# **Project: CNN**

Team members:

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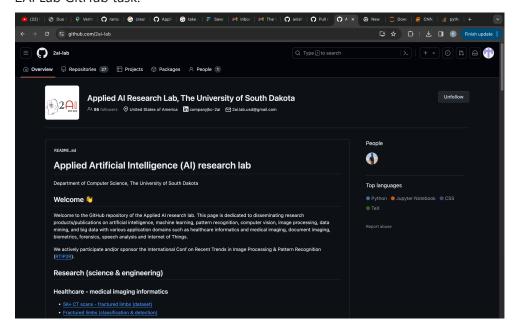
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2AI Lab GitHub task:



#### Overview

The goal of this project is to build and evaluate a Convolutional Neural Network (CNN) for recognizing handwritten digits from the MNIST Dataset.

## **Data Exploration and Preparation**

This version of MNIST dataset titled 'Optical Recognition of Handwritten Digits' is hosted in **UC Irvine Machine Learning Repository**.

Datasets can be directly fetched by using their python library called ucimlrepo.

Installing the ucimlrepo python library.

```
In [1]: !pip install ucimlrepo

Collecting ucimlrepo

Downloading ucimlrepo-0.0.6-py3-none-any.whl (8.0 kB)

Installing collected packages: ucimlrepo

Successfully installed ucimlrepo-0.0.6
```

Fetching the dataset from the UCI Machine Learning Repository

```
In [2]: from ucimlrepo import fetch_ucirepo

# fetch dataset
optical_recognition_of_handwritten_digits = fetch_ucirepo(id=80)

# data (as pandas dataframes)
X = optical_recognition_of_handwritten_digits.data.features
y = optical_recognition_of_handwritten_digits.data.targets
```

```
# metadata
print(optical_recognition_of_handwritten_digits.metadata)

# variable information
print(optical_recognition_of_handwritten_digits.variables)
```

{'uci\_id': 80, 'name': 'Optical Recognition of Handwritten Digits', 'repository\_ur l': 'https://archive.ics.uci.edu/dataset/80/optical+recognition+of+handwritten+digit s', 'data url': 'https://archive.ics.uci.edu/static/public/80/data.csv', 'abstract': 'Two versions of this database available; see folder', 'area': 'Computer Science', 'tasks': ['Classification'], 'characteristics': ['Multivariate'], 'num\_instances': 5 620, 'num\_features': 64, 'feature\_types': ['Integer'], 'demographics': [], 'target\_c ol': ['class'], 'index\_col': None, 'has\_missing\_values': 'no', 'missing\_values\_symbo l': None, 'year\_of\_dataset\_creation': 1998, 'last\_updated': 'Wed Aug 23 2023', 'data set doi': '10.24432/C50P49', 'creators': ['E. Alpaydin', 'C. Kaynak'], 'intro pape r': {'title': 'Methods of Combining Multiple Classifiers and Their Applications to H andwritten Digit Recognition', 'authors': 'C. Kaynak', 'published\_in': 'MSc Thesis, Institute of Graduate Studies in Science and Engineering, Bogazici University', 'yea r': 1995, 'url': None, 'doi': None}, 'additional\_info': {'summary': 'We used preproc essing programs made available by NIST to extract normalized bitmaps of handwritten digits from a preprinted form. From a total of 43 people, 30 contributed to the trai ning set and different 13 to the test set. 32x32 bitmaps are divided into nonoverlap ping blocks of 4x4 and the number of on pixels are counted in each block. This gener ates an input matrix of 8x8 where each element is an integer in the range 0..16. Thi s reduces dimensionality and gives invariance to small distortions.\r\n\r\nFor info on NIST preprocessing routines, see M. D. Garris, J. L. Blue, G. T. Candela, D. L. D immick, J. Geist, P. J. Grother, S. A. Janet, and C. L. Wilson, NIST Form-Based Hand print Recognition System, NISTIR 5469, 1994.', 'purpose': None, 'funded\_by': None, 'instances\_represent': None, 'recommended\_data\_splits': None, 'sensitive\_data': Non e, 'preprocessing\_description': None, 'variable\_info': 'All input attributes are int egers in the range 0..16.\r\nThe last attribute is the class code 0..9', 'citation': None } }

	name	role	type	demographic	${\tt description}$	units	\
0	Attribute1	Feature	Integer	None	None	None	
1	Attribute2	Feature	Integer	None	None	None	
2	Attribute3	Feature	Integer	None	None	None	
3	Attribute4	Feature	Integer	None	None	None	
4	Attribute5	Feature	Integer	None	None	None	
	• • •	• • •	• • •				
60	Attribute61	Feature	Integer	None	None	None	
61	Attribute62	Feature	Integer	None	None	None	
62	Attribute63	Feature	Integer	None	None	None	
63	Attribute64	Feature	Integer	None	None	None	
64	class	Target	Categorical	None	None	None	

	missing_values
0	no
1	no
2	no
3	no
4	no
	•••
60	no
61	no
62	no
63	no
64	no

[65 rows x 7 columns]

Important necessary libraries for data manipulation

```
In [3]: import numpy as np
import matplotlib.pyplot as plt
```

Grouping the dataset by class so that a random data can be picked from each class.

```
In [4]: gk = y.groupby('class')
```

Storing class names as it comes in the dataset

```
In [5]: class_labels = y['class'].unique()
```

This version of MNIST dataset has already been normalized and dimensionality reduced.

The images are in the form of matrix of size 8\*8 where each element is an integer in the range 0...16.

However, the image is flatten into an array of length 64.

The feature set is reshaped from 1D to 2D (8\*8 pixels), aligning with the CNN's input requirements.

```
In [6]: X_images = X.to_numpy().reshape(-1, 8, 8)
```

Method to get a random index for sample images of each class so that a sample image for each digit class can be visualized.

```
In [7]: def get_index_sample_each_class():
    sample_indices = []

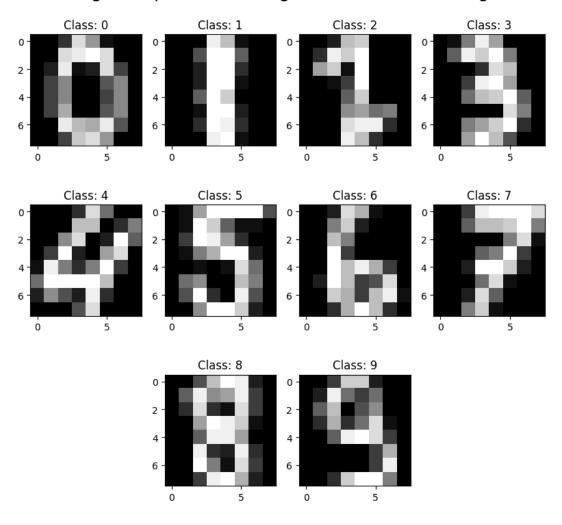
for i in range(10):
    sample_indices.append(gk.get_group(i).sample().index[0])

return sample_indices
```

Visualizing a sample image from each digit class

```
plt.tight_layout()
plt.show()
```

### Random image samples of each digit class from MNIST Digits dataset



The dataset is divided into training and testing sets with an 80-20 split to ensure a fair evaluation of the model. The training set helps in fitting the model, while the testing set is used to evaluate its generalization capability.

The labels are converted from a class vector (integers) to binary class matrix for use with categorical crossentropy during the training of the model.

```
In [14]: from keras.utils import to_categorical

In [15]: y_train_labels = y_train
    y_test_labels = y_test

    y_train = to_categorical(y_train, num_classes=10)
    y_test = to_categorical(y_test, num_classes=10)
```

### Convolutional Neural Network Architecture

Importing necessary modules from keras

```
In [16]: from keras.models import Sequential, load_model
    from keras.layers import Dense, Dropout, Flatten
    from keras.layers import Conv2D, MaxPooling2D, BatchNormalization
    from keras.optimizers import Adam

from keras.models import Model
```

Method to build CNN architecture

```
In [17]: def create cnn model():
           model = Sequential()
           model.add(Conv2D(filters=16,
                            kernel_size=(3, 3),
                            activation='relu',
                            strides=1,
                            padding='same',
                            data_format='channels_last',
                            input_shape=(8, 8, 1)))
           model.add(MaxPooling2D(pool_size=(2, 2),
                                  strides=2,
                                  padding='valid'))
           model.add(Dropout(0.25))
           model.add(Conv2D(filters=32,
                            kernel_size=(3, 3),
                            activation='relu',
                            strides=1,
                            padding='same',
                            data format='channels last'))
           model.add(MaxPooling2D(pool_size=(2, 2),
                                  strides=2,
                                  padding='valid'))
```

```
model.add(Dropout(0.25))
model.add(Conv2D(filters=64,
                kernel_size=(3, 3),
                activation='relu',
                strides=1,
                padding='same',
                data_format='channels_last'))
model.add(MaxPooling2D(pool_size=(2, 2),
                      strides=2,
                      padding='valid'))
model.add(Dropout(0.25))
model.add(Flatten())
model.add(Dense(128, activation='sigmoid'))
model.add(Dropout(0.25))
model.add(Dense(512, activation='sigmoid'))
model.add(Dropout(0.25))
model.add(Dense(10, activation='softmax'))
return model
```

```
In [18]: model = create_cnn_model()
```

Visualizing the CNN architecture

```
In [19]: model.summary()
```

Model: "sequential"

Layer (type)	Output Shape	Param #
	(None, 8, 8, 16)	160
<pre>max_pooling2d (MaxPooling2 D)</pre>	(None, 4, 4, 16)	0
dropout (Dropout)	(None, 4, 4, 16)	0
conv2d_1 (Conv2D)	(None, 4, 4, 32)	4640
<pre>max_pooling2d_1 (MaxPoolin g2D)</pre>	(None, 2, 2, 32)	0
dropout_1 (Dropout)	(None, 2, 2, 32)	0
conv2d_2 (Conv2D)	(None, 2, 2, 64)	18496
<pre>max_pooling2d_2 (MaxPoolin g2D)</pre>	(None, 1, 1, 64)	0
dropout_2 (Dropout)	(None, 1, 1, 64)	0
flatten (Flatten)	(None, 64)	0
dense (Dense)	(None, 128)	8320
dropout_3 (Dropout)	(None, 128)	0
dense_1 (Dense)	(None, 512)	66048
dropout_4 (Dropout)	(None, 512)	0
dense_2 (Dense)	(None, 10)	5130

\_\_\_\_\_\_

Total params: 102794 (401.54 KB)
Trainable params: 102794 (401.54 KB)
Non-trainable params: 0 (0.00 Byte)

The CNN architecture designed for recognizing 8x8 pixel images of handwritten digits comprises several layers, each with specific functions aimed at processing and transforming the input images into a form where digit classifications can be made effectively.

- 1. First Convolutional Layer
- Parameters: Consists of 16 filters, each of size 3x3.
- Activation: Utilizes the ReLU activation function.
- Dimensions: Maintains the same spatial dimensions (8x8) due to the 'same' padding strategy.

• Effect: This layer is responsible for capturing basic visual features such as edges and gradients within the image. Each filter produces a separate feature map, resulting in 16 different representations of the input image, each highlighting different aspects of the image.

#### 2. First Pooling Layer

- Pooling Size: Uses a 2x2 window for pooling.
- Strides: With a stride of 2 and 'valid' padding, it reduces the spatial dimensions of each feature map from 8x8 to 4x4.
- Effect: Pooling layers serve to reduce the spatial dimensions of the feature maps, which decreases the number of parameters and computation in the network. This operation helps in extracting the dominant features while reducing the sensitivity to the exact locations of features.

#### 3. First Dropout Layer

- Dropout Rate: Set at 25%.
- Effect: Dropout layers randomly set a fraction of the input units to zero during training, which helps in preventing overfitting by ensuring that no single set of neurons within the layer overly specializes to the training data.

#### 4. Second Convolutional Layer

- Parameters: Increases to 32 filters, maintaining the 3x3 size.
- Activation: Continues with ReLU activation.
- Dimensions: The feature maps remain at 4x4 due to 'same' padding.
- Effect: This layer extracts more complex features from the simplified outputs provided by the first pooling layer. By increasing the number of filters, it allows the network to develop a richer understanding of the input data.

#### 5. Second Pooling Layer

- Pooling Size and Strides: Same as the first pooling layer, reducing each feature map size further from 4x4 to 2x2.
- Effect: Further reduces the spatial dimensions, focusing on the most salient features, and helps in further reducing the computational complexity.

#### 6. Second Dropout Layer

- Dropout Rate: Maintains at 25%.
- Effect: Adds another layer of regularization to enhance the model's generalization capabilities.

#### 7. Third Convolutional Layer

• Parameters: Further increases the filter count to 64.

- Activation: Uses ReLU activation.
- Dimensions: Maintains the 2x2 dimensions with 'same' padding.
- Effect: This layer captures even higher-level features from the input data. With more filters, the network can capture a more diverse set of features, crucial for accurate classification tasks.
- 8. Third Pooling Layer
- Effect: Reduces each 2x2 feature map to 1x1, effectively distilling the feature maps to their most essential elements.
- 9. Third Dropout Layer
- Effect: Further ensures that the model avoids overfitting, especially important as the complexity of the model increases.
- 10. Flatten Layer
- Effect: Transforms the 3D output of the previous convolutional layers to a 1D array without affecting the batch size. This layer prepares the data for the final classification steps in the dense layers.
- 11. Dense and Dropout Layers
- Configuration: Includes dense layers with 128 and 512 neurons, each followed by a dropout layer, with sigmoid activation for the dense layers and softmax for the final output.
- Effect: These layers integrate the features learned by the convolutions into predictions for the 10 classes of digits. The dropout layers interspersed between them prevent overfitting by randomly dropping a portion of the neurons, ensuring that different neurons can learn to identify various features independently.
- 12. Output Layer
- Activation: Uses softmax activation.
- Effect: Outputs the probability distribution across the 10 digit classes, allowing for the classification of the input digit image into one of these classes based on the highest probability.

#### **Model Compilation**

#### Optimizer:

The model uses the Adam optimizer, which is an extension to stochastic gradient descent. This optimizer is particularly effective for problems involving a lot of data or parameters. Adam combines the best properties of the AdaGrad and RMSProp algorithms to provide an optimization algorithm that can handle sparse gradients on noisy problems.

Loss Function: categorical\_crossentropy loss function is used when there are two or more label classes. The labels are expected to be provided in a one-hot representation. This is appropriate since the network's output uses a softmax activation function, which outputs a probability distribution over the classes. Categorical crossentropy will compare the distribution produced by the output layer with the true distribution, where the true probability is 100% for the actual class.

```
In [20]: optimizer = Adam(learning_rate=0.001, beta_1=0.9, beta_2=0.999)
model.compile(optimizer=optimizer, loss="categorical_crossentropy", metrics=["accur
```

## Visualizing CNN feature maps

Visualizing the feature maps of the CNN architecture after it processes the input image.

activation\_model is a new model derived from the original model but designed to output the activations from each convolutional and max pooling layer instead of just the final output.

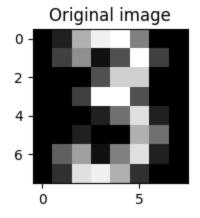
For each layer, a grid of all filter outputs (feature maps) is displayed. The grid is scaled based on the number of filters, providing a clear view of each filter's pattern recognition.

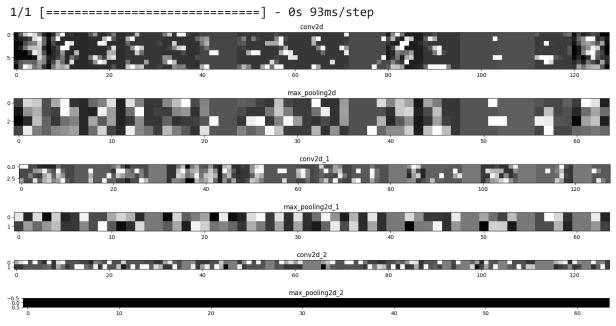
```
In [21]: from keras.models import Model
         import matplotlib.pyplot as plt
         import numpy as np
         activation_model = Model(inputs=model.input,
                                  outputs=[layer.output for layer in model.layers if isinsta
         def display_feature_maps(image_index, X_images):
             input_tensor = np.expand_dims(X_images[image_index], axis=0)
             plt.figure(figsize=(2, 2))
             plt.title('Original image')
             plt.imshow(X_images[image_index], aspect='auto', cmap='gray')
             plt.show()
             activations = activation_model.predict(input_tensor)
             for layer, layer_activation in zip([layer for layer in model.layers if isinstan
                 num_filters = layer_activation.shape[-1]
                 size = layer activation.shape[1]
                 display_grid = np.zeros((size, size * num_filters))
                 for i in range(num filters):
                     x = layer_activation[0, :, :, i]
                     x -= x.mean()
                     if x.std() > 0:
                         x \neq x.std()
                     x *= 64
                     x += 128
```

```
x = np.clip(x, 0, 255).astype('uint8')
    display_grid[:, i * size : (i + 1) * size] = x

scale = 20. / num_filters
plt.figure(figsize=(scale * num_filters, scale))
plt.title(layer.name)
plt.grid(False)
plt.imshow(display_grid, aspect='auto', cmap='gray')
plt.show()
```

In [43]: display\_feature\_maps(59, X\_images)





This demonstrates the CNN's ability to hierarchically extract and abstract features from raw pixel values.

As the image moves through the layers of the network, we can observe the transition from simple, low-level features to complex, high-level features that contribute to the network's understanding and classification of the image.

## **Model Training**

The CNN model is trained on the training data for 100 epochs with a batch size of 128.

```
In [44]: # batch_size = 64
batch_size = 128
epochs = 100
history = model.fit(X_train, y_train, epochs=epochs, batch_size=batch_size)
```

```
Epoch 1/100
103
Epoch 2/100
302
Epoch 3/100
867
Epoch 4/100
Epoch 5/100
798
Epoch 6/100
294
Epoch 7/100
803
Epoch 8/100
979
Epoch 9/100
126
Epoch 10/100
Epoch 11/100
257
Epoch 12/100
388
Epoch 13/100
500
Epoch 14/100
Epoch 15/100
515
Epoch 16/100
Epoch 17/100
544
Epoch 18/100
564
Epoch 19/100
```

```
593
Epoch 20/100
589
Epoch 21/100
Epoch 22/100
617
Epoch 23/100
626
Epoch 24/100
613
Epoch 25/100
Epoch 26/100
Epoch 27/100
Epoch 28/100
677
Epoch 29/100
629
695
Epoch 31/100
713
Epoch 32/100
Epoch 33/100
726
Epoch 34/100
724
Epoch 35/100
724
Epoch 36/100
731
Epoch 37/100
Epoch 38/100
```

```
733
Epoch 39/100
740
Epoch 40/100
722
735
Epoch 42/100
Epoch 43/100
Epoch 44/100
Epoch 45/100
786
Epoch 46/100
784
Epoch 47/100
751
Epoch 48/100
773
Epoch 49/100
Epoch 50/100
764
Epoch 51/100
775
Epoch 52/100
771
Epoch 53/100
791
Epoch 54/100
Epoch 55/100
Epoch 56/100
766
```

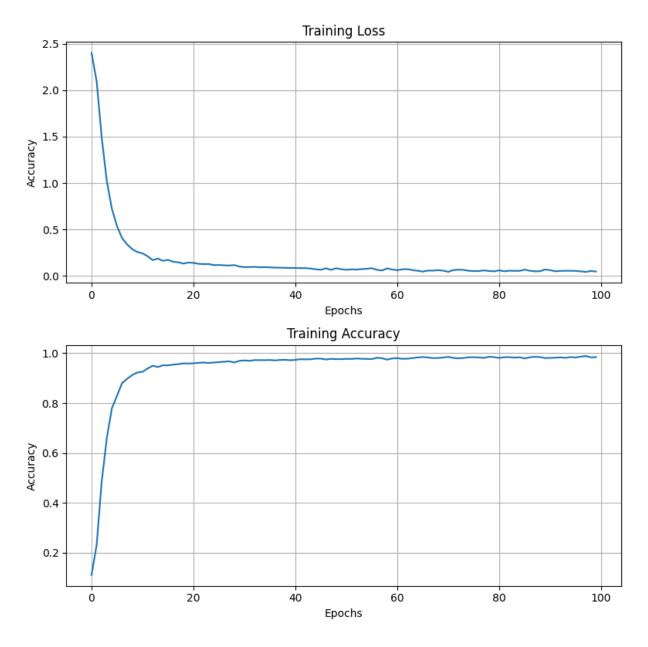
```
Epoch 57/100
818
Epoch 58/100
802
Epoch 59/100
744
Epoch 60/100
Epoch 61/100
804
Epoch 62/100
778
Epoch 63/100
782
Epoch 64/100
806
Epoch 65/100
833
Epoch 66/100
Epoch 67/100
831
Epoch 68/100
806
Epoch 69/100
811
Epoch 70/100
829
Epoch 71/100
Epoch 72/100
Epoch 73/100
798
Epoch 74/100
811
Epoch 75/100
```

```
838
Epoch 76/100
842
Epoch 77/100
Epoch 78/100
813
Epoch 79/100
862
844
Epoch 81/100
Epoch 82/100
Epoch 83/100
Epoch 84/100
827
Epoch 85/100
838
793
Epoch 87/100
Epoch 88/100
Epoch 89/100
847
Epoch 90/100
806
Epoch 91/100
813
Epoch 92/100
822
Epoch 93/100
Epoch 94/100
```

```
818
Epoch 95/100
847
Epoch 96/100
831
Epoch 97/100
864
Epoch 98/100
Epoch 99/100
Epoch 100/100
```

Visualizing loss and accuracy while training

```
In [45]: train_loss = history.history['loss']
         train_acc = history.history['accuracy']
         plt.figure(figsize=(8, 8))
         plt.subplot(2, 1, 1)
         plt.plot(train_loss, label='Training Loss')
         plt.title('Training Loss')
         plt.xlabel('Epochs')
         plt.ylabel('Accuracy')
         plt.grid()
         plt.subplot(2, 1, 2)
         plt.plot(train_acc, label='Training Accuracy')
         plt.title('Training Accuracy')
         plt.xlabel('Epochs')
         plt.ylabel('Accuracy')
         plt.grid()
         plt.tight_layout()
         plt.show()
```



## **Model Evaluation**

Evaluating the CNN model on the test data.

The loss and accuracy metrics indicates good model performance with high accuracy and low loss on the test set.

Other metrics are also calculated and visualized

The metrics show near perfect scores.

```
In [48]:
    from sklearn.metrics import accuracy_score, precision_score, recall_score
    from sklearn.metrics import f1_score, confusion_matrix, ConfusionMatrixDisplay
    from sklearn.metrics import roc_curve, RocCurveDisplay, roc_auc_score

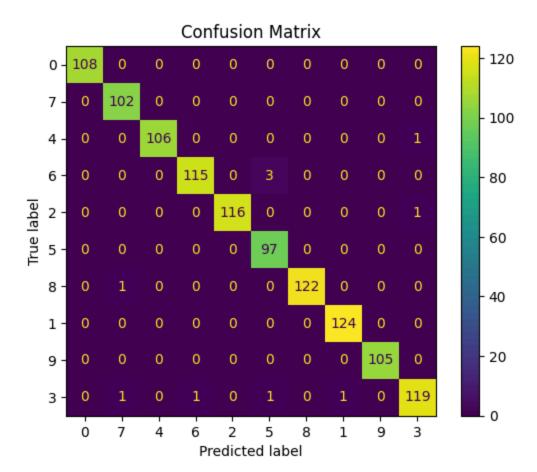
y_test_labels = np.argmax(y_test, axis=1)
    y_pred_labels = np.argmax(y_pred, axis=1)

print(f"Accuracy: {accuracy_score(y_test_labels, y_pred_labels)*100:.2f}")
    print(f"Precision: {precision_score(y_test_labels, y_pred_labels, average='macro')*
    print(f"Recall: {recall_score(y_test_labels, y_pred_labels, average='macro')*100:.2f}

cm = confusion_matrix(y_test_labels, y_pred_labels)

disp = ConfusionMatrixDisplay(cm, display_labels=class_labels)
    disp.plot()
    disp.ax_.set_title('Confusion Matrix')
    plt.show()
```

Accuracy: 99.11 Precision: 99.08 Recall: 99.16 F1 Score: 99.11



### K-Fold Cross-Validation

Since the model shows near perfect metrics in all categories, validating these results with a proper cross-validation approach.

```
In [56]: from sklearn.model_selection import KFold
```

K-Fold cross-validation for the CNN model from scratch.

- Folds: 5
- Initializes empty lists to store the loss and accuracy for each fold.
- Iterates over each fold, training a new model on the training set and evaluating it on the validation set.
- For each fold, it compiles a new instance of the CNN model with the Adam optimizer.
- Trains the model quietly (verbose=0 so it doesn't print out logs) for 100 epochs with a batch size of 128.
- Evaluates the model on the validation set and prints the fold number along with the validation results.

```
In [60]: n_folds = 5
    epochs = 100
    batch_size = 128
```

```
kfold = KFold(n_splits=n_folds, shuffle=True)
 kfold_hist_loss, kfold_hist_acc = [], []
 fold_count = 1
 print(f'K-Fold Cross-Validation on the CNN model [{n folds} Folds]')
 for train_index, val_index in kfold.split(X_images, y):
   t_x, val_x = X_images[train_index], X_images[val_index]
   t_y, val_y = y.iloc[train_index], y.iloc[val_index]
   t_y = to_categorical(t_y, num_classes=10)
   val_y = to_categorical(val_y, num_classes=10)
   model_tmp = create_cnn_model()
   optimizer_tmp = Adam(learning_rate=0.001, beta_1=0.9, beta_2=0.999)
   model_tmp.compile(optimizer=optimizer_tmp, loss="categorical_crossentropy", metri
   print(f"\nFold {fold_count} - Training")
   model_tmp.fit(t_x, t_y, epochs=epochs, batch_size=batch_size, verbose=0)
   val_loss, val_acc = model_tmp.evaluate(val_x, val_y, verbose=0)
   print(f'Fold {fold_count} - Validation')
   kfold_hist_loss.append(val_loss)
   kfold_hist_acc.append(val_acc)
   fold count += 1
K-Fold Cross-Validation on the CNN model [5 Folds]
```

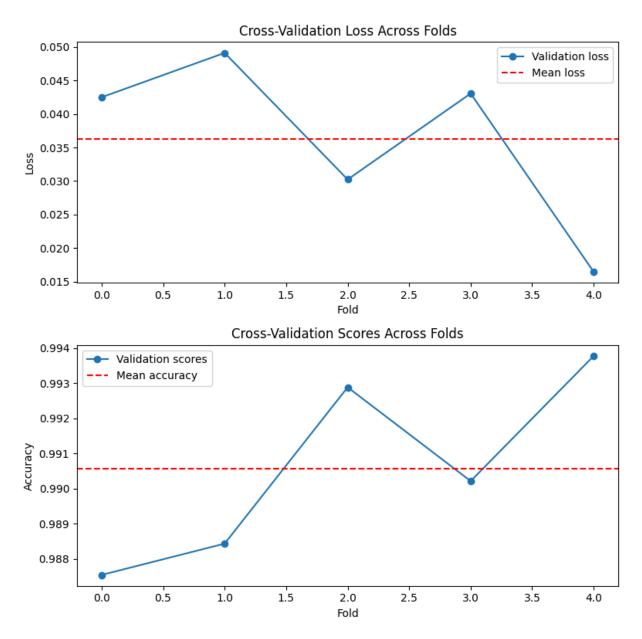
```
Fold 1 - Training
Fold 1 - Validation
Fold 2 - Training
Fold 2 - Validation
Fold 3 - Training
Fold 3 - Validation
Fold 4 - Training
Fold 4 - Validation
Fold 5 - Training
Fold 5 - Validation
```

Results of the K-fold cross-validation

```
In [61]: print(f'Validation Loss and Accuracy across {n_folds} Folds.')
         for i in range(n_folds):
           print(f'Fold {i+1}\tLoss: {kfold hist loss[i]}\tAccuracy: {kfold hist acc[i]}')
         print(f'\nMean loss across {n_folds} folds: {np.mean(kfold_hist_loss)}')
         print(f'\nMean cross-validation score: {np.mean(kfold_hist_acc)}')
         print(f"Standard deviation of cross-validation scores: {np.std(kfold_hist_acc)}")
```

Plotting the loss and accuracy of the CNN model across folds

```
In [62]: train_loss = history.history['loss']
         train_acc = history.history['accuracy']
         plt.figure(figsize=(8, 8))
         plt.subplot(2, 1, 1)
         plt.plot(kfold_hist_loss, label='Validation loss', marker='o')
         plt.axhline(y=np.mean(kfold_hist_loss), color='r', linestyle='--', label='Mean loss
         plt.xlabel('Fold')
         plt.ylabel('Loss')
         plt.title('Cross-Validation Loss Across Folds')
         plt.legend()
         plt.subplot(2, 1, 2)
         plt.plot(kfold hist acc, label='Validation scores', marker='o')
         plt.axhline(y=np.mean(kfold_hist_acc), color='r', linestyle='--', label='Mean accur
         plt.xlabel('Fold')
         plt.ylabel('Accuracy')
         plt.title('Cross-Validation Scores Across Folds')
         plt.legend()
         plt.tight_layout()
         plt.show()
```



Further validation from K-Fold cross-validation with 5 folds confirmed the model's robustness and consistency across different subsets of data. Each fold was trained independently, and the model exhibited stable performance across all folds, validating its effectiveness and stability.

### Conclusion

- 1. **High Accuracy:** The CNN achieved near-perfect accuracy on the test set and consistent results across validation folds, highlighting its capability to effectively recognize handwritten digits.
- 2. **Robust Model Design:** The use of dropout layers and careful architectural choices helped in mitigating overfitting, as evidenced by consistent performance during K-Fold cross-validation.

3. **Effective Feature Extraction:** Visualization of feature maps revealed that the model was effectively capturing relevant features at various layers, crucial for accurate classification.

- 4. **Generalization Capability:** The consistent performance across multiple folds during cross-validation suggests that the model is not overly fitted to the training data but rather generalizes well to new, unseen data.
- 5. **Potential Improvements:** While results are already excellent, exploring additional enhancements such as further hyperparameter tuning, advanced regularization techniques, or experimenting with deeper architectures might provide marginal gains.

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