural Networks: PyTorch. By using this framework, different network architectures are built and tested with different well-know image datasets : MNIST, KMNIST, CIFAR10, CIFAR100. The architectures discussed in this paper are: MLP (Multilayer Perceptron), CNN (Convolutional Neural Network), ResNet (Residual Network). Finally, based on these results, some analysis of the different implemented architectures is given.

Keywords: PyTorch, Neural Networks, Convolutional Neural Network, ResNet.

1. Introduction

Neural Networks has being proven as a very powerful tool within the Machine Learning field. It can accomplish anything you would ever think. It can creates, translates, generate, classify, etc. Specially when it comes to classify data, it seems neural networks are unbeatable. No matter what kind of data it is, Neural Networks under the proper training and a proper data preprocessing will be able to classify anything. Images, speech, text, actions, anything that can be expressed as a sequence of numbers, can be classify with neural networks. Neural Networks have come a long way since its creation in 1940's, since then it has been evolving, adopting a more complex architecture so it can adapt to more difficult classification task. In this paper some of the more famous and more widely used networks will be discussed: MLP, CNN and ResNet.

Let's start first by describing what are neural networks. Well in a nutshell a neural network is just a function that based on some parameters and some specified operations it can transform an input into an output. In other words, if \vec{x} is my input then $\vec{y} = NN(W, \vec{x})$ would be my output. Here NN denotes a neural network. And that is basically it, depending on the types of operations done inside the network and what kind of parameters you are using, then you have a different architecture of a neural network but in the big picture all looks like this simple function. Now, what we are looking for is a the right parameters W such that our network can predict or generate or classify properly the data that we supply to it. In other words, if I have a dataset $\mathbb{D} = \{\vec{x}_i, \vec{t}_i\}$, I want my model to exactly, or approximately output \vec{t}_i when I input \vec{x}_i to it.

$$NN(W, \vec{x}_i) = \vec{y}_i \approx \vec{t}_i \quad (1)$$

But how to do it? Well first we need to assign a number to a

how close our model is to the right output. So we can tell the neural network whether it is getting close to the right output or not. This way to evaluates how accurate is the neural network is called loss function.

$$Loss = L(\vec{y}_i, \vec{t}_i) \quad (2)$$

This function will have the property of being small or zero when $\vec{y}_i \approx \vec{t}_i$ and have a huge value or a very high value when \vec{y}_i gets "far" from \vec{t}_i .

Now our problem of finding the appropriate W has become into a minimization problem. Since finding the W that makes the output of the neural network \vec{y}_i be close to \vec{t}_i , is similar to find the W that make the loss function minimum. And we have a very powerful tool in mathematics to minimize functions that is called gradient descent.

As the method's name implies, the gradient descent methods uses the gradient of the function you want to minimize to find the direction that it has to follow in order to minimize the function.

$$W_{k+1} = W_k - \alpha \frac{\partial L(\vec{y}_i, \vec{t}_i)}{\partial W} \quad (3)$$

In this case we use a parameter *alpha*, that is known as learning rate, in order to make the update more "smooth", less chaotic and helps the model to converge quickly. It is important to notice that we use the negative of the gradient since, that is the direction where the minimum point is. Think about a parabola as an example, if you take the gradient at some point around the vertex, which is the minimum point, the gradient will always point outwards the vertex. Therefore if we want to find the vertex we should go in the opposite direction, thus the negative sign.

There are some problems of course with this method, to say the least. One of the problems is that, the minimum that you

are finding with this method, it is not necessarily the global minimum, it can be just a local minimum. Another problem, it is that you can fit perfectly your training data, the dataset \mathbb{D} that we used to train our network, but that does not assure you that your network will perform well with new data, this is called lack of generalization. This are just some few problems from a larger list, but still this method has been proven to be good enough to give some good results. There has been created some methods that has helped to improve this method in order to avoid or to somehow cope with the mentioned and unlisted problems, such as choose better initial values, second order optimization and so on.

This is basically how neural networks work, kind of. New neural networks out there may operate a little different but the main core is what it has been explained until here. The basic process on how to train network goes a little bit like this:

```

Data:  $\mathbb{D} = \{\vec{x}_i, \vec{t}_i\}$ 
Result:  $W_{best}$ 
initialize  $W_0, k = 0$ ;
while  $k < \text{totalepochs}$  do
  Forward;
  get the output of network using  $W_k$ ;
   $\vec{y}_i = NN(\vec{x}_i, W_k)$ ;
  calculate the loss ;
   $L = L(\vec{y}_i, \vec{t}_i)$ ;
  Backward;
  calculate the gradiend ;
   $\frac{\partial L(\vec{y}_i, \vec{t}_i)}{\partial W}$ ;
  Optimize;
  update the parameters ;
   $W_{k+1} = W_k - \alpha \frac{\partial L(\vec{y}_i, \vec{t}_i)}{\partial W}$ ;
end

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Algorithm 1: How to write algorithms

As it can be seen from the algorithm, the training process can be split into three subprocess: Forwarding, Backwarding and Optimizing. The Forwarding is pretty simple and straightforward, it just calculates the output from the neural network using the current parameters. The Backwarding process calculates the gradient by using basically chain rule among the layers within the neural network. Since you are using chain rule you go from the more outward layer to the first layer calculating the gradients, you are going backwards in this process hence the name. Finally, in the Optimizing process, we used the gradients we obtained in the previous step to update the parameters. This 3 subprocess repeats consecutively for a number of times or epochs.

2. Architectures

2.1 MLP: Multilayer Perceptron

This is one of the most simple networks that exists out there. The input data \vec{x} under some Linear Transformations, using some matrix w and vector \vec{b} , is transformed into an output $\vec{y} = w\vec{x} + \vec{b}$. Then this output is transformed using an activation function, to give non-linearity properties to this network. If no activation function is used at all, or just a simple linear function, in other

words $f(x) = x$ is used, then the classification obtained but the network would not escape the linear domain, making impossible to classify more complex distributed data. Hence non-linear functions are used as activation functions such as: Sigmoid, Hyperbolic tangent, ReLU, among others.

What it has been described until now, it is what a single layer does. This layer is called Fully Connected Layer or FCC for short.

$$\vec{o} = f(w\vec{x} + \vec{b}) \quad (4)$$

Here the matrix w is called weights and the vector \vec{b} is called bias. In simple words, weights are how "strong" a neuron from the previous layer is connected to a neuron in this layer. And the bias is a parameter that regulates the threshold under which the neuron should "fire" or not to the next neuron. And the activation function f does exactly what the name suggests, a function that tells the neuron how it should "fire", or how it should "activates". This is of course just an analogy between this artificial neural networks and the actual neural networks in our brains. If we see this from the math point of view, it is just a linear transformation and a function evaluation for non-linearity (similar to what kernel functions do).

Since we are dealing with a MULTI layer networks, that means that we are going to stack multiple fully connected layers one after another. And the output of one layer becomes the input of the next layer and so on until the last layer.

$$\begin{aligned}
 \vec{o}_1 &= f(w_1\vec{x} + \vec{b}_1) \\
 \vec{o}_2 &= f(w_2\vec{o}_1 + \vec{b}_2) \\
 &\vdots \\
 \vec{o}_i &= f(w_i\vec{o}_{i-1} + \vec{b}_i) \\
 &\vdots \\
 \vec{o}_n &= f(w_n\vec{o}_{n-1} + \vec{b}_n)
 \end{aligned}$$

And that is basically the structure of this well know architecture. Now we just have to train it by using some well known loss functions such as Mean Square Error Loss or Cross Entropy Loss. Normally, for classification problems, the Cross Entropy Loss are commonly used. And along with Cross Entropy Loss, it is common practice, if not a must, to use a softmax layer at the end of the network.

2.2 Softmax Layer

The softmax layers it is a statistical tool that allow us to transform our output to a probability distribution. As we know, a probability distribution has to fulfill an important property, that is the sum of all the probabilities should be 1. The direct output of this fully connected layres does not necessarily fulfill this, in fact they generally will not fulfill this. Another property is that this values

should be positive since they are probabilities, and since we normally are using linear transformations and activation functions that can output negative values, therefore we need a transformation that fix these 2 problems. This is done with the function describe in the following equation.

$$y_i = \frac{e^{o_i}}{\sum_k e^{o_k}} \quad (5)$$

This MLP network although efficient and useful suffers from some disadvantages. One of these disadvantages is that it can be really heavy specially when we are dealing with huge sized inputs. For example images. Images has a lot of information, a really small image, such as the one used in the famous dataset MNIST, has around 784 pixels (28x28). So if we were to use just one layer that connects this 784 inputs to 100 neurons in the middle and then connect this neurons to 10 output neurons (one output per each class) then we will have $78400 + 1000 = 79400$ parameters in our weight matrices. Since each parameter is a float number (8 bytes), our model will be around 0.6MB. This may seem a small number but remember that we are using small images, just 28x28 images!. And as we increase the resolution of the images to larger sizes our model will become heavier and heavier quadratically. Also, as you may have already noticed, the images are treated as a linear array in order to be processed in this network. By flatten the image we are losing some important 2D information from it. Thus this network will not be that good at classifying images. Here is where our next network architecture came into play.

2.3 CNN: Convolutional Neural Network

These networks were a game changer. Not just made our model less heavier but also took advantage of the 2D structure of the information in images to improve the accuracy of the model. The basic idea behind CNN is to extract some spatial features from the image by applying filters. These filters are kind of the weights used in the multilayer perceptron, but how we applied these filters to the image are quite different. Instead of doing some matrix multiplication, we are going to use correlation. Which is basically a element wise multiplication of submatrices within the image with the filters' elements and then adding them all. We slide the filter around the image thus generating another image but with different values. These new values represent some local characteristic of the image. For example, if we use a filter that looks like a diagonal matrix, then this filter will output high values when the submatrix within the image has a diagonal line. Of course this is a very simple filter to exemplify how filters work. In reality, the filters that are found after training, find more complex and abstract patterns that makes better image classification.

$$y = I \star F + b \quad (6)$$

Here \star symbol represents the correlation operation. F is the filter used for the correlation and b is the bias.

The correlation operation is defined as follow:

$$[I \star F]_{ijk} = \sum_{pqr} I_{i+p, j+q, k+r} F_{pqr} \quad (7)$$

When we perform backpropagation in the convolution layer we will use the convolution operation (thus the name of convolution layer). Convolution operation is defined as follows:

$$[I * F]_{ijk} = \sum_{pqr} I_{i-p, j-q, k-r} F_{pqr} \quad (8)$$

There other parameters that dictates how this operation is perform. Two of those, and possible the main ones, are the padding and the striding. Padding is basically how much margin, we should add to the image, by adding rows or columns filled with zeros. The striding means how we should slide the filter around the image, in other words how much the step should be.

What we have described so far is actually a kind of layer denominated convolutional layer. Networks that uses this kind of layers are called convolutional neural networks, but this does not mean that the network just uses convolutional layers, it also includes activation function layers, fully connected layers and other kind of layers that we will described now.

2.4 MaxPool Layers and Average Layers

These 2 layers are just ways to sub sample our input in order to reduce the size of the input. From a sub matrix (or sub tensor) form the input we can just take either the maximum value (MaxPool Layer) or the average value (Average Layer) and by doing this for all the submatrices we can reduced the size of the input matrix.

$$Y_{ijk} = \max(I_{ip:(i+1)p, jq:(j+1)q, kr:(k+1)r}) \quad (9)$$

$$Y_{ijk} = \text{mean}(I_{ip:(i+1)p, jq:(j+1)q, kr:(k+1)r}) \quad (10)$$

2.4.1 BatchNorm Layers

$$\mu = \frac{\sum_{ijk} I_{ijk}}{N} \quad (11)$$

$$\sigma^2 = \frac{\sum_{ijk} (I_{ijk} - \mu)^2}{N} \quad (12)$$

$$\bar{x}_{ijk} = \frac{I_{ijk} - \mu}{\sqrt{\sigma^2 + \epsilon}} \quad (13)$$

$$Y_{ijk} = \gamma \bar{x}_{ijk} + \beta \quad (14)$$

2.4.2 Dropout Layers

This layer basically wants to avoid overfitting by "dropping" some values randomly. By dropping we mean that we will change the actual value by zero depending on a random choice. This makes the network to try to fit the train data but never overfits because of the random factor.

$$Y_{ijk} = \text{random}(I_{ijk}, 0) \quad (15)$$

2.5 ResNet: Residual Network

While trying to make more "deeper" networks, we encounter a problem and that is the vanishing gradient. When we propagate

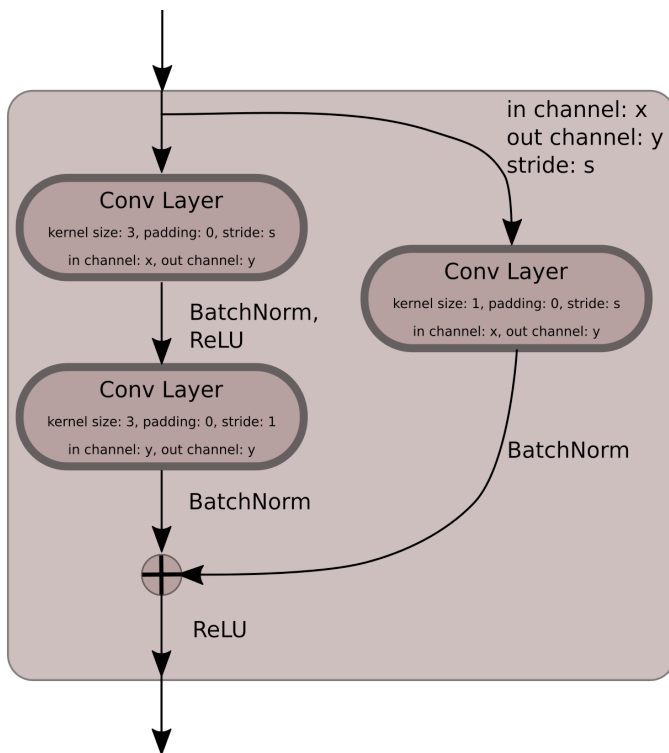


Fig. 1 Residual Block

the error from the output layer to previous layer, the deeper we go, the smaller the gradient it becomes. Thus at some point it will vanish completely or it will become so small that it will not make it possible to properly update the parameters. This makes the network accuracy to stop increasing or even decreasing while more layers are added. To deal with this problem residual networks were introduced.

The main idea behind residual networks is to "shortcut" non contiguous layers so layer $j - 1^{th}$ is connected to layer $j + 1^{th}$ skipping layer j^{th} . We accomplish this shortcut by adding the input of layer $j - 1^{th}$ to the output of layer j^{th} , of course using some proper transformation to match the dimension of this 2 tensors. The gradient makes use of this "shortcut" to avoid being vanish and thus avoid the stated problem in the previous paragraph. This block can be seen in Figure 1

3. Results

All of these explained architectures were implemented and tested with 4 well-known datasets: MNIST, KMNIST, CIFAR10, CIFAR100. The results are presented in the following 4 sections with some brief observations.

3.1 MNIST

The MNIST is a famous dataset that contains images of hand written number digits from 0 to 9. There are 60000 images in total, and the size of each image is of 28x28 which makes a total of 784 pixels per image. 50000 out of these 60000 images are used for training, while the others 10000 are used for validation.

For MNIST dataset we implemented 3 architectures: MLP,

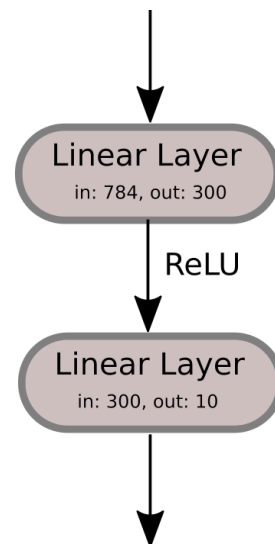


Fig. 2 MLP architecture for MNIST and KMNIST

CNN (implemented by me) and the famous LeNet [3]. The Multilayer Perceptron architecture used for this experiment consists by 2 layers which are detailed in Figure 2 which consists simply of two layers. The first one is a fully connected layer with 784 inputs and 300 outputs and then apply a ReLU activation function. These 300 outputs are the inputs to the next fully connected layer that has 10 outputs. These outputs correspond to the number of classes which in the case of MNIST is 10 corresponding to each digit.

The CNN architecture used for this dataset is detailed in Figure 3. The first layer in this architecture is a convolutional layer with kernel size 3, padding and stride 1, and output 16 channels. After this layer we apply a ReLU activation function and a Max-Pool layer, with kernel size 2. We repeat these layers one more time, with the only difference that the convolutional layer output 32 channels. These layers will extract some spatial feature from the image, after we extracted these features, we need to predict which digit the image is, based on these features. To do so, we use some fully connected layers at the end.

Also the famous LeNet network was implemented following the architecture detailed in the original paper [3].

All these architectures were trained using a constant learning rate of 0.01 and for 50 epochs. Also the batch size taken for this training is of 500 images. The results of this training for each architecture is shown in Figure 4. As we can see in the figure, the accuracy obtained for all architectures are pretty much close, with the accuracy of the CNN being the highest. In the case of MNIST dataset, the images, representing just numbers, are pretty simple, there are not too much complex shapes in it. That is why with a simple MLP we can obtain a pretty decent accuracy of $\sim 97.5\%$. Of course a convolutional neural network will have a slightly better accuracy, which in this case was $\sim 98.5\%$ for LeNet and $\sim 99\%$ for the implemented CNN. The biggest difference among this architectures actually appears in the memory size of the models. The MLP model weights approximately 1MB, while the CNN weights approximately 300KB.

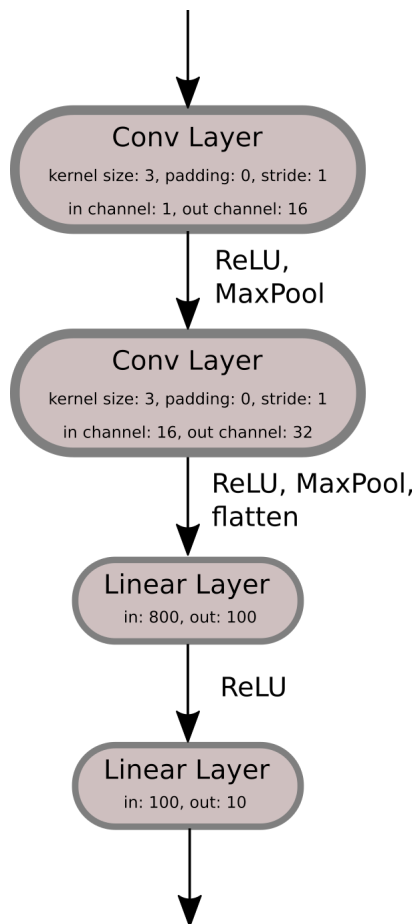


Fig. 3 CNN architecture for MNIST and KMNIST

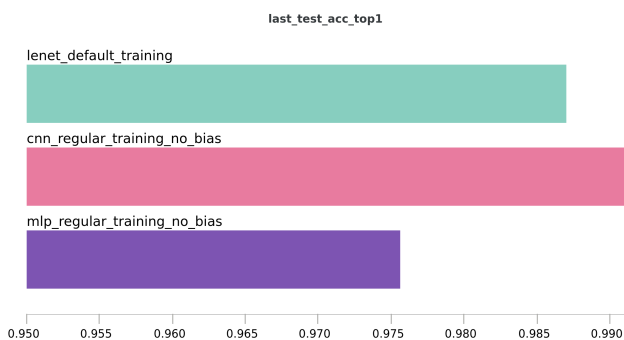


Fig. 4 Accuracy obtained for different architectures for the MNIST dataset

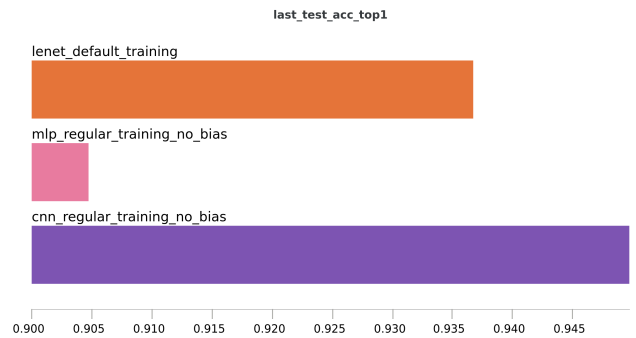


Fig. 5 Accuracy obtained for different architectures for the KMNIST dataset

3.2 KMNIST

Similarly with the MNIST dataset, the KMNIST dataset is also a dataset containing images from 10 different classes. But this time instead of having hand written numbers, this dataset contains images of hand written hiragana characters. The size of each image is the same as MNIST, 28x28. The number of images in total as well as how many images are used for training and validation are also the same with MNIST.

Since the dataset is quite similar with MNIST, the same MLP and CNN architecture as well as the LeNet architecture was used. During training the learning rate was kept constant as in the previous case with MNIST dataset. In fact the same learning rate was used, 0.01. Also the number of epochs was 50, and the batch size was also of 500 images.

The results for the trained architectures are shown in Figure 5. As it can be seen from the figure, in this case even though the obtained accuracies were quite decent, above 90%, the accuracy between architectures were quite more noticeable. This time the MLP network did not perform as well as before, given an accuracy of ~ 90.5%. The LeNet network came a little bit better with an accuracy of ~ 93.5% and the CNN network came first with an accuracy of ~ 95%. In this case, the hiragana characters showed a little bit more complex shapes than the numbers and thus a simple MLP cannot tell them apart as well as a convolutional network.

3.3 CIFAR10

The CIFAR10 is another famous dataset used a little bit more often than MNIST nowadays. This dataset consists of images again from 10 different classes. But this time these images are not simple numbers or characters or even black and white images as the previous mentioned datasets, but instead they are colored images of more real things that we can see every single day such as cars, trucks, airplanes, etc. The size of each image is also different, 32x32. The total number of images is similar to previous mentioned datasets, 60000. The distribution among training and validation images is also the same.

The MLP architecture used this time has 3 layers. The first fully connected layer takes an input of $3 \times 32 \times 32 = 3072$

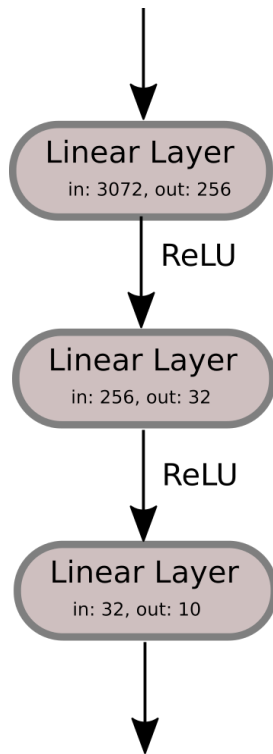


Fig. 6 MLP architecture used for CIFAR10

numbers and outputs 256 numbers. Then a ReLU activation function is used. The next fully connected layer takes those 256 and outputs 32 numbers. After this operation a ReLU activation function is used. The last layer takes these 32 numbers and output 10 numbers that represents the probability of the image to belong to each class.

The CNN architecture used for this dataset is shown in Figure 7. As it can be seen from the image, this time 3 convolutional layers were used. In between this convolutional layers there are BatchNorm, ReLU activation functions and MaxPool Layers. At the end of this sequence of convolutional layers, there are 2 fully connected layers that are the ones that will do the classification based on the extracted features from the convolutional layers.

As a reference, the convolutional neural network AlexNet [4] was also implemented. This network was implemented for the ImageNet dataset, which deals with larger images, so some adjustments to the first layers had to be made as well as the last layers, since we just have 10 classes and not 22000 classes as the ImageNet dataset has.

Using the concepts of ResNet layers introduced in the previous section, 2 ResNet Networks were implemented. The first resnet network architecture can be seen in 8 and for comparison the resnet network detailed in [5] was also implemented. This architecture can be seen in Figure 9. As it can be seen both architectures are quite similar with one of the main difference being the number of output channels.

For the training process we use the step learning rate scheduler specified in Table 1. Also we applied some data augmentation

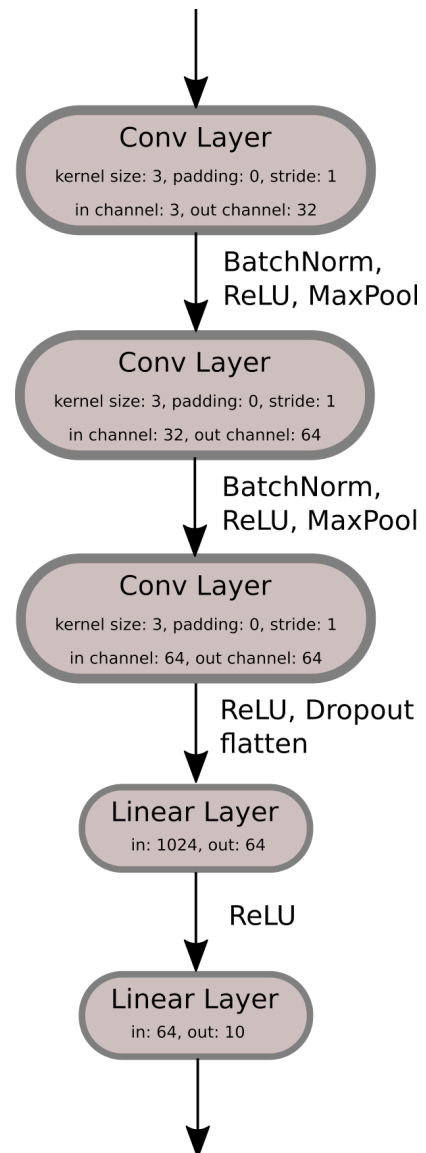


Fig. 7 CNN architecture used for CIFAR10

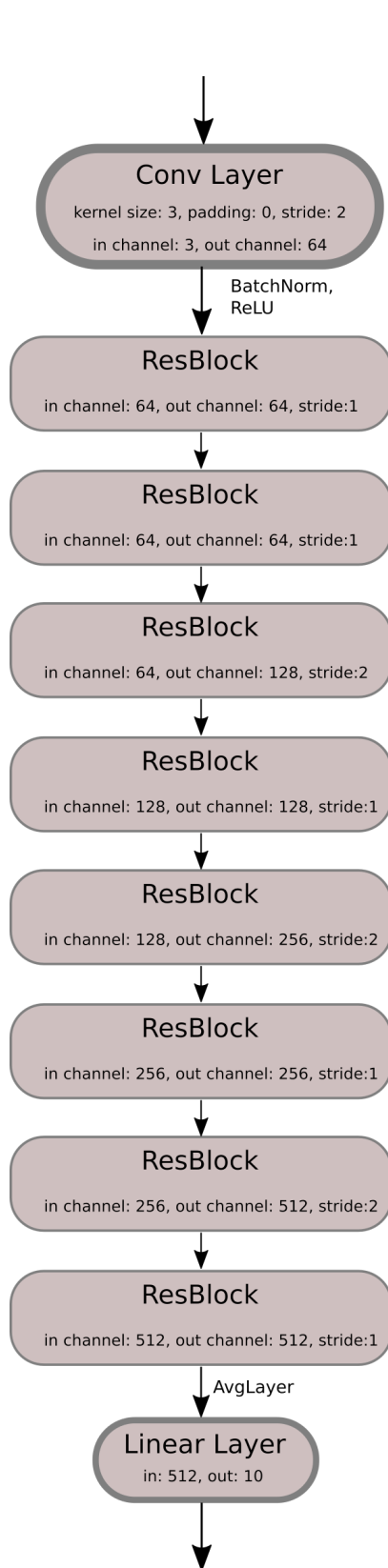


Fig. 8 ResNet architecture used for CIFAR10

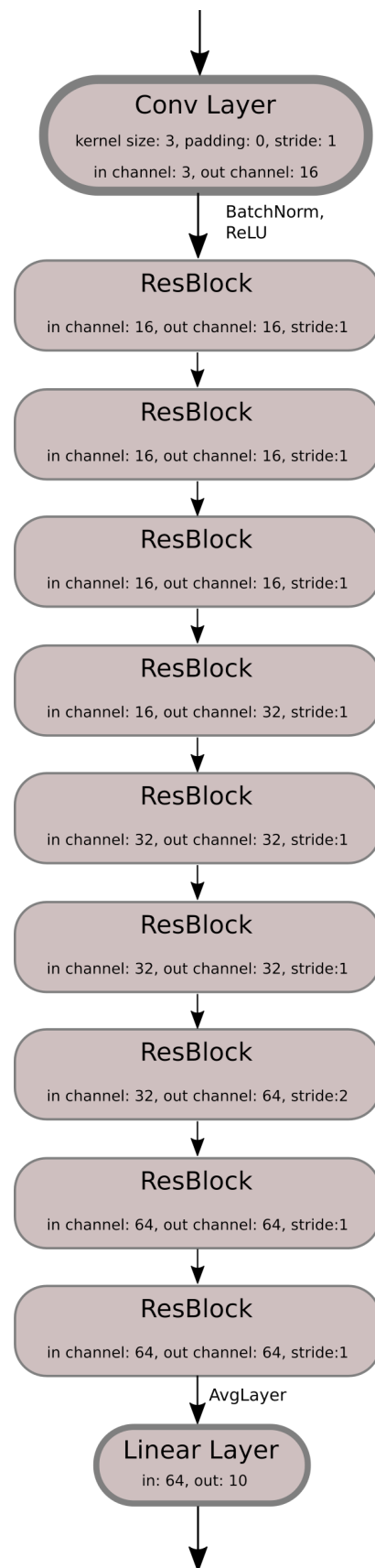


Fig. 9 Original ResNet architecture used for CIFAR10

Table 1 Learning Rate Scheduler used for models' training using CIFAR10 and CIFAR100 dataset

Epoch range	Lernaning Rate
0 14	0.1
14 29	0.02
29 39	0.004
39 49	0.0008

to the dataset. The dataset augmentation is a technique used during training that allows better generalization of the model, in other words make the model perform better under new images thus improving its accuracy. Some of the more common data augmentation are Image Flip, Image Rotation, Image blurr, Image Crop, etc. In this case, Image Flip, Image Rotation and Image Crop were applied randomly to the image during training. This randomness helps with the overfitting problem while also improving generalization of the model.

The results of the training for all of these architectures are shown in Figure 10. As it can be seen from the figure, this time the MLP network perform not as good as it did previously. It just reached an accuracy of about 40%. This was expected since now we are dealing with more colored complex images, so a simple fully connected layer will not perform as well as a convolutional layer. Of course, if we increase the number of neurons in each layer we may be able to increase the accuracy of the network but the models size, in other words, the number of parameters will become ridiculously large making the model very heavy unnecessarily. Also this model with millions of parameters will likely to overfit and have a poor generalization for new images.

As expected the accuracy for convolutional networks were much higher than the MLP's accuracy. The CNN implemented for this experiment as well as the AlexNet performed quite good obtaining an accuracy in the range of 75% ~ 80%. Even though this is almost as twice as the accuracy obtained from an MLP network, it is still not good enough. Unfortunately if we just keep adding layers, the accuracy will not improve but it will decrease due to vanishing gradien problem. And here is were ResNets came to play.

For the ResNets implemented for this experiment, it was found a noticeable improvement in the accuracy. The ResNet that it was proposed in the original paper [5] obtained an accuracy of about 89% and the ResNet implemented that I implemented for this experiment obtained an accuracy of about 91%. The accuracy difference is not that much but the models' weights are very much different. Sine my ResNet model used a lot more parameters, it weights around 40MB while the ResNet proposed in [5] weights just around 1MB.

3.4 CIFAR100

The last dataset used during this startup program was the CIFAR100. This dataset is similar to CIFAR10 but instead of just having 10 classes of images, it has 100 classes. But it has the same amount of images, 60000 images. And each image is of the

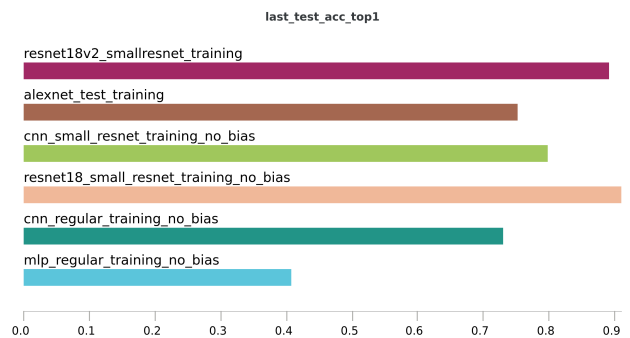
**Fig. 10** Accuracy obtained for different architectures for the CIFAR10 dataset



Fig. 11 Accuracy obtained for different architectures for the CIFAR100 dataset

same size as before, 32x32. Also the number of images used for training and validation is the same as in CIFAR10.

Since the image dimension are the same with CIFAR10, the same architectures were used for this dataset. With the only difference being the last layer, the last fully connected layer that performs the classification using the features extracted in previous layers. In this last layer, the number of output neuron were changed from 10 to 100.

The training process were the same as the one used with CIFAR10. The same learning rate scheduler (Table 1) was used. The same data augmentation technique was used.

The accuracy obtained for this models are shown in Figure 11. As it can be seen, a trend similar to the one found in CIFAR10 was obtained. The MLP accuracy was the lowest, this time it just reached 15% accuracy. The simple convolutional networks, including the AlexNet, also did not obtained acceptable accuracy, around 40% ~ 50%. The one with the highest accuracy is again the ResNet, obtaining an accuracy of around 70%.

4. Discussion

From the results of the experiments, it is clear that convolutional networks are much powerful than simple fully connected layers. They allow the neural networks to recognize more complex and abstract shapes from the images without making the model too heavy. By combining the power of neural networks and the idea behind residual networks, we can make deeper networks that allow us to accomplish more complex classification and recognition tasks. There is no doubt that convolutional layers made a huge impact to the computer vision world since they were first introduced around 1998.

From the experiments we can also noticed some important characteristics about the usage of some layers. For example, we were able to notice that when using BatchNorm Layers, we should not use Dropout Layers, since the combination of these two layers affects the accuracy of the network. Also it was seen that we should not use bias in the Convolutional Layers when we are using a BatchNorm Layer after the Convolutional layer. Since the BatchNorm Layer will get rid of the bias values at the

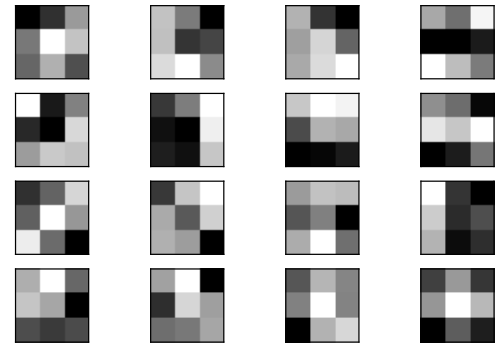


Fig. 12 Filters of the first layer of the trained CNN for MNIST

moment of rescaling using the mean as the center.

Even though MNIST has already become a way too simple dataset and nowadays it cannot be used for benchmarking, instead ImageNet or more complex datasets are often used, we can still learn a lot by experimenting with it. For example, we can see how the filters of the convolutional networks look like after training, as it can be seen in Figure 12. Allowing us to understand what kind of features the network is trying to extract from the image.

5. Conclusion

By implementing these different architectures and applying them to the classification for different datasets using different ways of training, we can get a deep understanding of the basics of Deep Neural Networks.

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