Part 1/2

No Mercy for Manual Entry

29/Sep/2021
Workshop @ AMLD2021

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Wifi Info

Network:	Free_STCC
User ID :	2317791957
Password:	5197

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Authors

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Senior Data Scientist

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Senior Quantitative Portfolio Manager
at ONE swiss bank

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Get to know the audience

- Knowledge in Supervised Learning and Computer Vision
- Your coding skills in Python
- Do you have practical applications of the techniques in this workshop?

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Manual Entry

- A lot of information in paper/pdf documents: invoices, contracts, personal information, surveys ...

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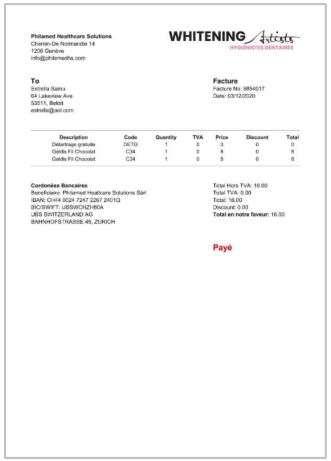
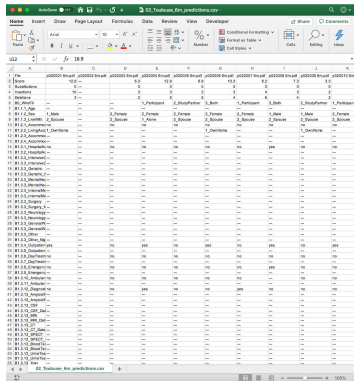
Manual Entry

- A lot of information in paper/pdf documents: invoices, contracts, personal information, surveys ...
- These documents are then treated manually:
  - costly,
  - time-consuming and
  - error-prone

Manual image-to-data process





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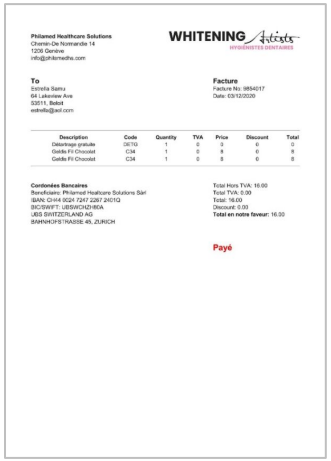
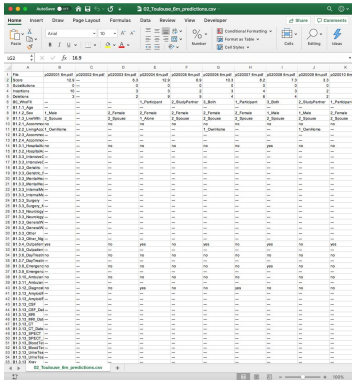
Manual Entry

- A lot of information in paper/pdf documents: invoices, contracts, personal information, surveys ...
- These documents are then treated manually:
  - costly,
  - time-consuming and
  - error-prone
- Main solution: go fully digital and eliminate the paper document!

Manual image-to-data process





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Manual Entry: a zombie among us

- In some cases we don’t manage to eliminate the paper/pdf document

- Examples:
  - Traders send emails with pdf documents treated by the back-office
  - Commodity trading dealing with letters of credit
  - Banks dealing with client documents (passport, ID, scanned contract, ...)
  - Medical research dealing with huge volumes of paper documents from patients
  - Auditors oftentimes compare tables in pdf documents to Excel spreadsheets

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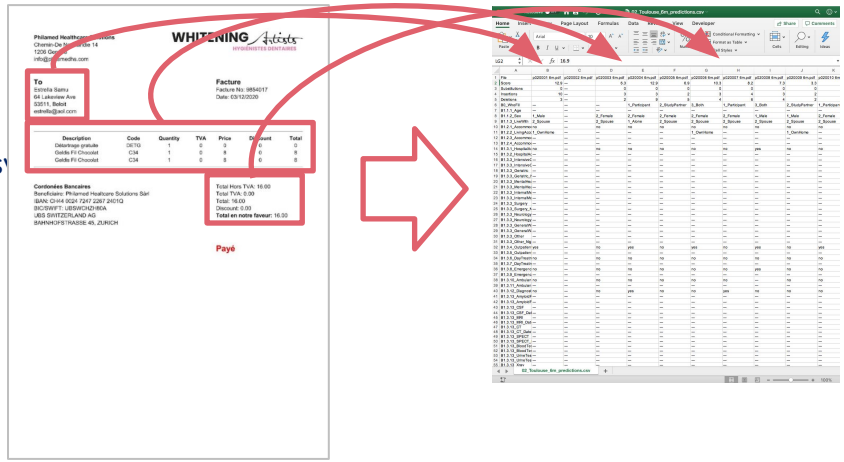
This workshop: the goal

- ML can help you to automate processes with scanned paper documents
- This workshop presents few selected techniques to:
  - Classify documents
  - Extract information from documents
- Disclaimer:
  - This workshop doesn't present the fanciest / more powerful techniques to do these tasks
  - This workshop shows you few techniques that are easy to understand, implement and deploy as a beginner data scientist

Automated image-to-data process



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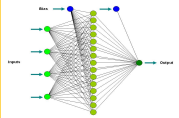
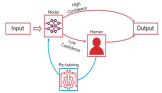
This workshop

- For beginners
- Get your hands dirty in code
- Adding levels of complexity

Part 1
(~1h30)

Part 2
(~2h00)

Supervised Learning & ANNs	Document Classification	Human In The Loop	Document with items in fixed position	Scanned Documents	Documents from Camera	Document with items in variable position
	 Class1 Class 2					

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Workshop: Schedule

Session	Duration	Start - End	Subjects
Part 1	~1:30	13:30 – 15:00	Intro + Document Classification + HITL
Break	0:30	15:00 – 15:30	
Part 2	~2:00	15:30 – 17:30	Information Extraction

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Your questions are welcomed!

Your 1st question

=

Swiss chocolate bar

«I don’t get the big picture»

«I didn’t understand what this code does»

«Why are we doing this?»

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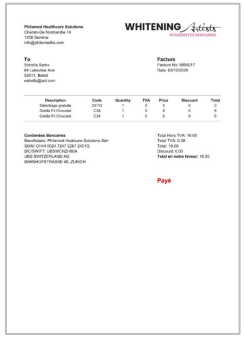
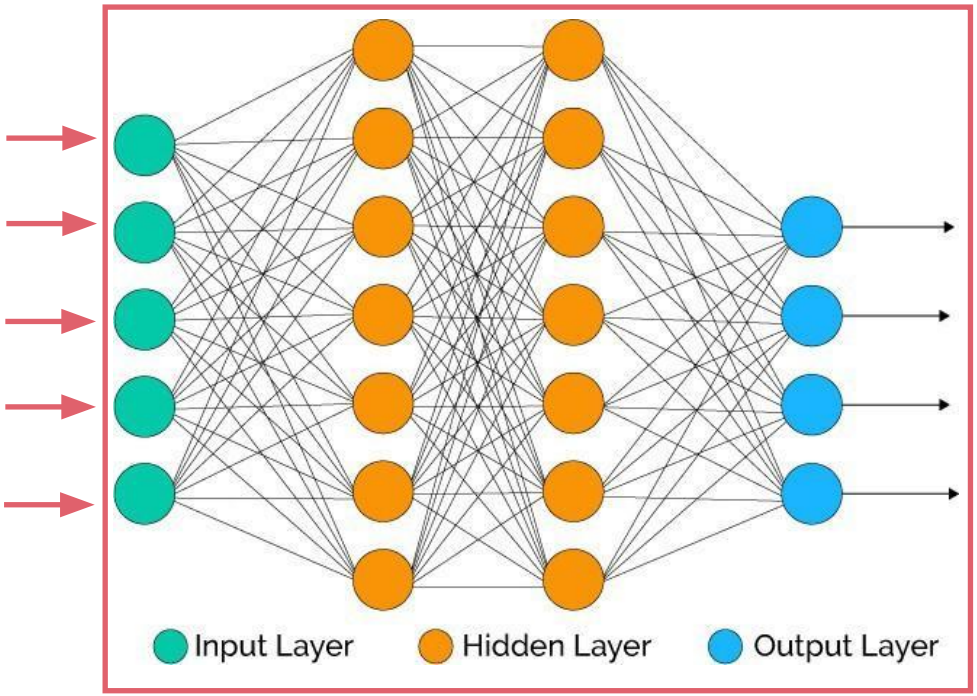
Supervised Learning

Attributes/
Features





Predictions

It's a
document
Invoice!

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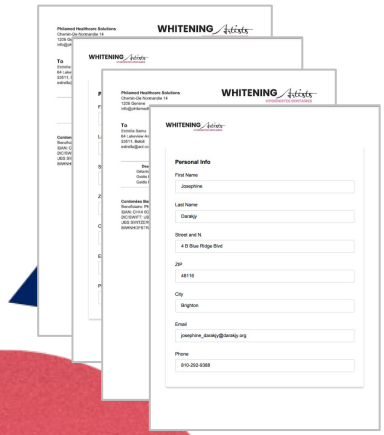
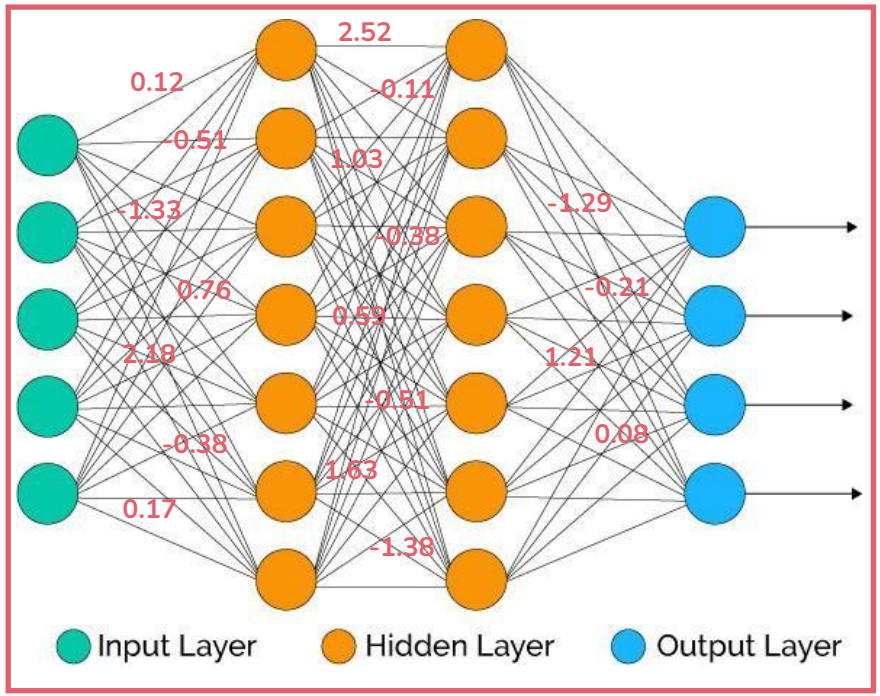
Supervised Learning

Attributes/
Features





Predictions	Labels
invoice	invoice
invoice	registration
registration	invoice
invoice	registration
registration	registration
registration	invoice
invoice	registration
invoice	invoice
invoice	invoice
registration	registration

Loss/CostFunction: 1000
Accuracy: 50%

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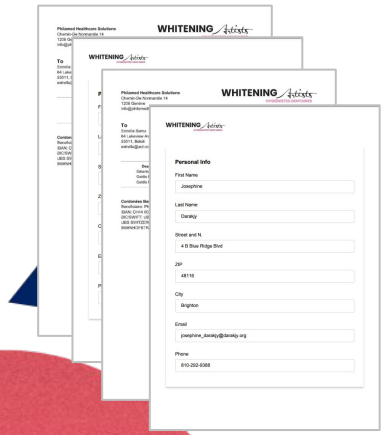
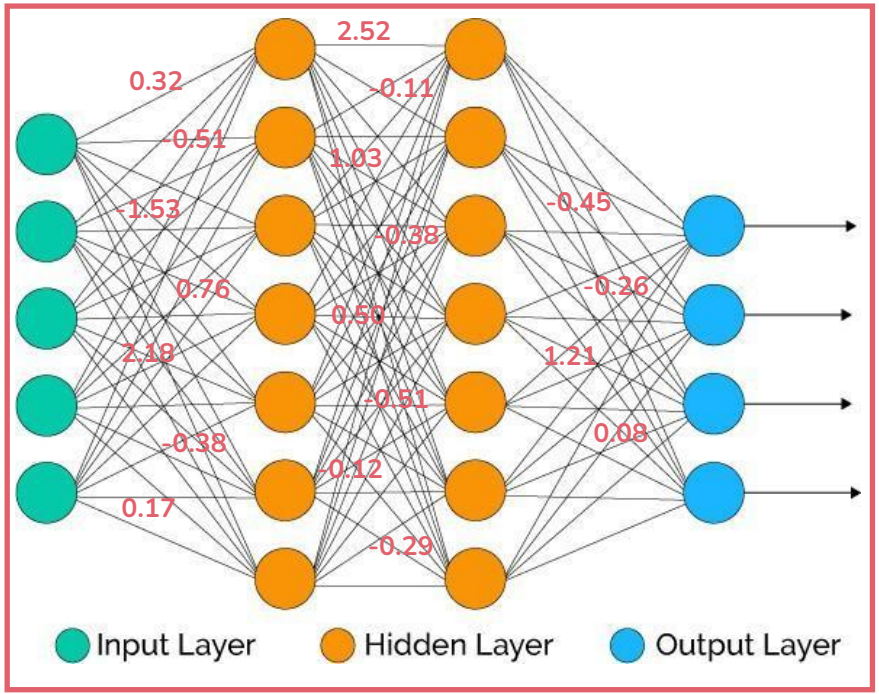
Supervised Learning

Attributes/
Features





Predictions	Labels
invoice	invoice
registration	registration
registration	invoice
invoice	registration
registration	registration
invoice	invoice
invoice	registration
invoice	invoice
invoice	invoice
registration	registration

Loss/CostFunction: 600
Accuracy: 70%

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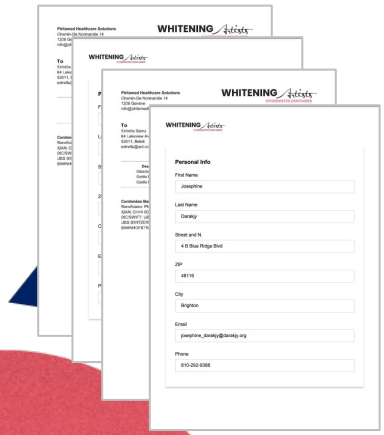
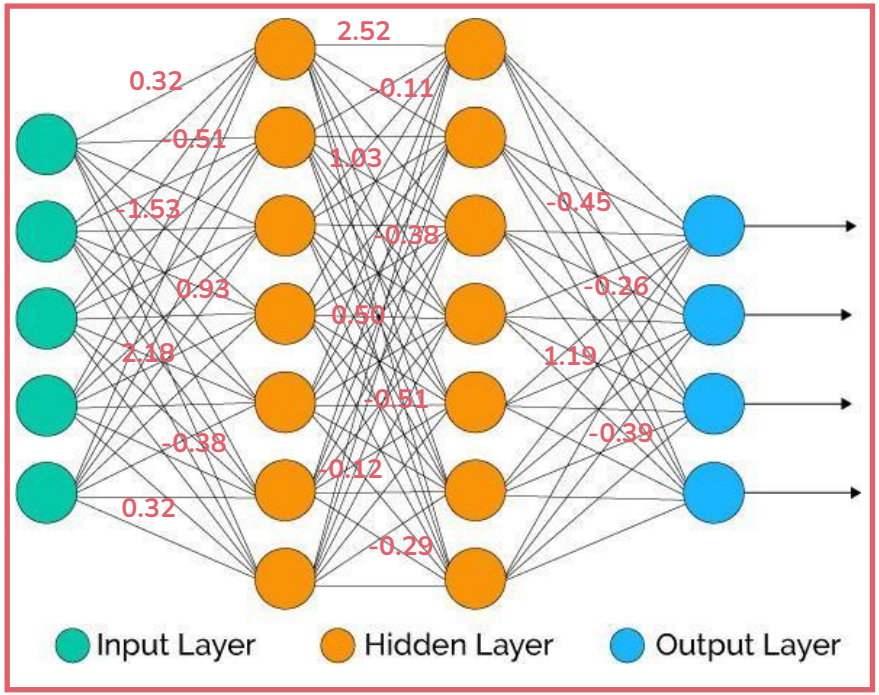
Supervised Learning

Attributes/
Features





Predictions	Labels
invoice	invoice
registration	registration
invoice	invoice
registration	registration
registration	registration
invoice	invoice
invoice	registration
invoice	invoice
invoice	invoice
registration	registration

Loss/CostFunction: 300
Accuracy: 90%

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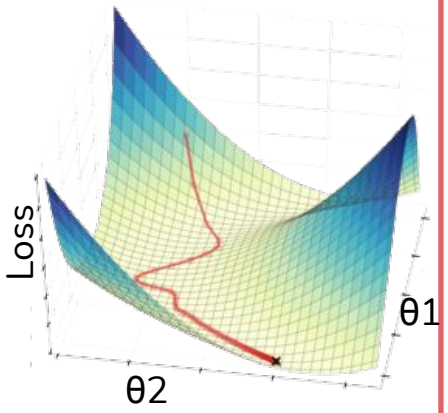
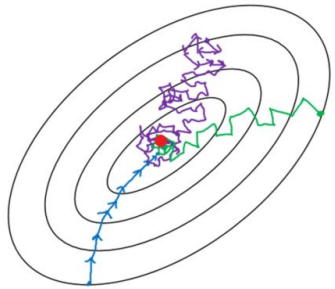
Training as a loss minimization

- The loss quantifies the spread between labels and predictions
- The optimizers are algorithms that find the (possibly absolute) minimum of the loss

During the training the optimizer finds the path to minimize the loss, like a river flowing downhill





Different optimizers can be quicker or slower

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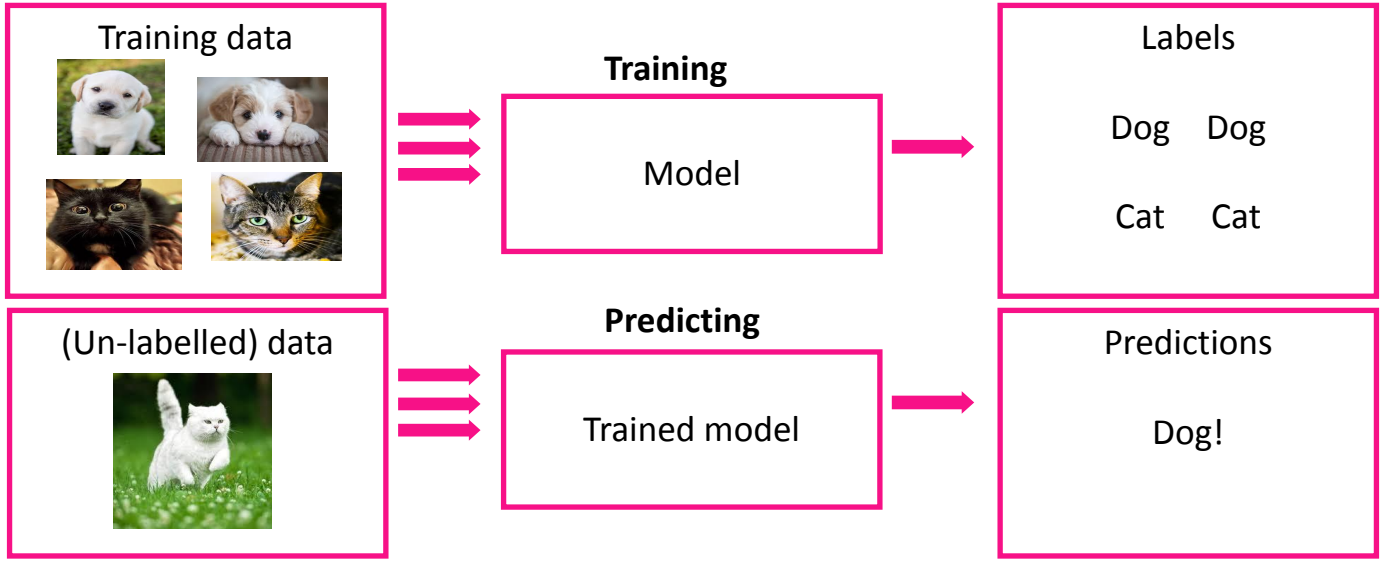
Learning is hard



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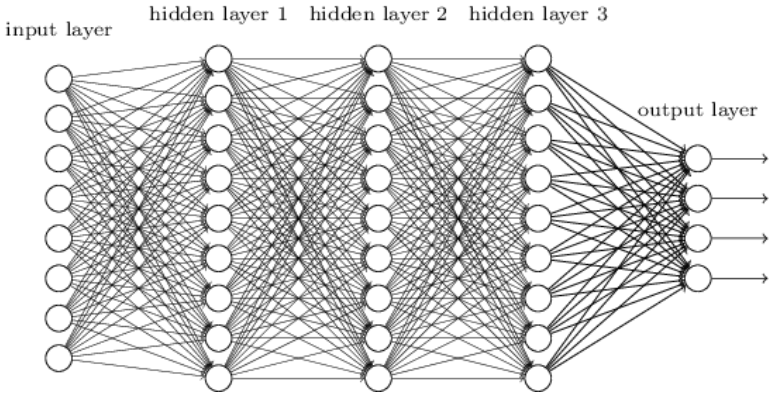
ANN: Dense Layers

- Multi-Layer Perceptrons are the simplest ANN
- Every node of a layer is connected with all the nodes in the previous and in the following layer
- These layers are called Fully connected or Dense



- Image of 500 x 500 x 3 pixels
- First layer 100 nodes
- Already for the first layer we need ~750k parameters

The MLP is great, but too many parameters!

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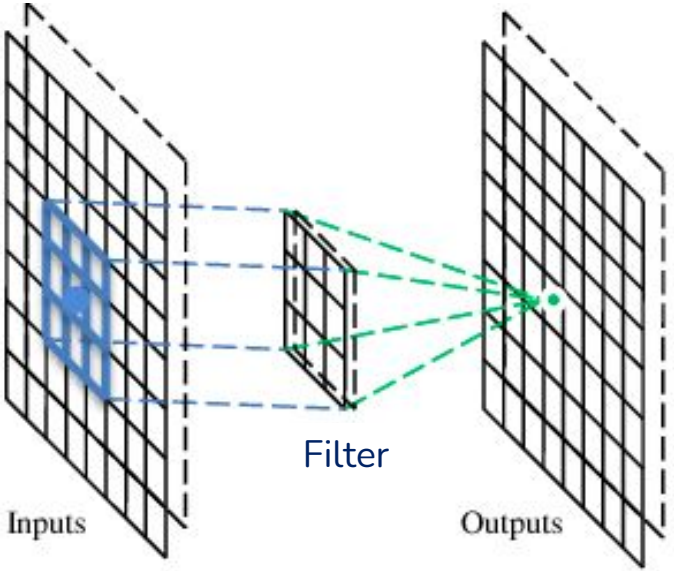
ANN: Convolutional Layers

- We want to reduce the model parameters
- We introduce the concept of filter



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ANN: Convolutional Layers

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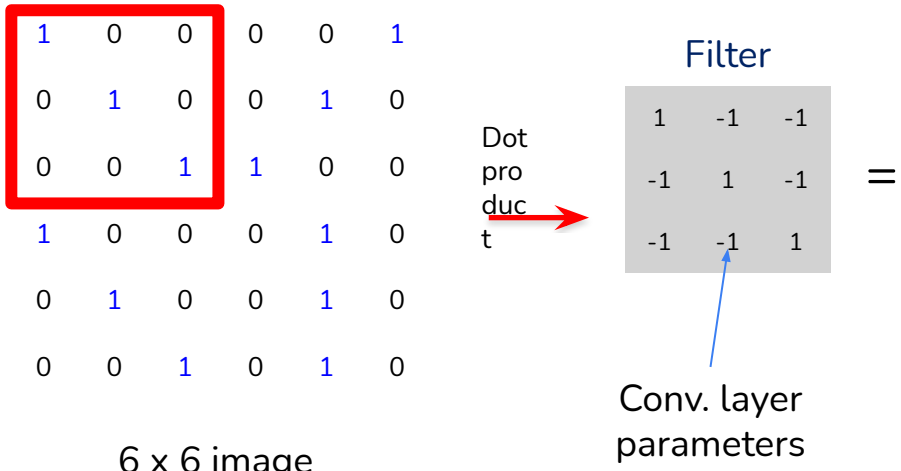

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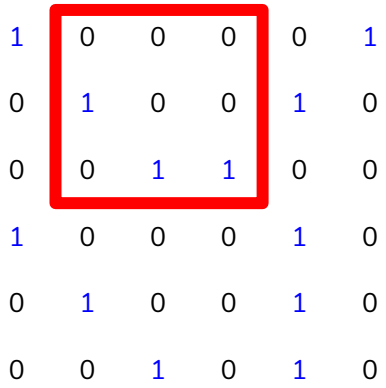

6 x 6 image

Dot product

Filter

1	-1	-1
-1	1	-1
-1	-1	1

=

3 -1

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ANN: Convolutional Layers

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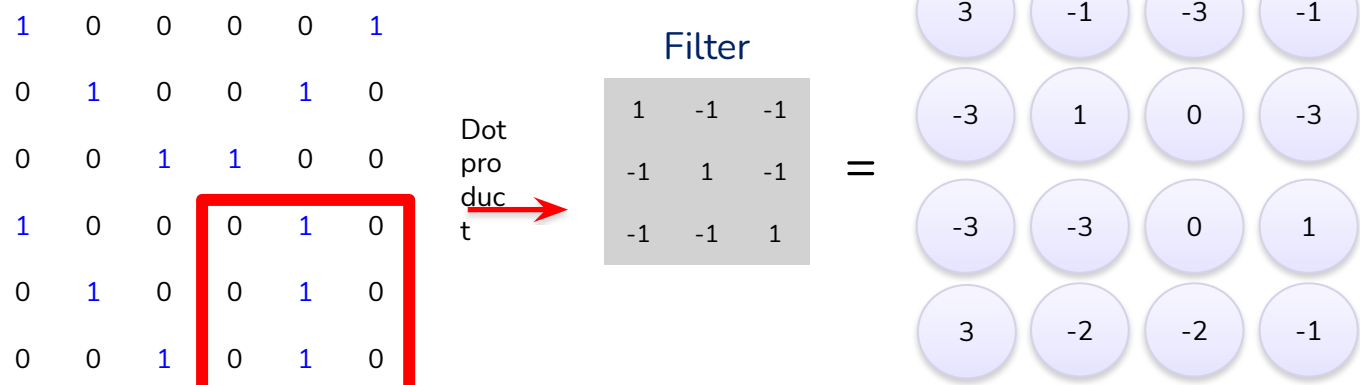

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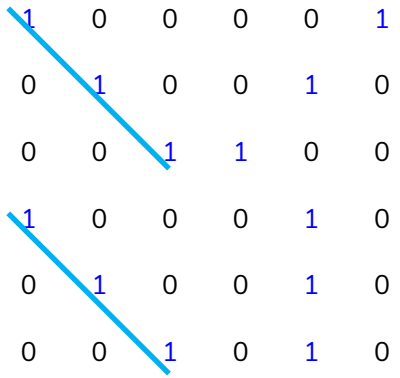

6 x 6 image

Dot product

Filter

1	-1	-1
-1	1	-1
-1	-1	1

=

3	-1	-3	-1
-3	1	0	-3
-3	-3	0	1
3	-2	-2	-1

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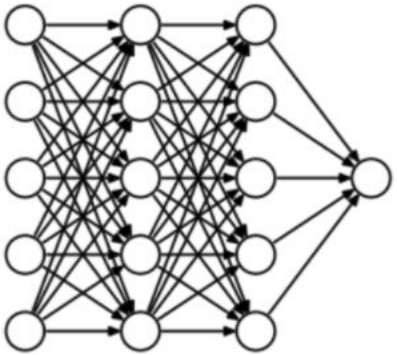
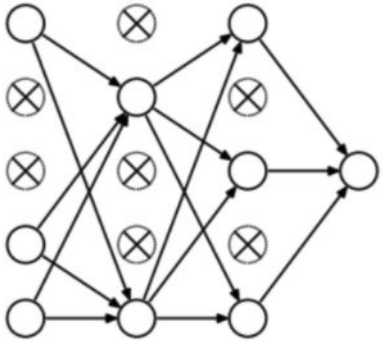
Dropout

- Regularization technique
- A fraction of the nodes are not considered in a training step
- This forces the network to have several “routes” in the nodes to ensure good performances



Standard Training



Training with Droupout

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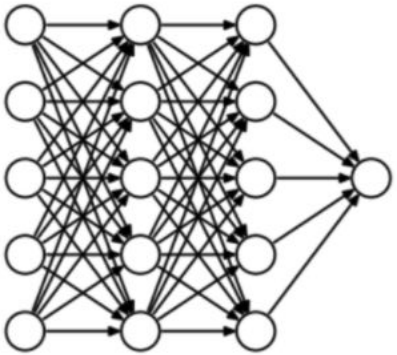
Dropout

- Regularization technique
- A fraction of the nodes are not considered in a training step
- This forces the network to have several “routes” in the nodes to ensure good performances

```
# Convolutional Layer 1
headmodel.add(Conv2D(8, (5, 5), padding='same', activation='relu'))
headmodel.add(Dropout(0.2))
```

This means “drop 20% of the nodes in the previous layer while training



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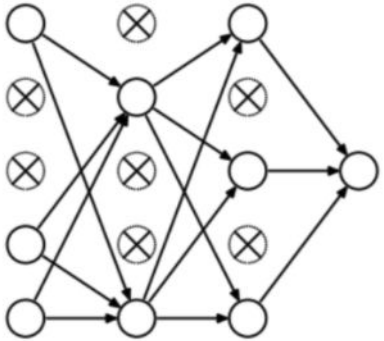

Training with Droupout

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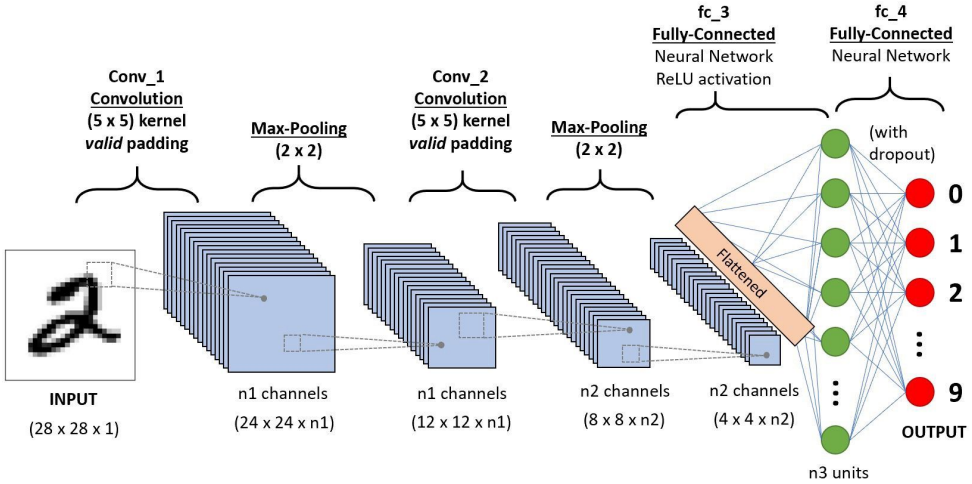
Typical CNN structure

- Typical CNNs are made of :
  - A series of convolutional layer + dropout + max-pooling
  - Fully-connected layers at the end
- Many parameters are subject to tuning:
  - Number and type of layer
  - Number of filters
  - Size of filters



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CNN in Keras

```python
def define_model(num_classes,epochs):
    # Create the model
    model = Sequential()

    # Layer 1 (Convolutional)
    model.add(Conv2D(4, (5, 5), input_shape=(X.shape[1], X.shape[2], 1), padding='same', activation='relu',
    model.add(Dropout(0.2))
    model.add(MaxPooling2D(pool_size=(2, 2)))

    # Layer 2 (Convolutional)
    model.add(Conv2D(4, (3, 3), activation='relu', padding='same', kernel_constraint=maxnorm(3)))
    model.add(Dropout(0.2))
    model.add(MaxPooling2D(pool_size=(2, 2)))

    # Layer 3 (Convolutional)
    #model.add(Conv2D(4, (3, 3), activation='relu', padding='same', kernel_constraint=maxnorm(3)))
    #model.add(Dropout(0.2))
    #model.add(MaxPooling2D(pool_size=(2, 2)))

    # Additional Convolutional layers
    # ...

    # Additional Dense Layers
    model.add(Flatten())
    # model.add(Dense(6, activation='relu', kernel_constraint=maxnorm(3)))
    model.add(Dense(num_classes, activation='softmax'))
```

Conv. Layer + Dropout + Max-Pooling

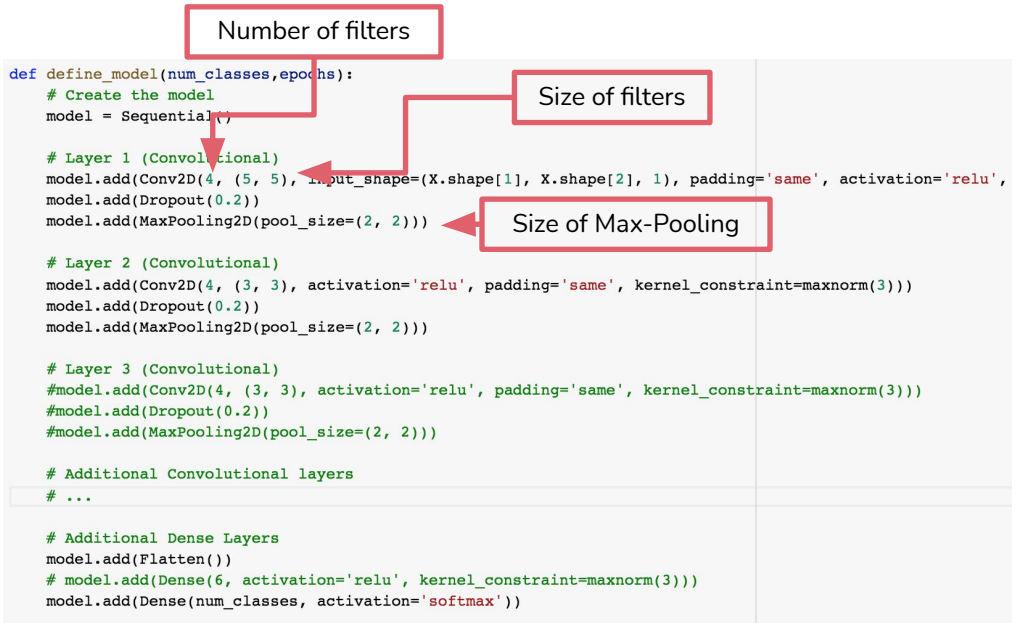
Conv. Layer + Dropout + Max-Pooling

Conv. Layer + Dropout + Max-Pooling

Fully Connected Layers

Output

CNN in Keras

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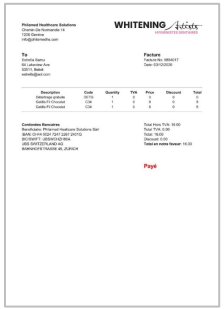
```

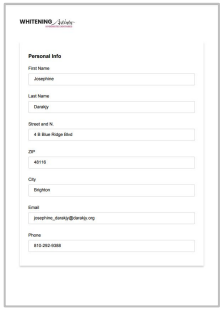
Document Classification

- We are going to train an algorithm to discriminate between different types of documents, only using their images
- The dataset:
  - ~400 invoices
  - ~400 registration
  - ~600 other
- We want the model to be robust enough to use images taken from a phone

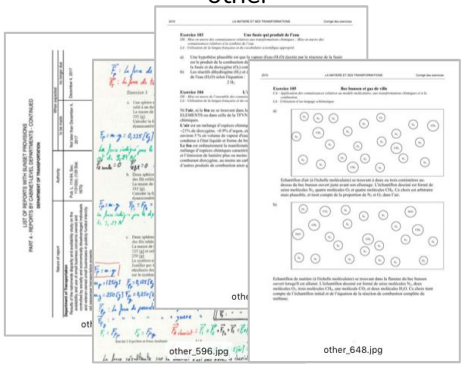
invoice



registration



other



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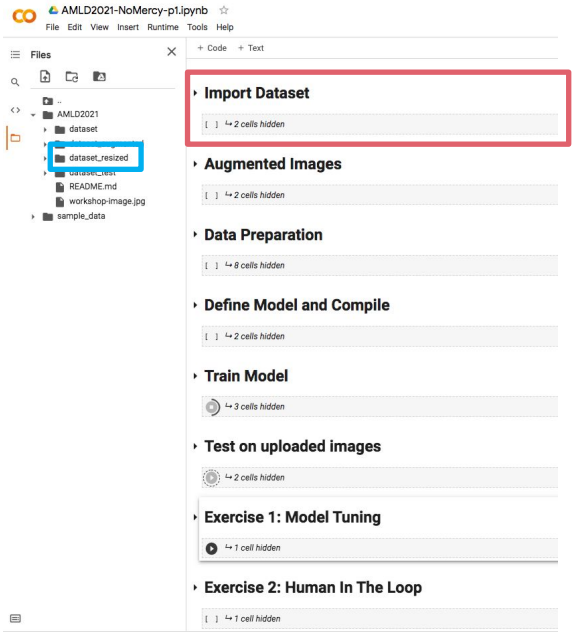
Notebook structure



- Import images from github
- On the left, you will see the folder AMLD2021 appear
- The main dataset used for this notebook is in AMLD2021/dataset_resized/
- ~1600images of 708x500 pixels

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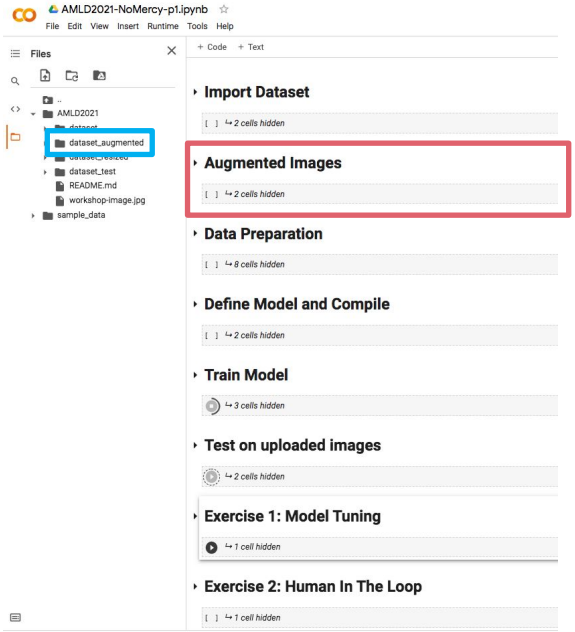
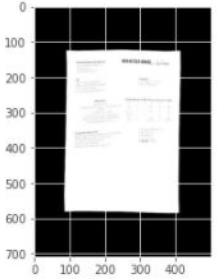
Notebook structure



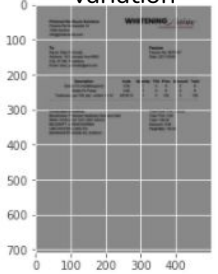
- More augmented images are created with distortions, brightness variations, tilt, ...

(un)zoom



rotation

brightness variation



- Augmented images are moved to AMLD2021/dataset_augmented/

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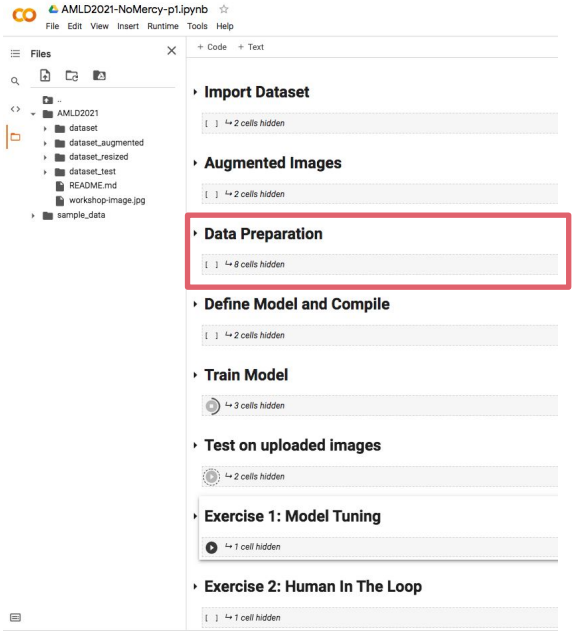
Notebook structure



- Images are resized to a smaller size
- Dataset is created
- Train-test split

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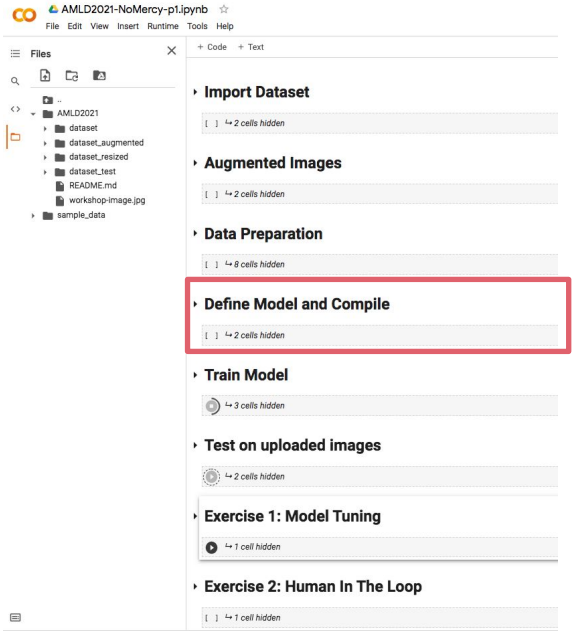
Notebook structure



- Model is defined as a Keras ANN with Conv and Dense layers

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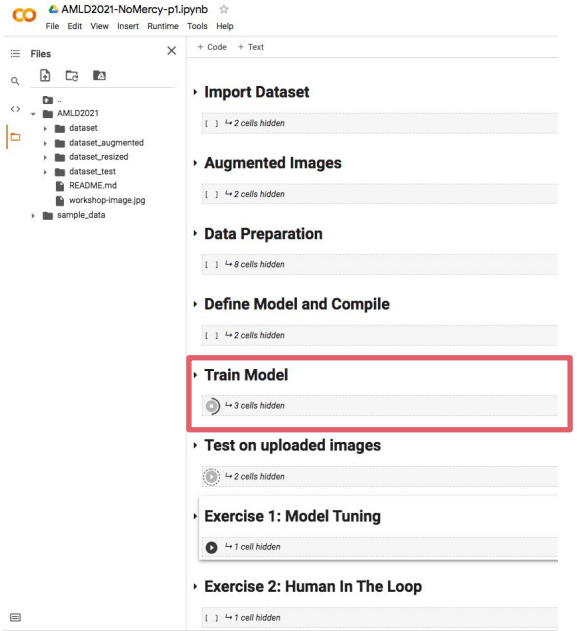
Notebook structure



- Training and evaluation of performance

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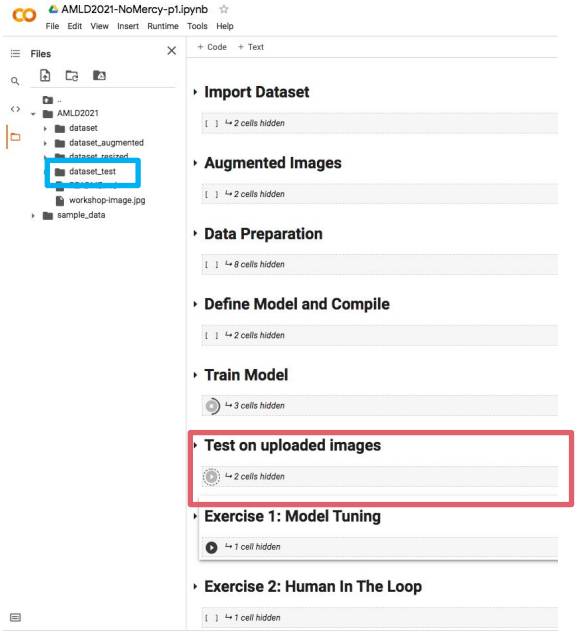
Notebook structure



- You can take a picture of a document and test the model on it
- Upload your picture to Colab and in the folder AMLD2021/dataset_test/
- The code will make predictions on all pictures in this folder

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Exercise 1: Tuning the model

- Hyper-parameter tuning and feature engineering:
  - CNN layers, filters, dropout
  - Dense layers, number of nodes, dropout
  - Optimizer, Batch size, Num. of Epochs
  - Resize of the images (up in the data preparation)
- Goal: reach an accuracy of > 99% on the training and validation sets

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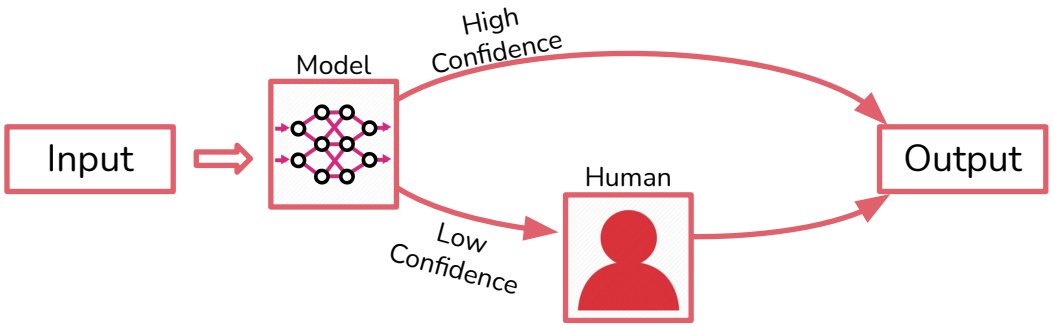
Human in the loop (HITL)

- AI systems are typically <100% accurate
- We can keep a HITL to mitigate for mistakes
  - Manually do the tasks for which the model has low confidence (low h)
  -



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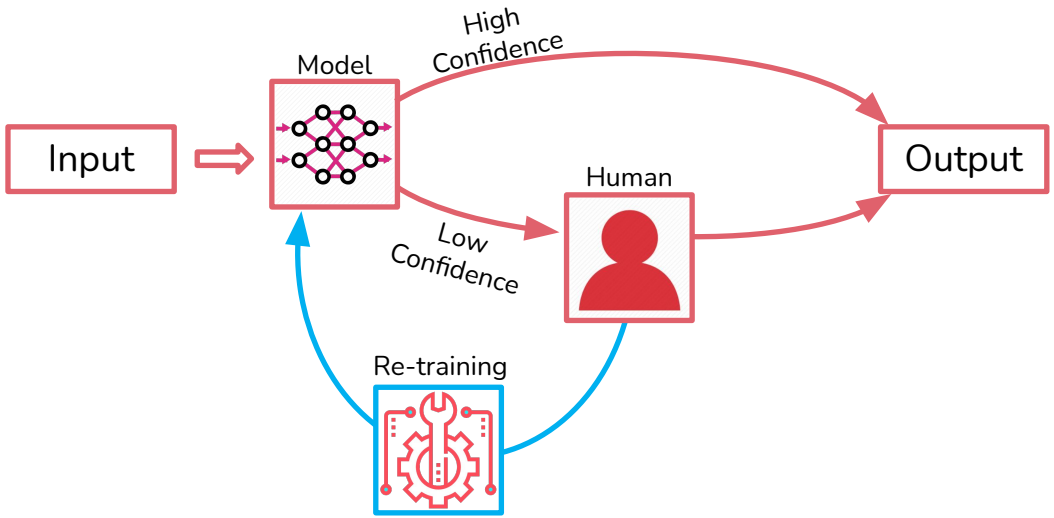
Human in the loop (HITL)

- AI systems are typically <100% accurate
- We can keep a HITL to mitigate for mistakes
  - Manually do the tasks for which the model has low confidence (low h)
  - Prepare data to retrain the model



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Exercise 2: Human in the loop

- Make photos of several documents (~5-10 per class)
  - Jpeg format is perfect
  - Advice: name the images according to their class (ex: my_invoice_1.jpg). This will help for the rest of the exercise
- Upload them on Colab and copy them to the right folder for re-training (for example AMLD2021/dataset_resize/invoice/ for invoices)
  - example: !cp my_invoice_* AMLD2021/dataset_resize/invoice/
- Re-build augmented images, retrain the model, and re-evaluate performance

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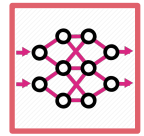
Possible Extensions: OCR

- In our classification we used only the images of our documents. We didn't use the text within the document
- Here an example of how to do document classification using only the text extracted with OCR: link
  - Using an LDA model: https://www.jmlr.org/papers/volume3/blei03a/blei03a.pdf

Image

OCR

Text



LDA model

invoice

registration

Possible Extensions: OCR + Doc2Vec

- Document classification using OCR and transforming the text of a whole page into a vector: [link]

Image

OCR

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Name: James Butt Address: 6649 N
Blue Gum St City: 70116, New Orleans
Email: jbutt@gmail.com Facture
Facture No: 2954781 Date: 31/08/2021
Cordonées Bancaires Beneficiaire:
Philamed Healthcare Solutions Sàrl
IBAN: CH44 0024 7247 2267 2401Q
BIC/SWIFT: UBSWCHZH80A UBS
SWITZERLAND AG
BAHNHOFSTRASSE 45, ZURICH
Total Hors TVA: 1818.70 Total TVA:
0.00 Total: 1818.70 Discount: 0.00
Total Net: 1818.70 Description Code
Quantity TVA Price Discount Total Rdv
manqué - par 5 min C15 1 0 159 0 159
Traitement par l'HD dipl - enfant 0-9
DETE9 1 0 89 0 89 DEIN DEAL (payé
sur Dein Deal) - détartrage +
blanchiment DEIN 1 0 599 0 599
Forfait traitement par l'HD dipl. DETR 1
0 159 0 159 Geldis Brosse C31 1 0 7 0
7 Philamed Gold4White brosse à dents
G4WB 1 0 7 9 0 7 9 Rdv manqué - par
5 min C15 1 0 159 0 159 In office
bleaching - Diamond DIAM 1 0 499 0
499 Traitement par l'HD dipl - enfant
10-15 DETE15 1 0 120 0 120
Radiographie dentaire BW C18 1 0
19.8 0 19.8

Text

Doc2Vec

-0.7677
6.33419
0.00032
32.5298

Vectorized representation

Classifier Model

invoice

registration

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