

# Designing, Visualizing and Understanding Deep Neural Networks

## Lecture 6: Convolutional Networks II

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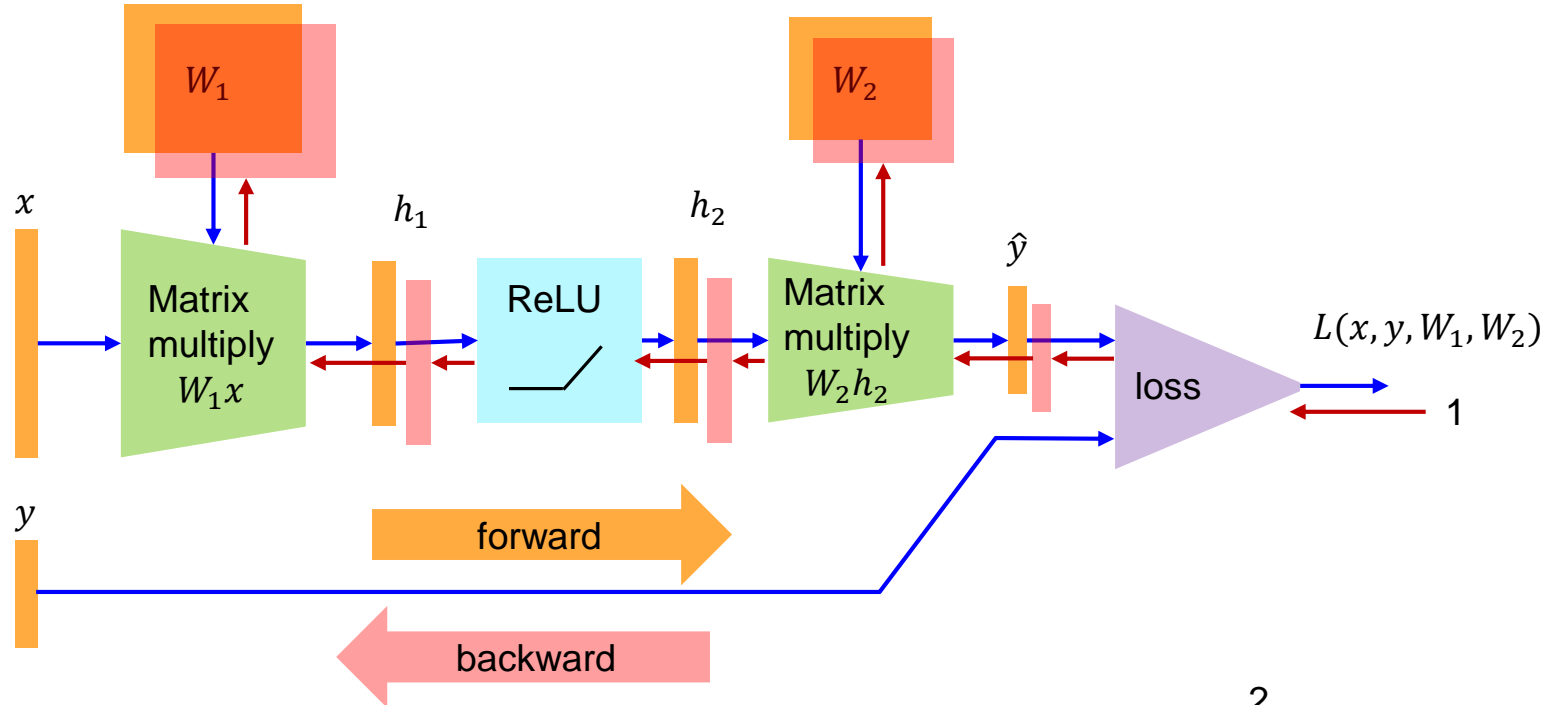
CS 194/294-129 Spring 2018  
John Canny

Slides originated from Efros, Karpathy, Ransato, Seitz, and Palmer

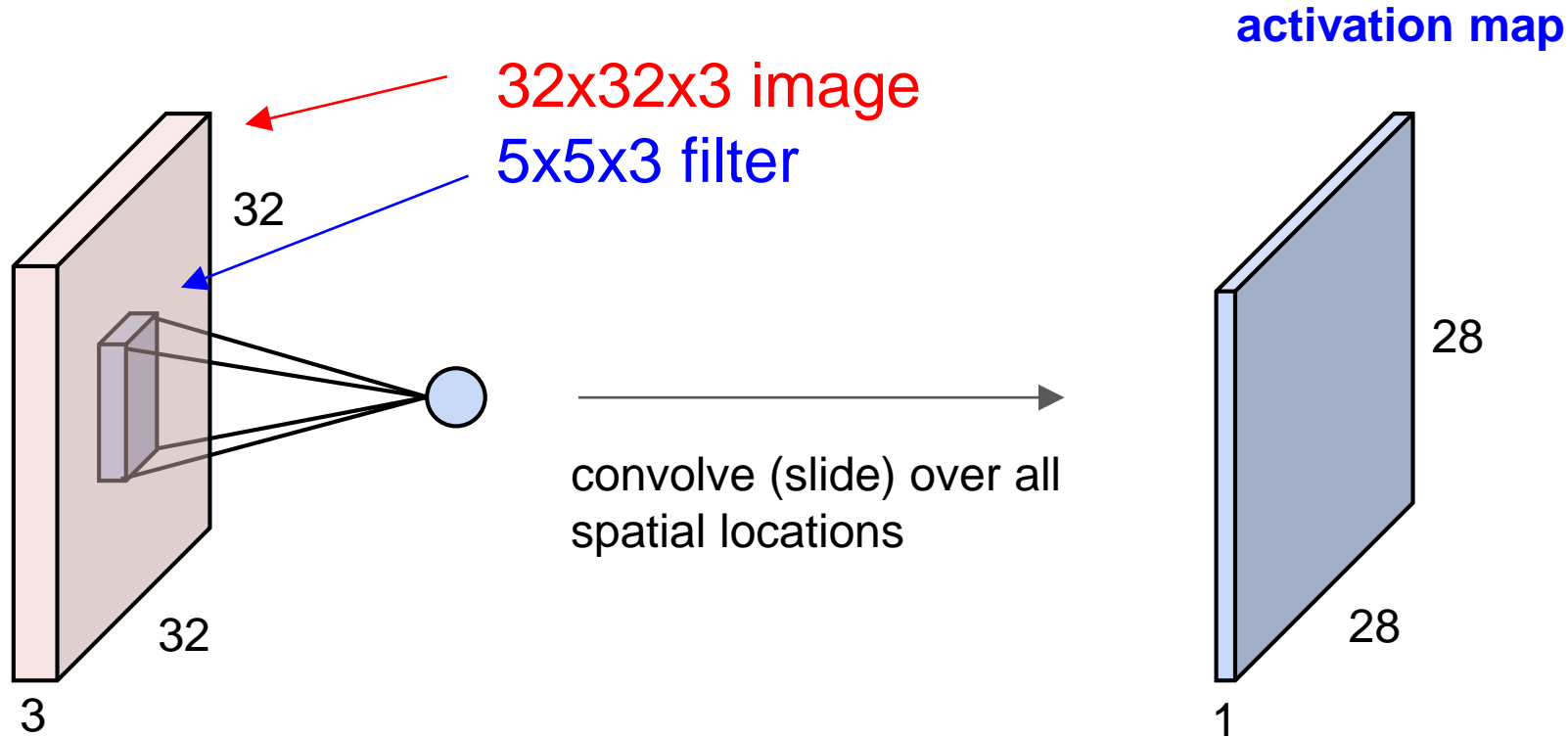
# Last Time: Backpropagation

**Backprop Efficiency:** matrix-vector multiply only and common subexpressions.

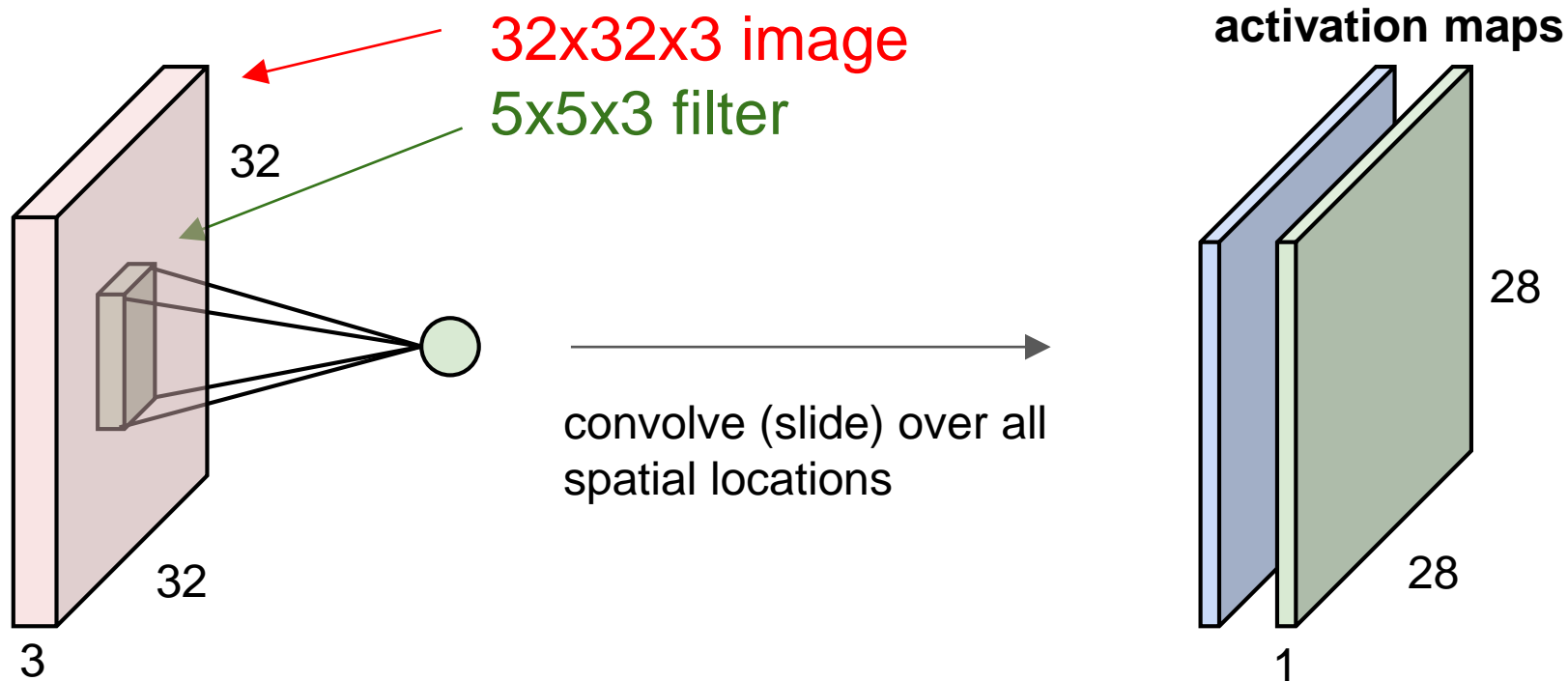
Example: a real neural network (Tensorflow style):



# Last Time: Convolution Layers



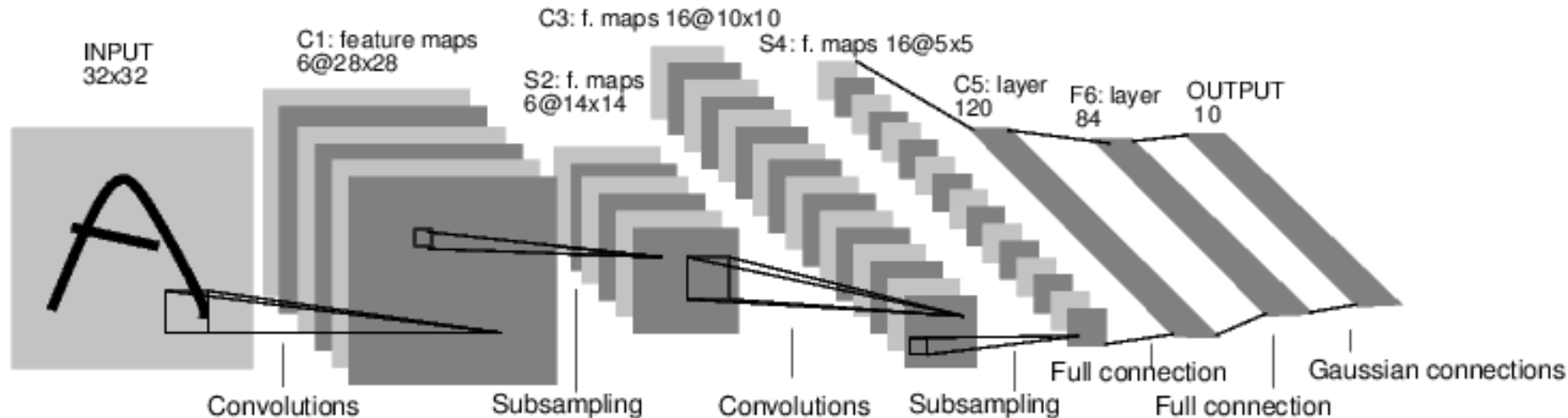
# Last Time: Convolution Layers



Projects ! The Project Proposal page is up

# This Time: Case Study: LeNet-5

[LeCun et al., 1998]

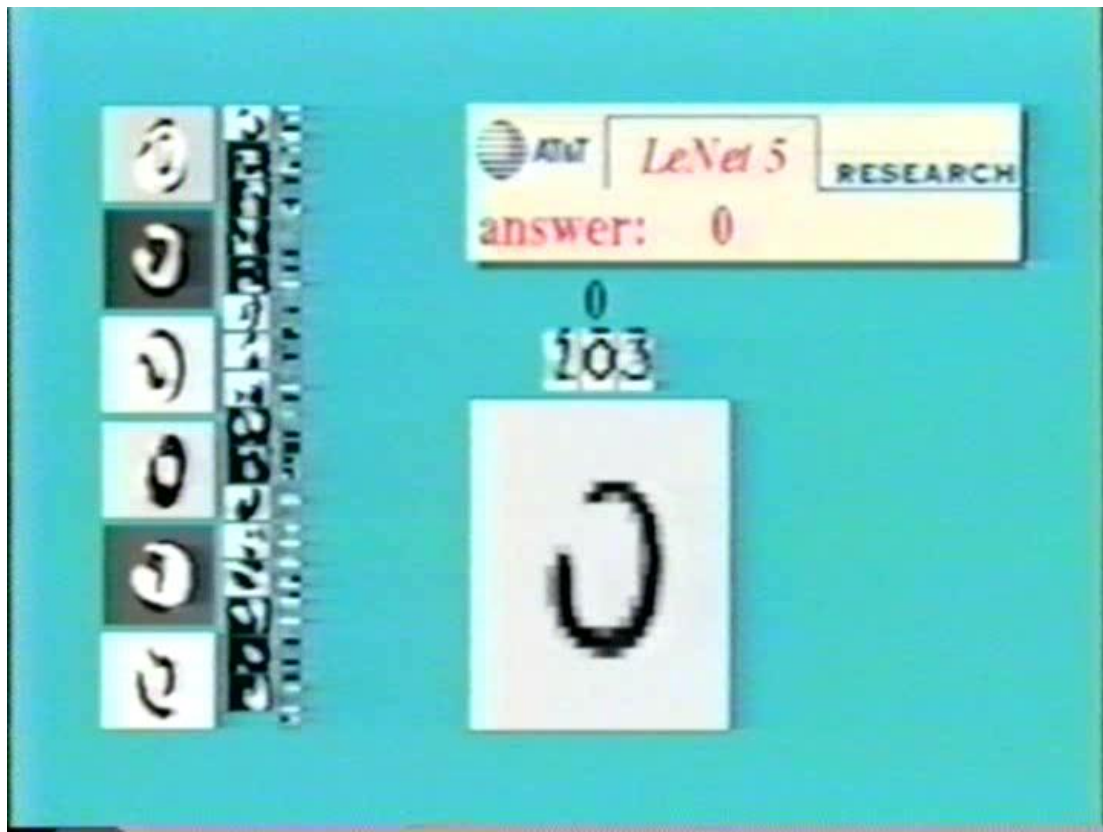


Conv filters were 5x5, applied at stride 1

Subsampling (Pooling) layers were 2x2 applied at stride 2

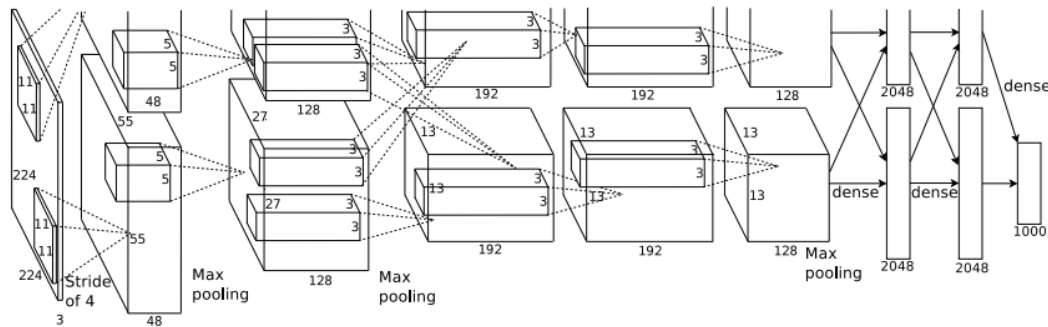
i.e. architecture is [CONV-POOL-CONV-POOL-CONV-FC]

# Handwritten digit classification



# Case Study: AlexNet

[Krizhevsky et al. 2012]



Input: 227x227x3 images

**First layer (CONV1):** 96 11x11 filters applied at stride 4

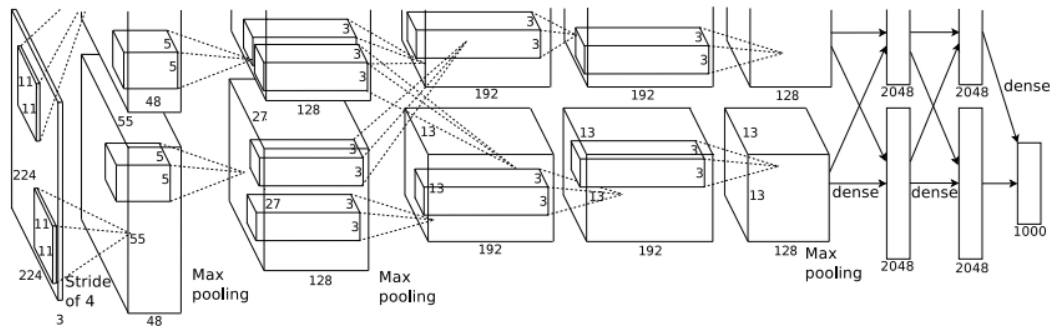
=>

Q: what is the output volume size? Hint:  $(227-11)/4+1 = 55$



# Case Study: AlexNet

[Krizhevsky et al. 2012]



Input: 227x227x3 images

**First layer (CONV1):** 96 11x11 filters applied at stride 4

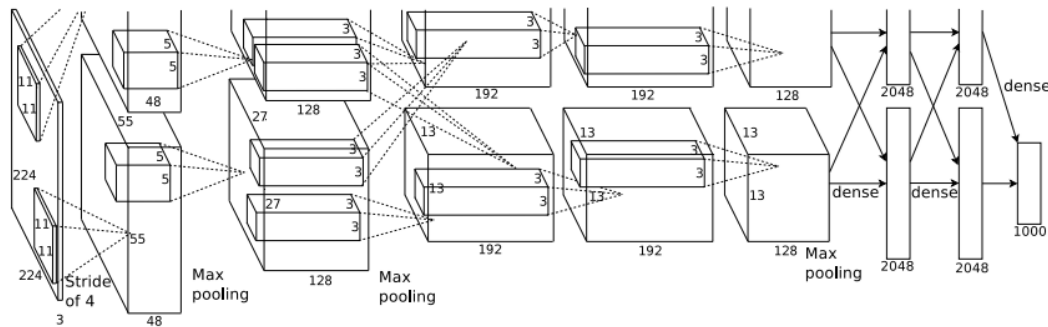
=>

Output volume **[55x55x96]**

Q: What is the total number of parameters in this layer?

# Case Study: AlexNet

[Krizhevsky et al. 2012]



Input: 227x227x3 images

**First layer (CONV1):** 96 11x11 filters applied at stride 4

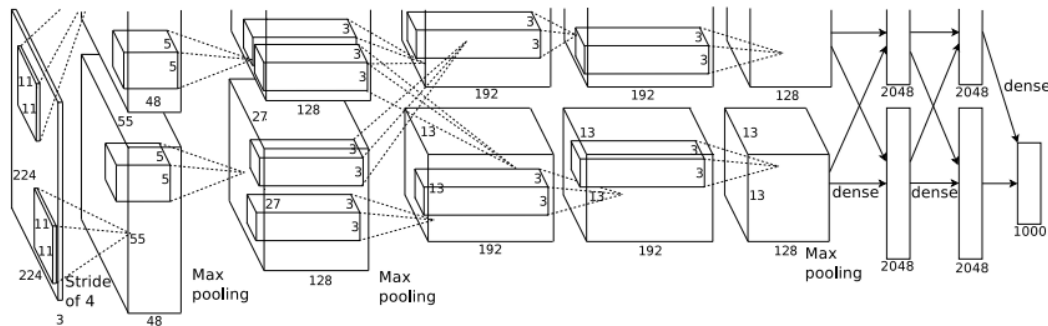
=>

Output volume **[55x55x96]**

Parameters:  $(11*11*3)*96 = \mathbf{35K}$

# Case Study: AlexNet

[Krizhevsky et al. 2012]



Input: 227x227x3 images

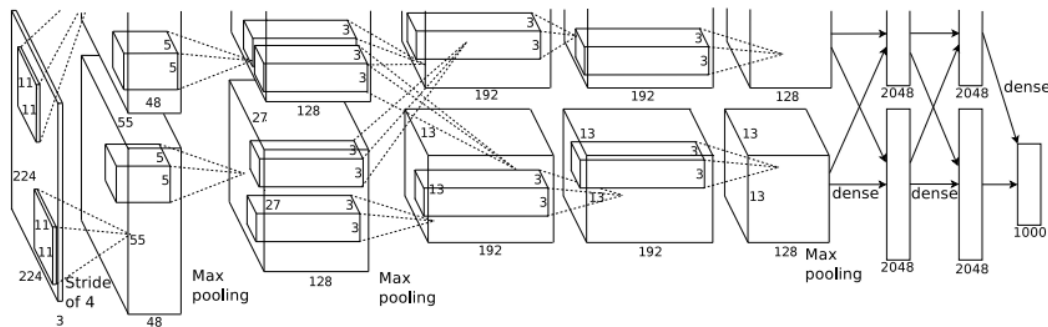
After CONV1: 55x55x96

**Second layer (POOL1):** 3x3 filters applied at stride 2

Q: what is the output volume size? Hint:  $(55-3)/2+1 = 27$

# Case Study: AlexNet

[Krizhevsky et al. 2012]



Input: 227x227x3 images

After CONV1: 55x55x96

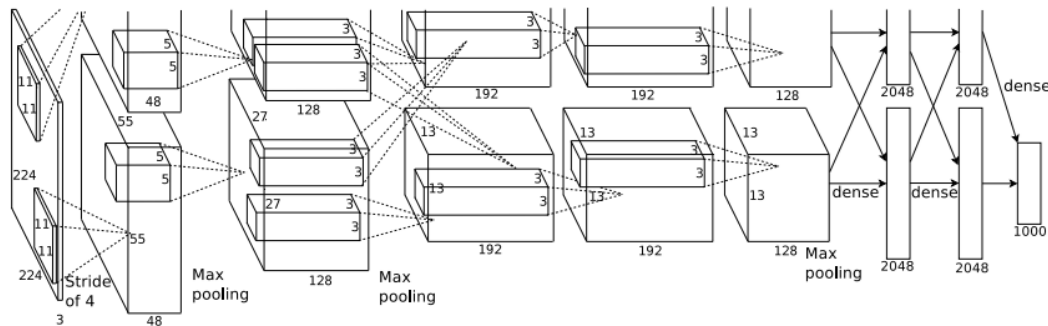
**Second layer (POOL1):** 3x3 filters applied at stride 2

Output volume: 27x27x96

Q: what is the number of parameters in this layer?

# Case Study: AlexNet

[Krizhevsky et al. 2012]



Input: 227x227x3 images

After CONV1: 55x55x96

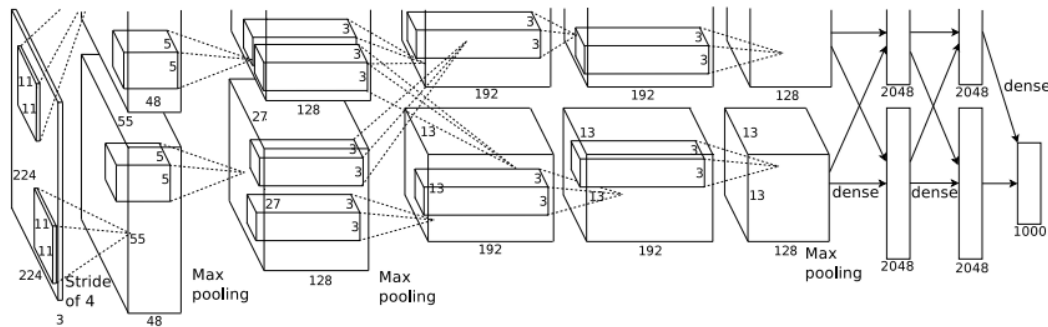
**Second layer (POOL1):** 3x3 filters applied at stride 2

Output volume: 27x27x96

Parameters: 0!

# Case Study: AlexNet

[Krizhevsky et al. 2012]



Input: 227x227x3 images

After CONV1: 55x55x96

After POOL1: 27x27x96

...

# Case Study: AlexNet

[Krizhevsky et al. 2012]

Full (simplified) AlexNet architecture:

[227x227x3] INPUT

[55x55x96] **CONV1**: 96 11x11 filters at stride 4, pad 0

[27x27x96] **MAX POOL1**: 3x3 filters at stride 2

[27x27x96] **NORM1**: Normalization layer

[27x27x256] **CONV2**: 256 5x5 filters at stride 1, pad 2

[13x13x256] **MAX POOL2**: 3x3 filters at stride 2

[13x13x256] **NORM2**: Normalization layer

[13x13x384] **CONV3**: 384 3x3 filters at stride 1, pad 1

[13x13x384] **CONV4**: 384 3x3 filters at stride 1, pad 1

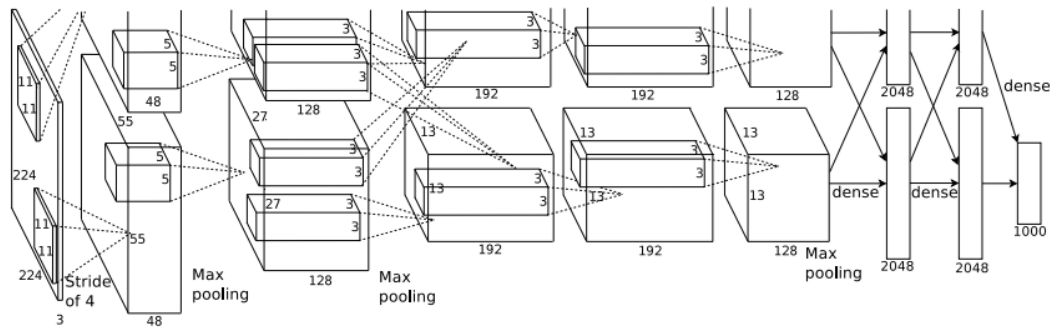
[13x13x256] **CONV5**: 256 3x3 filters at stride 1, pad 1

[6x6x256] **MAX POOL3**: 3x3 filters at stride 2

[4096] **FC6**: 4096 neurons

[4096] **FC7**: 4096 neurons

[1000] **FC8**: 1000 neurons (class scores)



# Case Study: AlexNet

[Krizhevsky et al. 2012]

Full (simplified) AlexNet architecture:

[227x227x3] INPUT

[55x55x96] **CONV1**: 96 11x11 filters at stride 4, pad 0

[27x27x96] **MAX POOL1**: 3x3 filters at stride 2

[27x27x96] **NORM1**: Normalization layer

[27x27x256] **CONV2**: 256 5x5 filters at stride 1, pad 2

[13x13x256] **MAX POOL2**: 3x3 filters at stride 2

[13x13x256] **NORM2**: Normalization layer

[13x13x384] **CONV3**: 384 3x3 filters at stride 1, pad 1

[13x13x384] **CONV4**: 384 3x3 filters at stride 1, pad 1

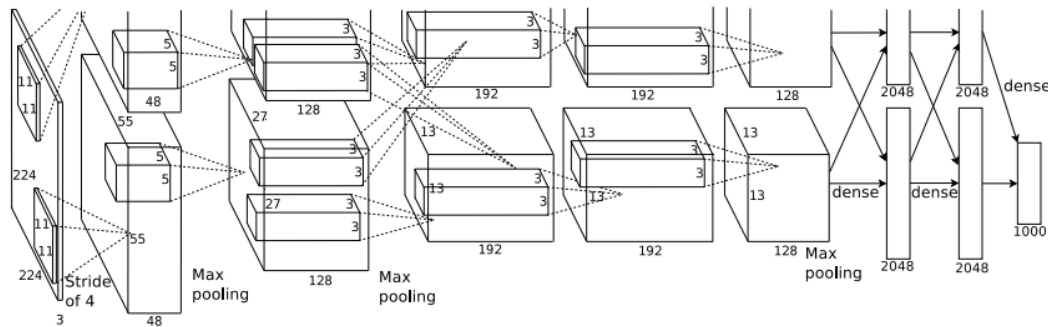
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[6x6x256] **MAX POOL3**: 3x3 filters at stride 2

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[1000] **FC8**: 1000 neurons (class scores)



## Details/Retrospectives:

- first use of ReLU
- used LRNorm layers (not common anymore)
- heavy data augmentation
- dropout 0.5
- batch size 128
- SGD Momentum 0.9
- Learning rate 1e-2, reduced by 10 manually when val accuracy plateaus
- L2 weight decay 5e-4
- 7 CNN ensemble: 18.2% -> 15.4%



“You need a lot of a data if you want to  
train/use CNNs”

# Transfer Learning

“You need a lot of data if you want to  
train the CNN”

**NOT  
ALWAYS**

# Transfer Learning with CNNs

image

conv-64

conv-64

maxpool

conv-128

conv-128

maxpool

conv-256

conv-256

maxpool

conv-512

conv-512

maxpool

conv-512

conv-512

maxpool

FC-4096

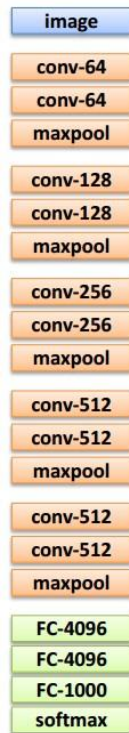
FC-4096

FC-1000

softmax

1. Train on  
Imagenet

# Transfer Learning with CNNs



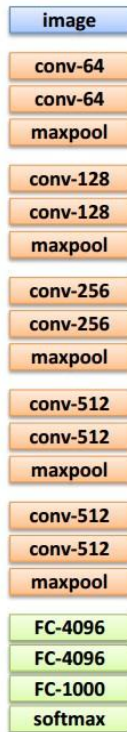
1. Train on  
Imagenet



2. If small dataset: fix  
all weights (treat CNN  
as fixed feature  
extractor), retrain only  
the classifier

i.e. swap the Softmax  
layer at the end

# Transfer Learning with CNNs

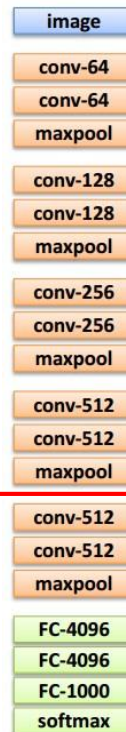


1. Train on ImageNet



2. If small dataset: fix all weights (treat CNN as fixed feature extractor), retrain only the classifier

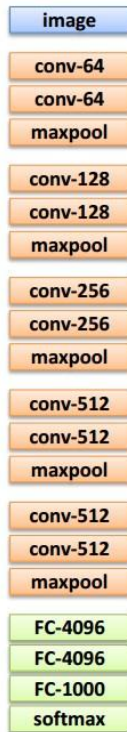
i.e. swap the Softmax layer at the end



3. If you have medium sized dataset, **“finetune”** instead: use the old weights as initialization, train the full network or only some of the higher layers

retrain bigger portion of the network, or even all of it.

# Transfer Learning with CNNs



1. Train on  
Imagenet



2. If small dataset: fix  
all weights (treat CNN  
as fixed feature  
extractor), retrain only  
the classifier

i.e. swap the Softmax  
layer at the end



3. If you have medium sized  
dataset, **“finetune”**  
instead: use the old weights  
as initialization, train the full  
network or only some of the  
higher layers

retrain bigger portion of the  
network, or even all of it.

tip: use only ~1/10th of  
the original learning rate  
in finetuning to player,  
and ~1/100th on  
intermediate layers

# Case Study: VGGNet

[Simonyan and Zisserman, 2014]

Only 3x3 CONV stride 1, pad 1  
and 2x2 MAX POOL stride 2

best model

11.2% top 5 error in ILSVRC 2013

->

7.3% top 5 error

ConvNet Configuration					
A	A-LRN	B	C	D	E
11 weight layers	11 weight layers	13 weight layers	16 weight layers	16 weight layers	19 weight layers
input (224 × 224 RGB image)					
conv3-64	conv3-64 LRN	conv3-64 <b>conv3-64</b>	conv3-64 conv3-64	conv3-64 conv3-64	conv3-64 conv3-64
maxpool					
conv3-128	conv3-128	conv3-128 <b>conv3-128</b>	conv3-128 conv3-128	conv3-128 conv3-128	conv3-128 conv3-128
maxpool					
conv3-256 conv3-256	conv3-256 conv3-256	conv3-256 conv3-256	conv3-256 conv3-256 <b>conv1-256</b>	conv3-256 conv3-256 <b>conv3-256</b>	conv3-256 conv3-256 conv3-256 <b>conv3-256</b>
maxpool					
conv3-512 conv3-512	conv3-512 conv3-512	conv3-512 conv3-512	conv3-512 conv3-512 <b>conv1-512</b>	conv3-512 conv3-512 <b>conv3-512</b>	conv3-512 conv3-512 conv3-512 <b>conv3-512</b>
maxpool					
conv3-512 conv3-512	conv3-512 conv3-512	conv3-512 conv3-512	conv3-512 conv3-512 <b>conv1-512</b>	conv3-512 conv3-512 <b>conv3-512</b>	conv3-512 conv3-512 conv3-512 <b>conv3-512</b>
maxpool					
FC-4096					
FC-4096					
FC-1000					
soft-max					

Table 2: Number of parameters (in millions).

Network	A,A-LRN	B	C	D	E
Number of parameters	133	133	134	138	144

INPUT: [224x224x3] memory:  $224*224*3=150\text{K}$  params: 0 (not counting biases)

CONV3-64: [224x224x64] memory:  $224*224*64=3.2\text{M}$  params:  $(3*3*3)*64 = 1,728$

CONV3-64: [224x224x64] memory:  $224*224*64=3.2\text{M}$  params:  $(3*3*64)*64 = 36,864$

POOL2: [112x112x64] memory:  $112*112*64=800\text{K}$  params: 0

CONV3-128: [112x112x128] memory:  $112*112*128=1.6\text{M}$  params:  $(3*3*64)*128 = 73,728$

CONV3-128: [112x112x128] memory:  $112*112*128=1.6\text{M}$  params:  $(3*3*128)*128 = 147,456$

POOL2: [56x56x128] memory:  $56*56*128=400\text{K}$  params: 0

CONV3-256: [56x56x256] memory:  $56*56*256=800\text{K}$  params:  $(3*3*128)*256 = 294,912$

CONV3-256: [56x56x256] memory:  $56*56*256=800\text{K}$  params:  $(3*3*256)*256 = 589,824$

CONV3-256: [56x56x256] memory:  $56*56*256=800\text{K}$  params:  $(3*3*256)*256 = 589,824$

POOL2: [28x28x256] memory:  $28*28*256=200\text{K}$  params: 0

CONV3-512: [28x28x512] memory:  $28*28*512=400\text{K}$  params:  $(3*3*256)*512 = 1,179,648$

CONV3-512: [28x28x512] memory:  $28*28*512=400\text{K}$  params:  $(3*3*512)*512 = 2,359,296$

CONV3-512: [28x28x512] memory:  $28*28*512=400\text{K}$  params:  $(3*3*512)*512 = 2,359,296$

POOL2: [14x14x512] memory:  $14*14*512=100\text{K}$  params: 0

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CONV3-512: [14x14x512] memory:  $14*14*512=100\text{K}$  params:  $(3*3*512)*512 = 2,359,296$

POOL2: [7x7x512] memory:  $7*7*512=25\text{K}$  params: 0

FC: [1x1x4096] memory: 4096 params:  $7*7*512*4096 = 102,760,448$

FC: [1x1x4096] memory: 4096 params:  $4096*4096 = 16,777,216$

FC: [1x1x1000] memory: 1000 params:  $4096*1000 = 4,096,000$

ConvNet Configuration			
B	C	D	
13 weight layers	16 weight layers	16 weight layers	19
put (224 × 224 RGB image)			
conv3-64	conv3-64	conv3-64	cc
<b>conv3-64</b>	conv3-64	conv3-64	cc
maxpool			
conv3-128	conv3-128	conv3-128	co
<b>conv3-128</b>	conv3-128	conv3-128	co
maxpool			
conv3-256	conv3-256	conv3-256	co
conv3-256	conv3-256	conv3-256	co
	<b>conv1-256</b>	<b>conv3-256</b>	co
			co
maxpool			
conv3-512	conv3-512	conv3-512	co
conv3-512	conv3-512	conv3-512	co
	<b>conv1-512</b>	<b>conv3-512</b>	co
			co
maxpool			
conv3-512	conv3-512	conv3-512	co
conv3-512	conv3-512	conv3-512	co
	<b>conv1-512</b>	<b>conv3-512</b>	co
			co
maxpool			
FC-4096			
FC-4096			
FC-1000			
soft-max			



INPUT: [224x224x3] memory:  $224*224*3=150\text{K}$  params: 0 (not counting biases)

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POOL2: [56x56x128] memory:  $56*56*128=400\text{K}$  params: 0

CONV3-256: [56x56x256] memory:  $56*56*256=800\text{K}$  params:  $(3*3*128)*256 = 294,912$

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POOL2: [7x7x512] memory:  $7*7*512=25\text{K}$  params: 0

FC: [1x1x4096] memory: 4096 params:  $7*7*512*4096 = 102,760,448$

FC: [1x1x4096] memory: 4096 params:  $4096*4096 = 16,777,216$

FC: [1x1x1000] memory: 1000 params:  $4096*1000 = 4,096,000$

TOTAL memory:  $24\text{M} * 4 \text{ bytes} \sim 93\text{MB} / \text{image}$  (only forward!  $\sim 2$  for bwd)

TOTAL params: 138M parameters

ConvNet Configuration			
B	C	D	
13 weight layers	16 weight layers	16 weight layers	19
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conv3-64	conv3-64	conv3-64	cc
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maxpool			
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conv3-256	conv3-256	conv3-256	co
	<b>conv1-256</b>	<b>conv3-256</b>	co
			co
maxpool			
conv3-512	conv3-512	conv3-512	co
conv3-512	conv3-512	conv3-512	co
	<b>conv1-512</b>	<b>conv3-512</b>	co
			co
maxpool			
conv3-512	conv3-512	conv3-512	co
conv3-512	conv3-512	conv3-512	co
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			co
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FC: [1x1x4096] memory: 4096 params:  $7*7*512*4096 = 102,760,448$

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FC: [1x1x1000] memory: 1000 params:  $4096*1000 = 4,096,000$

**TOTAL memory:  $24\text{M} * 4 \text{ bytes} \approx 93\text{MB}$  / image** (only forward!  $\sim 2$  for bwd)

**TOTAL params: 138M parameters**

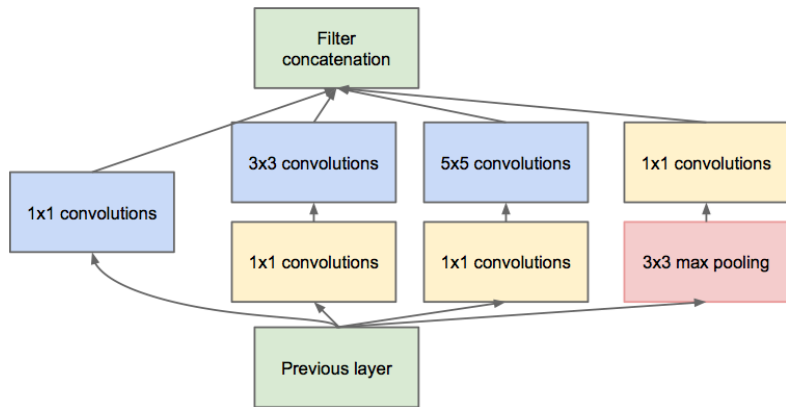
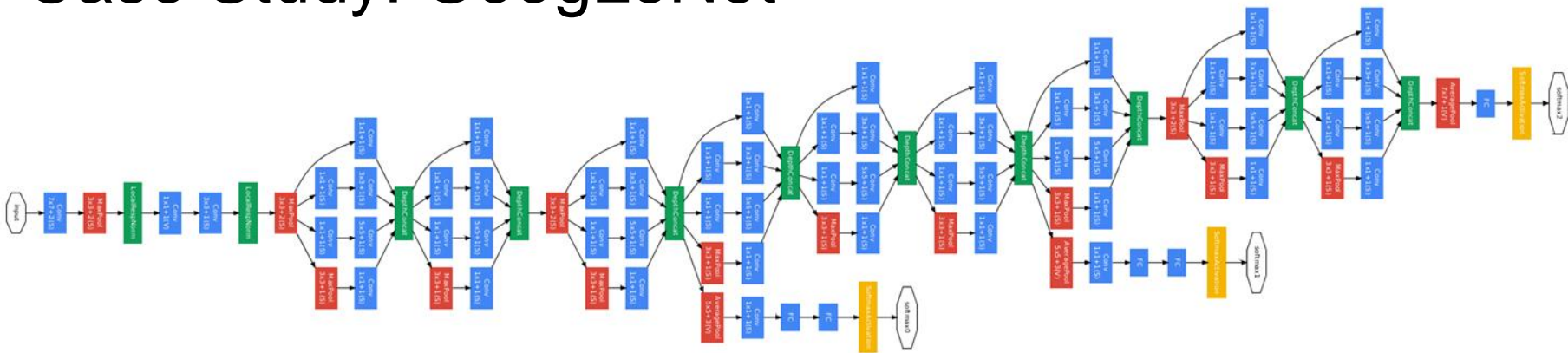
Note:

Most memory is in  
early CONV

Most params are  
in late FC

# Case Study: GoogLeNet

[Szegedy et al., 2014]

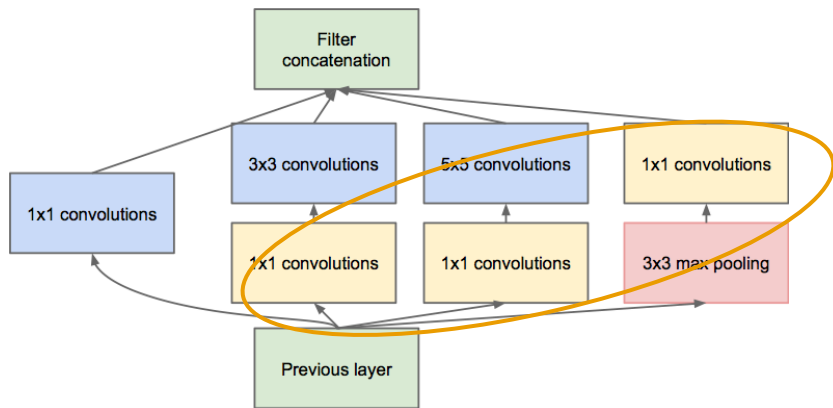
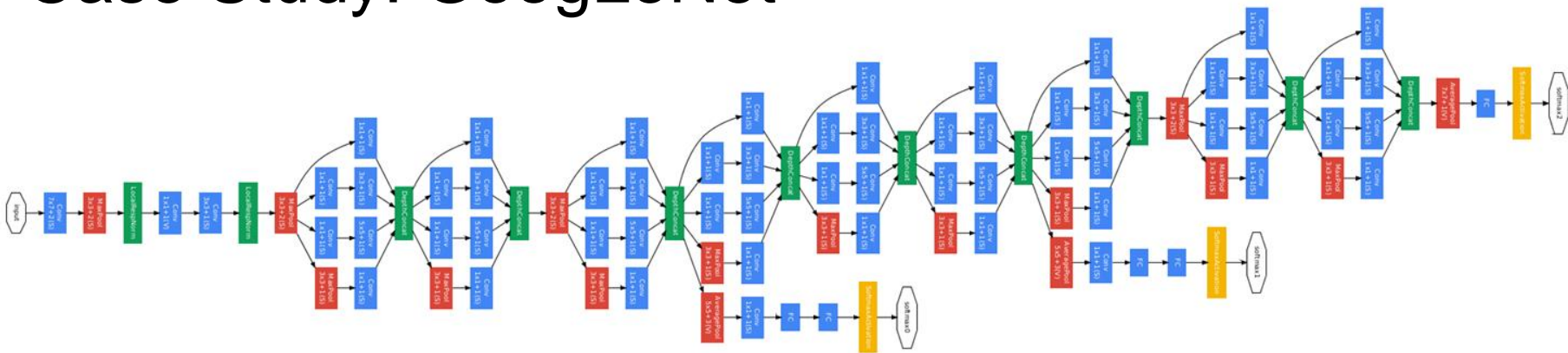


Inception module

ILSVRC 2014 winner (6.7% top 5 error)

# Case Study: GoogLeNet

[Szegedy et al., 2014]

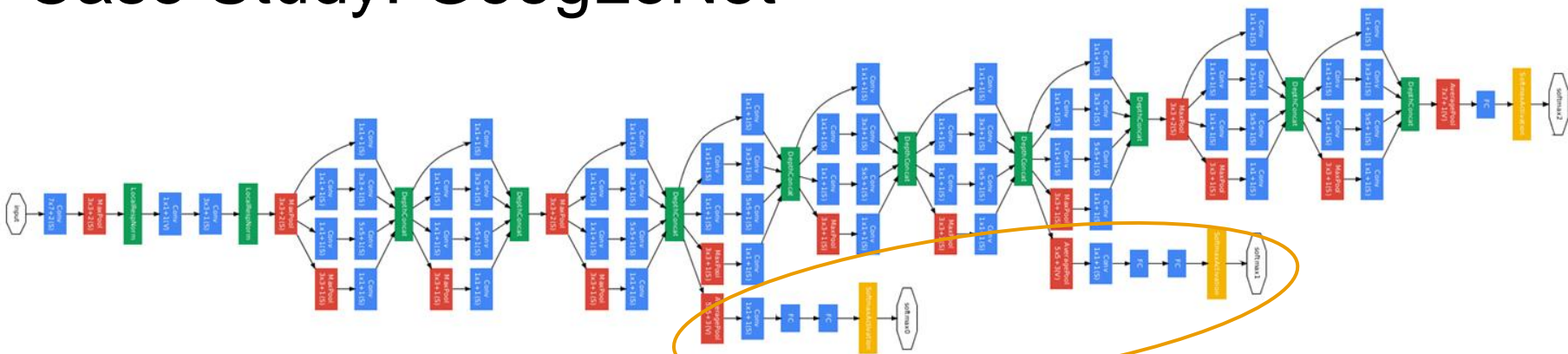


1x1 dimension reduction layers  
(reduce compute bottlenecks)

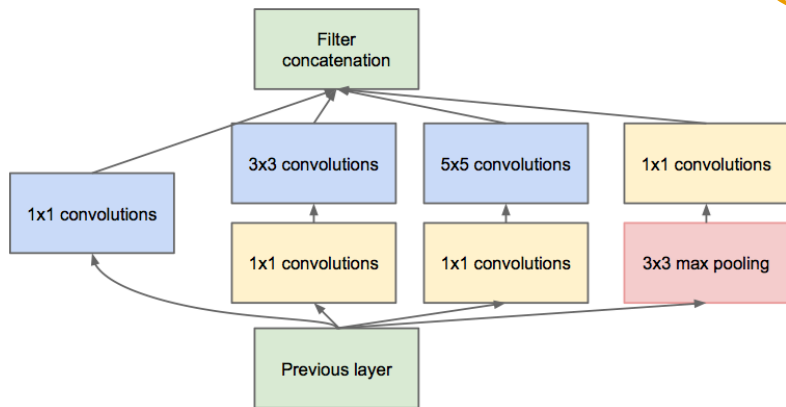
## Inception module

# Case Study: GoogLeNet

[Szegedy et al., 2014]



Helper loss (during training only)



## Inception module



# Case Study: GoogLeNet

type	patch size/ stride	output size	depth	#1×1	#3×3 reduce	#3×3	#5×5 reduce	#5×5	pool proj	params	ops
convolution	7×7/2	112×112×64	1							2.7K	34M
max pool	3×3/2	56×56×64	0								
convolution	3×3/1	56×56×192	2		64	192				112K	360M
max pool	3×3/2	28×28×192	0								
inception (3a)		28×28×256	2	64	96	128	16	32	32	159K	128M
inception (3b)		28×28×480	2	128	128	192	32	96	64	380K	304M
max pool	3×3/2	14×14×480	0								
inception (4a)		14×14×512	2	192	96	208	16	48	64	364K	73M
inception (4b)		14×14×512	2	160	112	224	24	64	64	437K	88M
inception (4c)		14×14×512	2	128	128	256	24	64	64	463K	100M
inception (4d)		14×14×528	2	112	144	288	32	64	64	580K	119M
inception (4e)		14×14×832	2	256	160	320	32	128	128	840K	170M
max pool	3×3/2	7×7×832	0								
inception (5a)		7×7×832	2	256	160	320	32	128	128	1072K	54M
inception (5b)		7×7×1024	2	384	192	384	48	128	128	1388K	71M
avg pool	7×7/1	1×1×1024	0								
dropout (40%)		1×1×1024	0								
linear		1×1×1000	1							1000K	1M
softmax		1×1×1000	0								

Fun features:


- Only 5 million params!  
(Removes FC layers completely)

**Compared to AlexNet:**

- 12X less params
- 2x more compute
- 6.67% (vs. 16.4%)


# Case Study: ResNet [He et al., 2015]

ILSVRC 2015 winner (3.6% top 5 error)

Microsoft  
Research

## MSRA @ ILSVRC & COCO 2015 Competitions

- **1st places in all five main tracks**
  - ImageNet Classification: “Ultra-deep” (quote Yann) **152-layer** nets
  - ImageNet Detection: **16%** better than 2nd
  - ImageNet Localization: **27%** better than 2nd
  - COCO Detection: **11%** better than 2nd
  - COCO Segmentation: **12%** better than 2nd

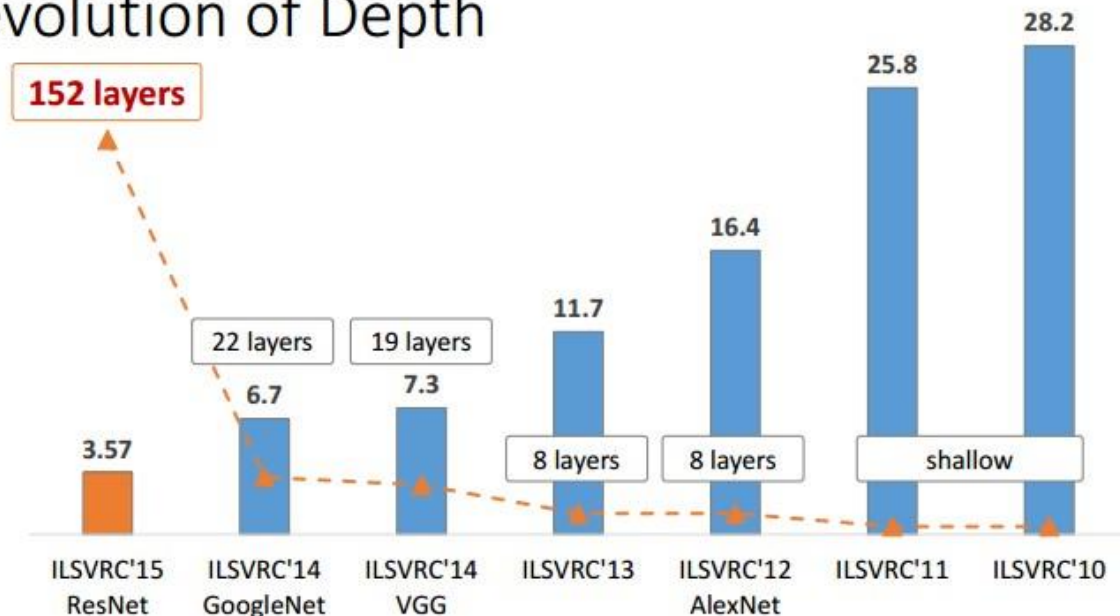
ICCV 15  
International Conference on Computer Vision

\*improvements are relative numbers

Kaiming He, Xiangyu Zhang, Shaoqing Ren, & Jian Sun. “Deep Residual Learning for Image Recognition”. arXiv 2015.

Slide from Kaiming He’s recent presentation <https://www.youtube.com/watch?v=1PGLj-uKT1w>

# Revolution of Depth



ImageNet Classification top-5 error (%)

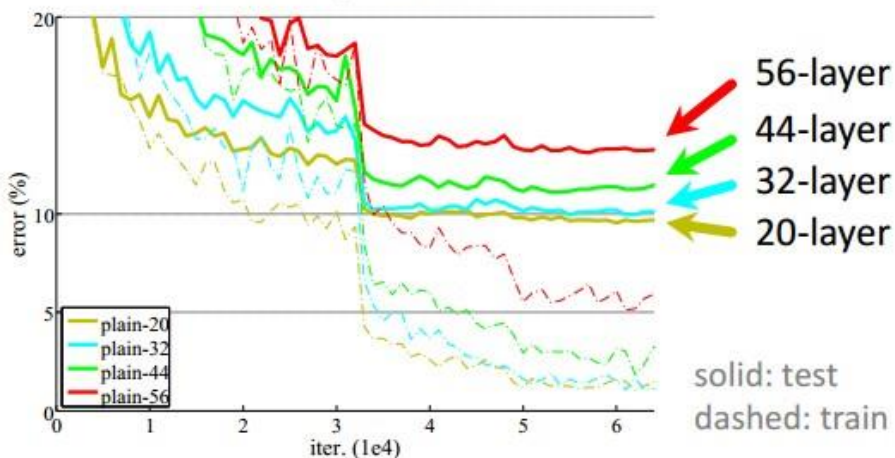
Kaiming He, Xiangyu Zhang, Shaoqing Ren, & Jian Sun. "Deep Residual Learning for Image Recognition". arXiv 2015.

(slide from Kaiming He's recent presentation)

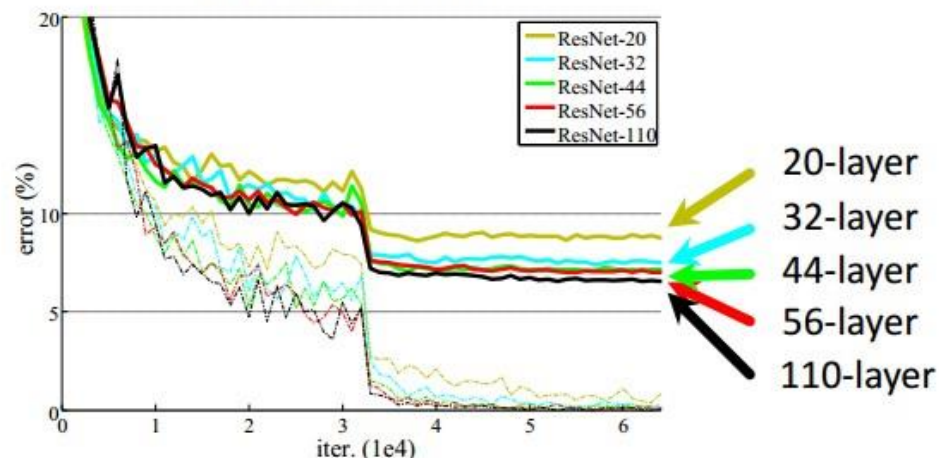


# CIFAR-10 experiments

CIFAR-10 plain nets

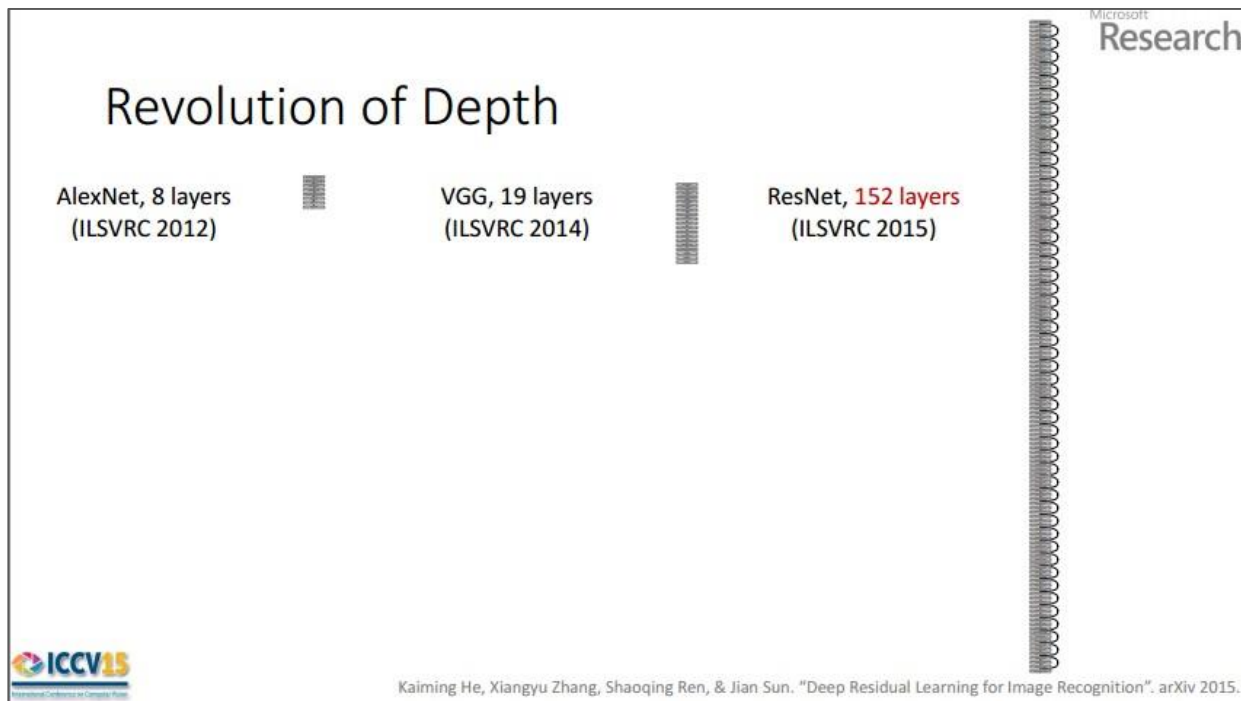


CIFAR-10 ResNets



# Case Study: ResNet [He et al., 2015]

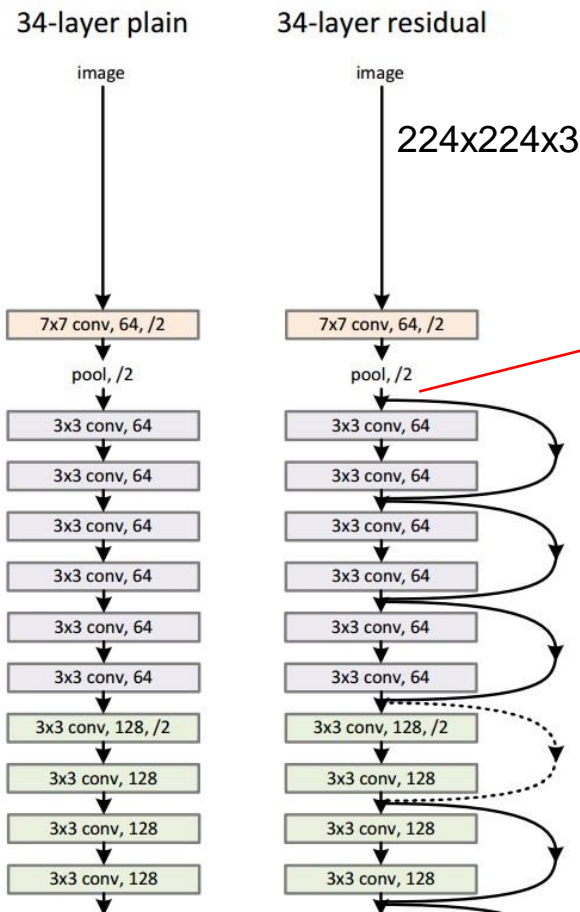
ILSVRC 2015 winner (3.6% top 5 error)



(slide from Kaiming He's recent presentation)

# Case Study: ResNet

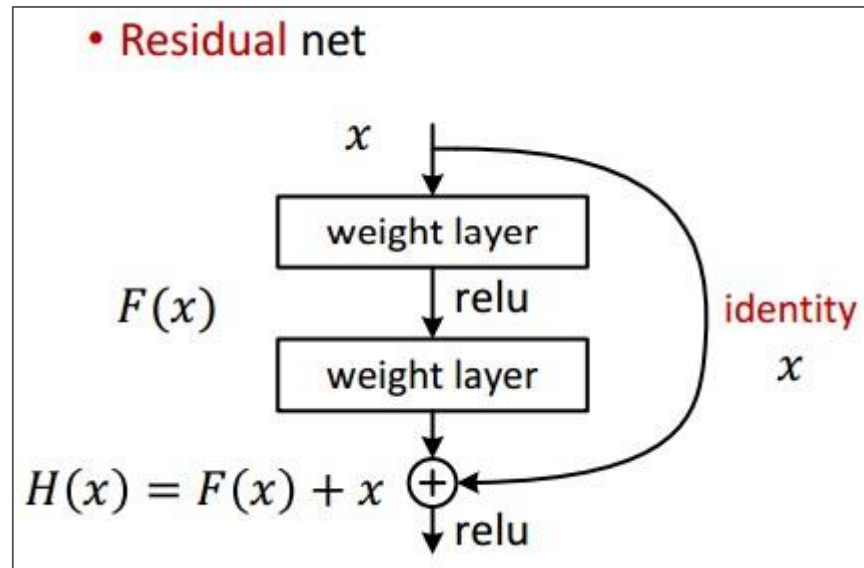
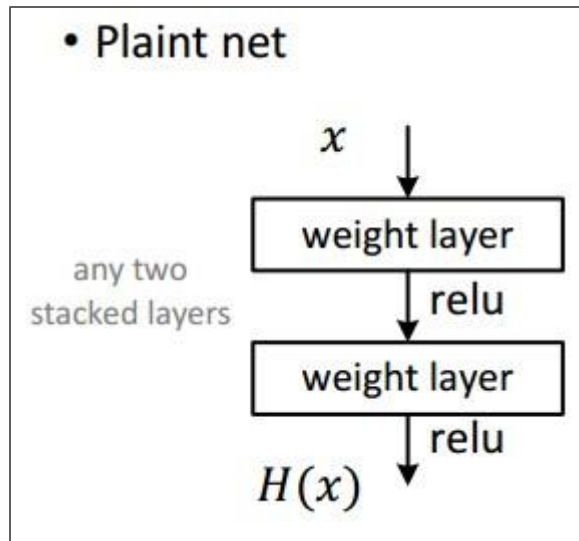
[He et al., 2015]



spatial dimension  
only 56x56!

# Case Study: ResNet

[He et al., 2015]

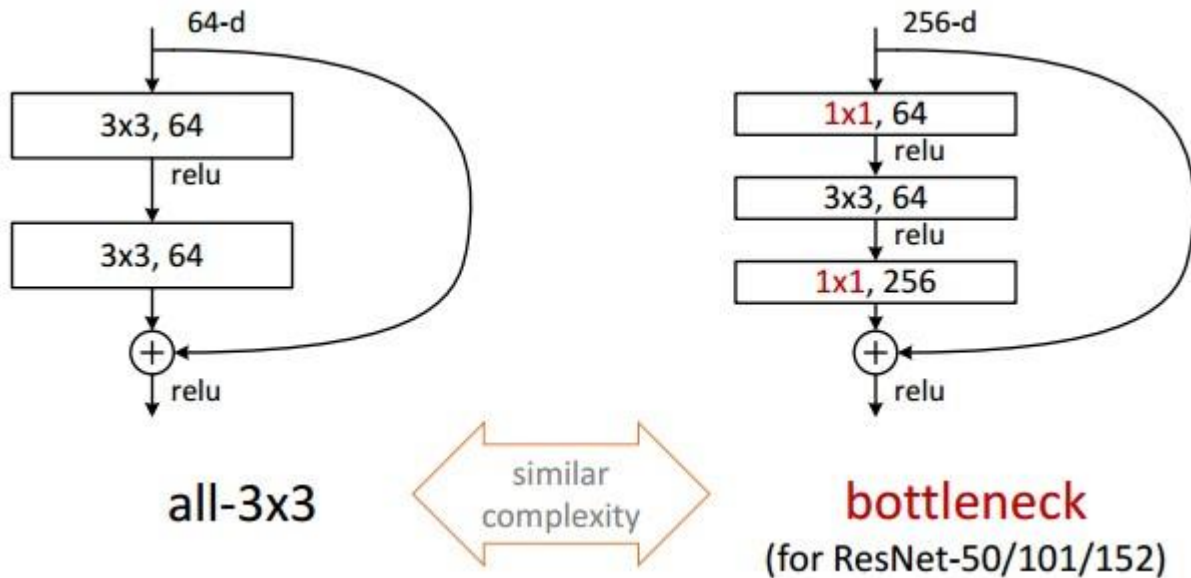


# Case Study: ResNet *[He et al., 2015]*

- Batch Normalization after every CONV layer
- Xavier/2 initialization from He et al.
- SGD + Momentum (0.9)
- Learning rate: 0.1, divided by 10 when validation error plateaus
- Mini-batch size 256
- Weight decay of  $1e-5$
- No dropout used

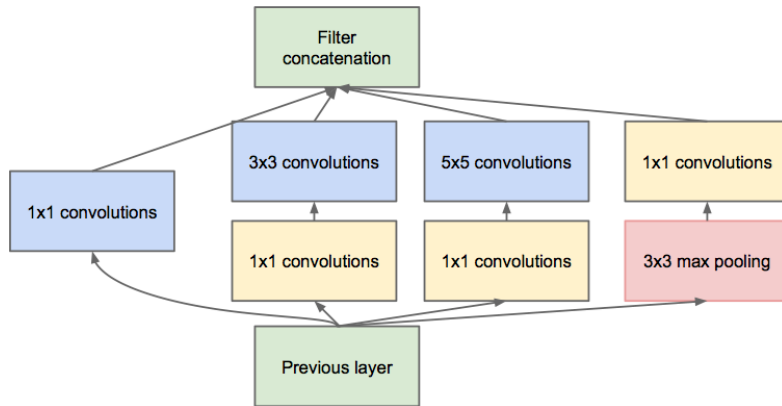
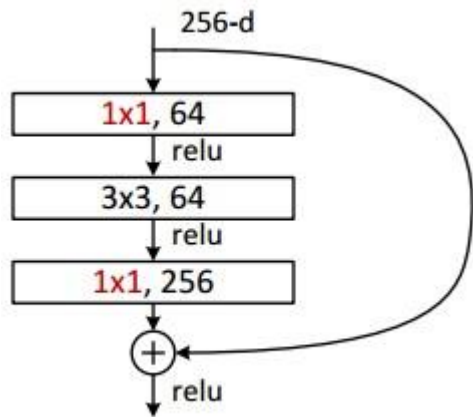
# Case Study: ResNet

[He et al., 2015]



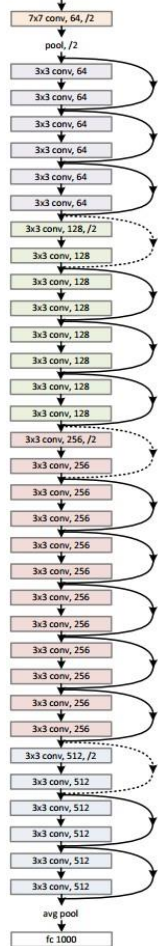
# Case Study: ResNet

[He et al., 2015]



(this trick is also used in GoogLeNet)

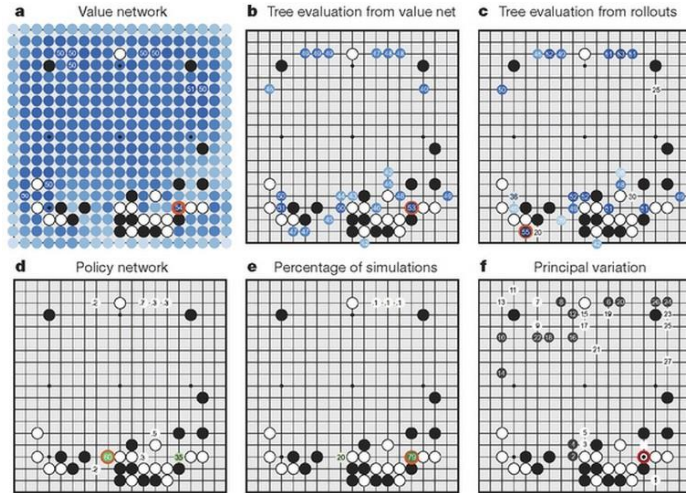
# Case Study: ResNet [He et al., 2015]



layer name	output size	18-layer	34-layer	50-layer	101-layer	152-layer
conv1	112×112	7×7, 64, stride 2				
conv2_x	56×56	3×3 max pool, stride 2				
		$\begin{bmatrix} 3 \times 3, 64 \\ 3 \times 3, 64 \end{bmatrix} \times 2$	$\begin{bmatrix} 3 \times 3, 64 \\ 3 \times 3, 64 \end{bmatrix} \times 3$	$\begin{bmatrix} 1 \times 1, 64 \\ 3 \times 3, 64 \\ 1 \times 1, 256 \end{bmatrix} \times 3$	$\begin{bmatrix} 1 \times 1, 64 \\ 3 \times 3, 64 \\ 1 \times 1, 256 \end{bmatrix} \times 3$	$\begin{bmatrix} 1 \times 1, 64 \\ 3 \times 3, 64 \\ 1 \times 1, 256 \end{bmatrix} \times 3$
conv3_x	28×28	$\begin{bmatrix} 3 \times 3, 128 \\ 3 \times 3, 128 \end{bmatrix} \times 2$	$\begin{bmatrix} 3 \times 3, 128 \\ 3 \times 3, 128 \end{bmatrix} \times 4$	$\begin{bmatrix} 1 \times 1, 128 \\ 3 \times 3, 128 \\ 1 \times 1, 512 \end{bmatrix} \times 4$	$\begin{bmatrix} 1 \times 1, 128 \\ 3 \times 3, 128 \\ 1 \times 1, 512 \end{bmatrix} \times 4$	$\begin{bmatrix} 1 \times 1, 128 \\ 3 \times 3, 128 \\ 1 \times 1, 512 \end{bmatrix} \times 8$
conv4_x	14×14	$\begin{bmatrix} 3 \times 3, 256 \\ 3 \times 3, 256 \end{bmatrix} \times 2$	$\begin{bmatrix} 3 \times 3, 256 \\ 3 \times 3, 256 \end{bmatrix} \times 6$	$\begin{bmatrix} 1 \times 1, 256 \\ 3 \times 3, 256 \\ 1 \times 1, 1024 \end{bmatrix} \times 6$	$\begin{bmatrix} 1 \times 1, 256 \\ 3 \times 3, 256 \\ 1 \times 1, 1024 \end{bmatrix} \times 23$	$\begin{bmatrix} 1 \times 1, 256 \\ 3 \times 3, 256 \\ 1 \times 1, 1024 \end{bmatrix} \times 36$
conv5_x	7×7	$\begin{bmatrix} 3 \times 3, 512 \\ 3 \times 3, 512 \end{bmatrix} \times 2$	$\begin{bmatrix} 3 \times 3, 512 \\ 3 \times 3, 512 \end{bmatrix} \times 3$	$\begin{bmatrix} 1 \times 1, 512 \\ 3 \times 3, 512 \\ 1 \times 1, 2048 \end{bmatrix} \times 3$	$\begin{bmatrix} 1 \times 1, 512 \\ 3 \times 3, 512 \\ 1 \times 1, 2048 \end{bmatrix} \times 3$	$\begin{bmatrix} 1 \times 1, 512 \\ 3 \times 3, 512 \\ 1 \times 1, 2048 \end{bmatrix} \times 3$
	1×1	average pool, 1000-d fc, softmax				
FLOPs		$1.8 \times 10^9$	$3.6 \times 10^9$	$3.8 \times 10^9$	$7.6 \times 10^9$	$11.3 \times 10^9$



# Case Study Bonus: DeepMind's AlphaGo



The input to the policy network is a  $19 \times 19 \times 48$  image stack consisting of 48 feature planes. The first hidden layer zero pads the input into a  $23 \times 23$  image, then convolves  $k$  filters of kernel size  $5 \times 5$  with stride 1 with the input image and applies a rectifier nonlinearity. Each of the subsequent hidden layers 2 to 12 zero pads the respective previous hidden layer into a  $21 \times 21$  image, then convolves  $k$  filters of kernel size  $3 \times 3$  with stride 1, again followed by a rectifier nonlinearity. The final layer convolves 1 filter of kernel size  $1 \times 1$  with stride 1, with a different bias for each position, and applies a softmax function. The match version of AlphaGo used  $k = 192$  filters; [Fig. 2b](#) and [Extended Data Table 3](#) additionally show the results of training with  $k = 128, 256$  and  $384$  filters.

### **policy network:**

[19x19x48] Input

CONV1: 192 5x5 filters , stride 1, pad 2 => [19x19x192]

CONV2..12: 192 3x3 filters, stride 1, pad 1 => [19x19x192]

CONV: 1 1x1 filter, stride 1, pad 0 => [19x19] (*probability map of promising moves*)

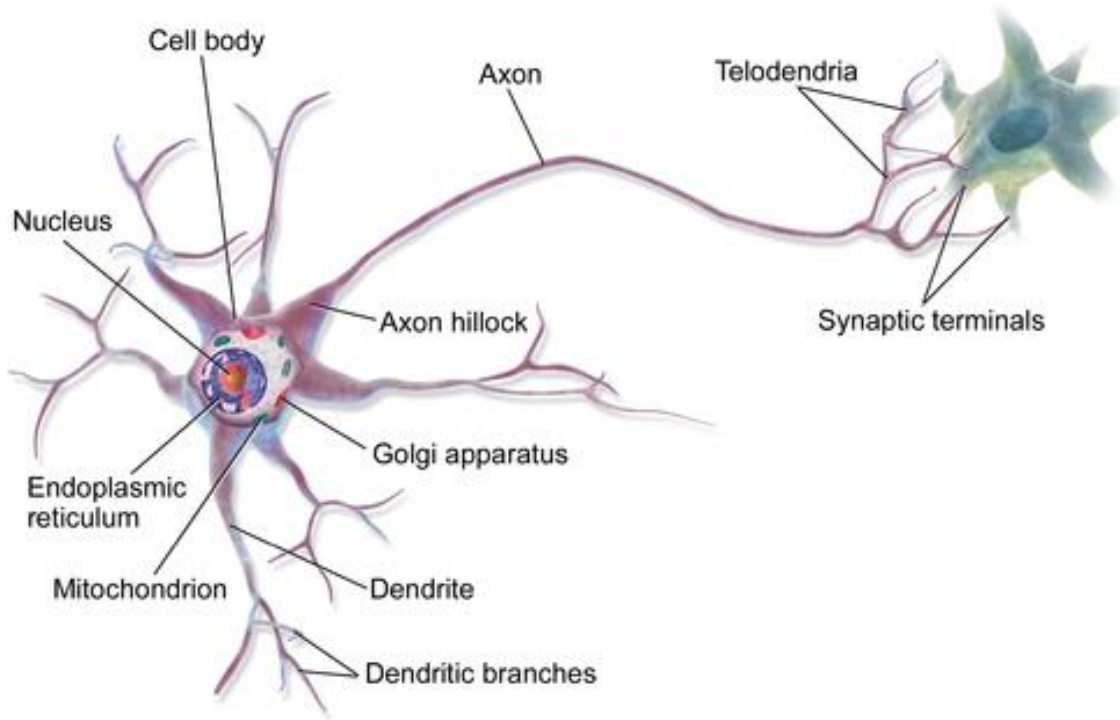
# Summary

- ConvNets stack CONV, ReLU, POOL, FC layers
- Trend towards smaller filters and deeper architectures
- Trend towards getting rid of POOL/FC layers (just CONV)
- Early architectures look like

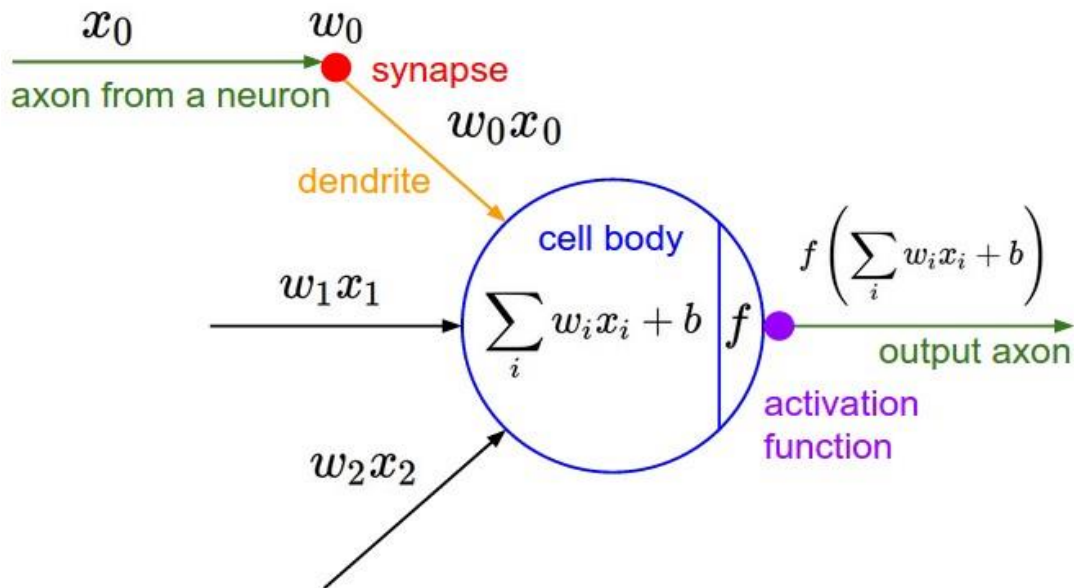
**$[(\text{CONV-RELU})^*N\text{-POOL?}]^*M\text{-(FC-RELU)}^*K, \text{SOFTMAX}$**

- but recent advances such as ResNet/GoogLeNet use only Conv-ReLU, 1x1 convolutions and Softmax

# Activation Functions: Biological Inspiration



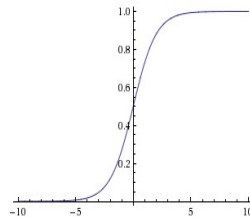
# Activation Functions



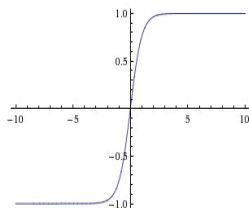
# Activation Functions

**Sigmoid**

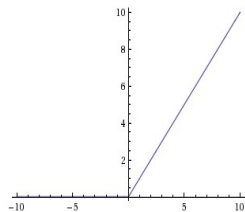
$$\sigma(x) = 1/(1 + e^{-x})$$



**tanh**  $\tanh(x)$

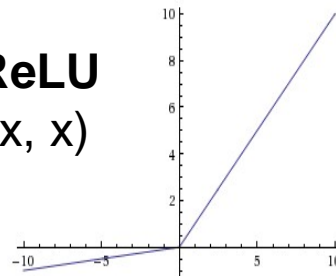


**ReLU**  $\max(0, x)$



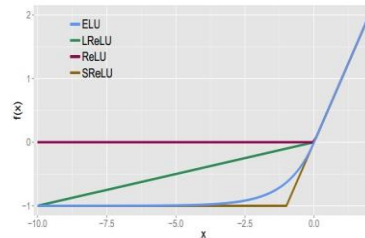
**Leaky ReLU**

$$\max(0.1x, x)$$

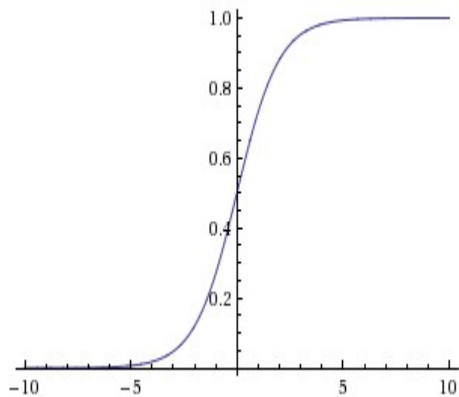


**Maxout**  $\max(w_1^T x + b_1, w_2^T x + b_2)$

$$\text{ELU} \quad f(x) = \begin{cases} x & \text{if } x > 0 \\ \alpha (\exp(x) - 1) & \text{if } x \leq 0 \end{cases}$$



# Activation Functions

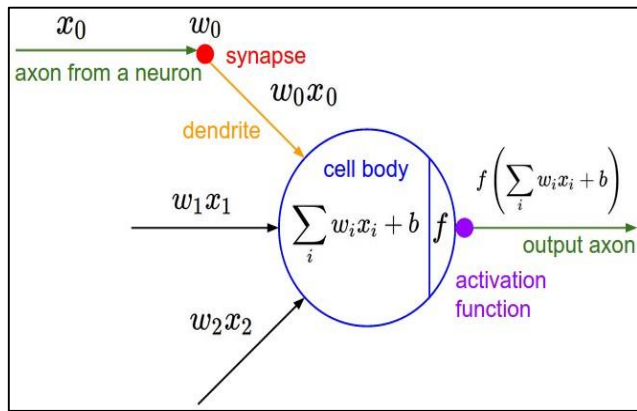


## Sigmoid (logistic function)

$$\sigma(x) = 1/(1 + e^{-x})$$

- Squashes numbers to range  $[0,1]$  – can kill gradients.
- A key element in LSTM networks – “control signals”
- Best for learning “logical” functions – i.e. functions on binary inputs.
- Not as good for image networks (replaced by RELU)
- Not zero-centered

Consider what happens when the input to a neuron ( $x$ ) is always positive:



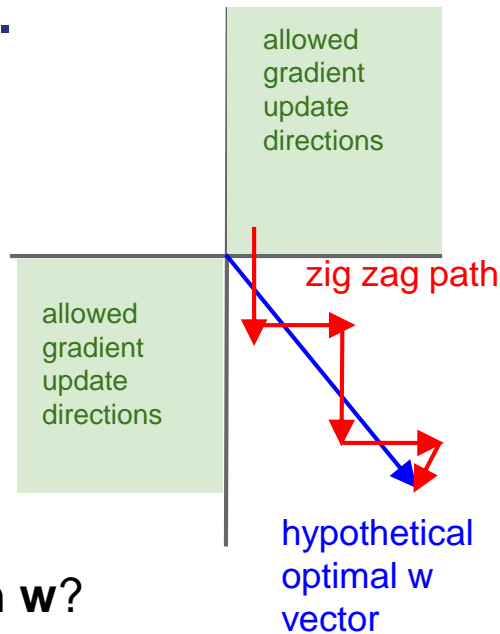
$$f\left(\sum_i w_i x_i + b\right)$$

What can we say about the gradients on  $\mathbf{w}$ ?



Consider what happens when the input to a neuron is always positive...

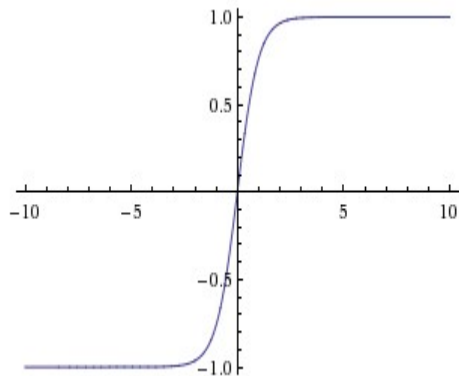
$$f\left(\sum_i w_i x_i + b\right)$$



What can we say about the gradients on  $\mathbf{w}$ ?

Always all positive or all negative :(  
(this is also why you want zero-mean data!)

# Activation Functions

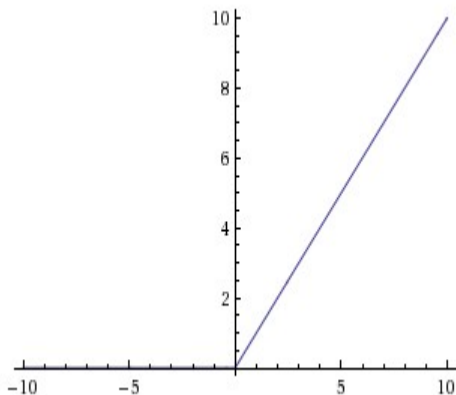


**$\tanh(x)$**

- Squashes numbers to range  $[-1,1]$
- Zero centered (nice)
- Still kills gradients when saturated :(
- Also used in LSTMs for bounded, signed values.
- Not as good for binary functions

[LeCun et al., 1991]

# Activation Functions



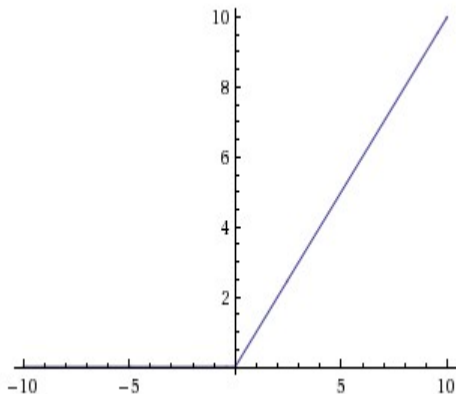
## ReLU

(Rectified Linear Unit)

- Computes  $f(x) = \max(0, x)$
- Does not saturate (in +region)
- Converges faster than sigmoid/tanh on image data (e.g. 6x)
- Not suitable for logical functions
- Not for control in recurrent nets

[Krizhevsky et al., 2012]

# Activation Functions

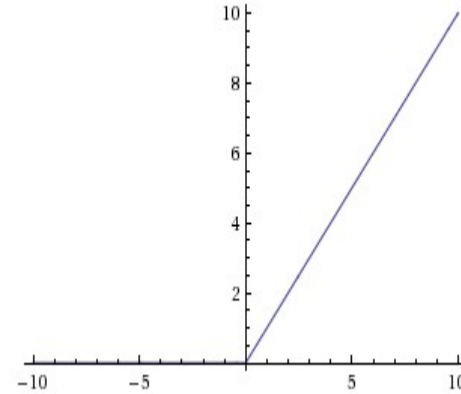
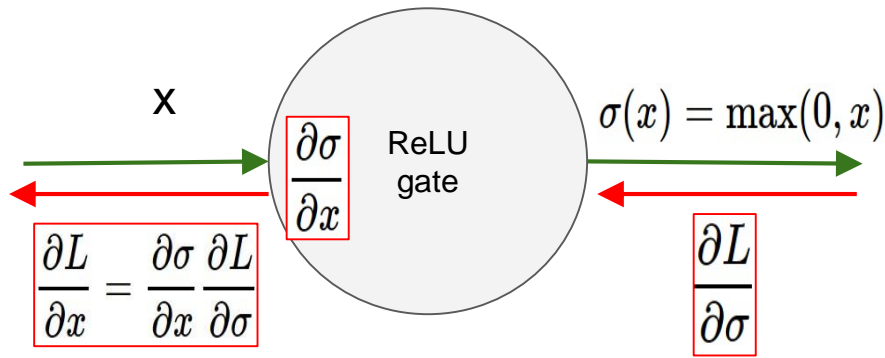


## ReLU

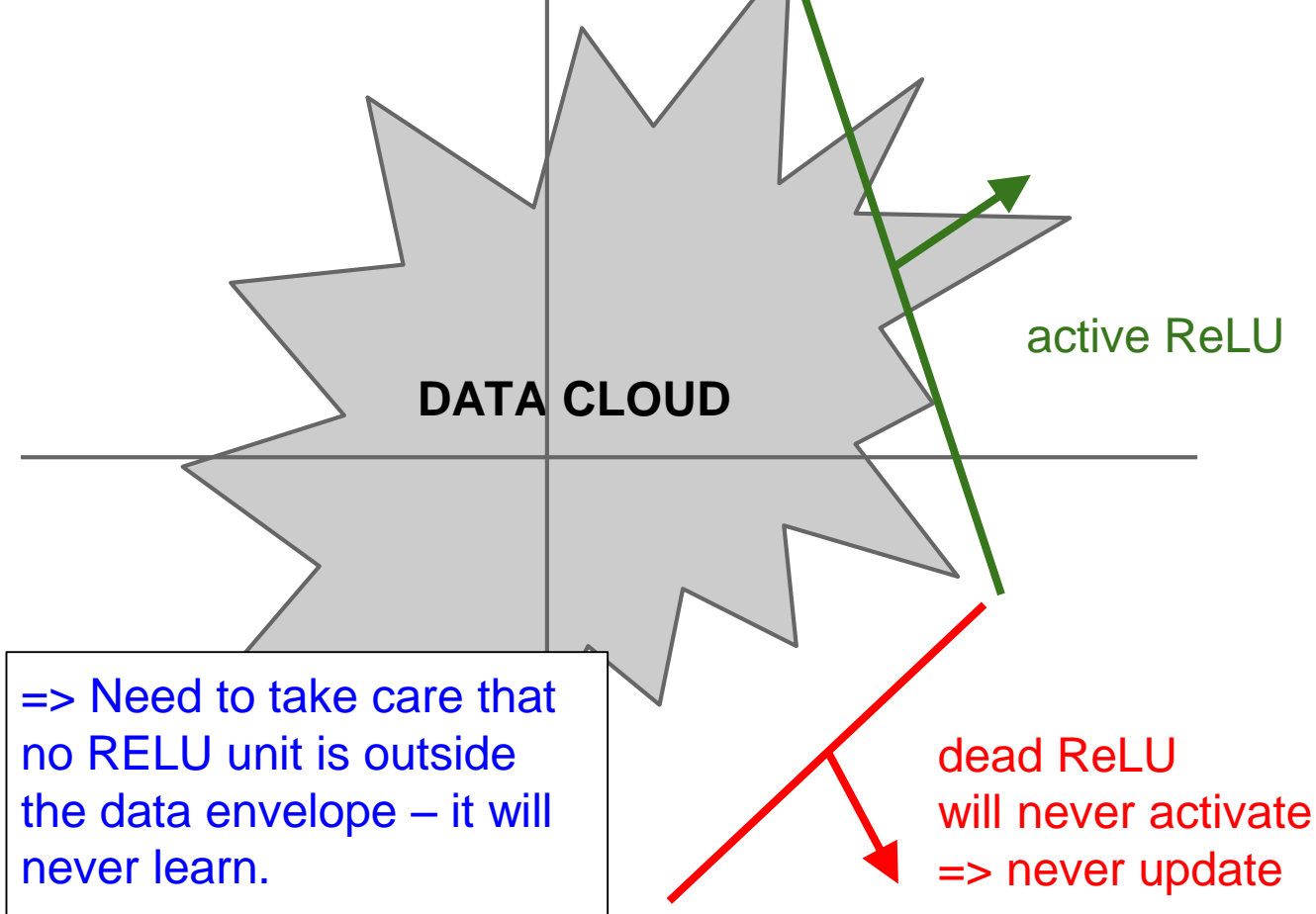
(Rectified Linear Unit)

- Computes  $f(x) = \max(0, x)$
- Does not saturate (in +region)
- Very computationally efficient
- Converges much faster than sigmoid/tanh in practice (e.g. 6x)
- Not zero-centered output
- An annoyance:

hint: what is the gradient when  $x < 0$ ?



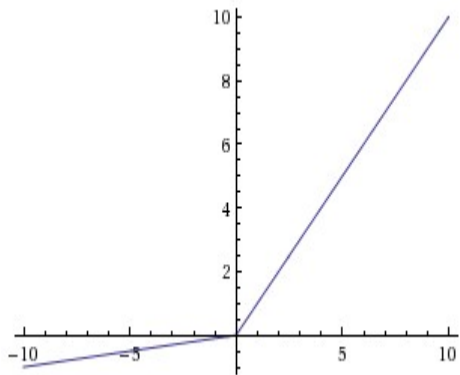
What happens when  $x = -10$ ?  
What happens when  $x = 0$ ?  
What happens when  $x = 10$ ?



# Activation Functions

[Mass et al., 2013]

[He et al., 2015]



- Does not saturate
- Converges faster than sigmoid/tanh on image data(e.g. 6x)
- **will not “die”.**

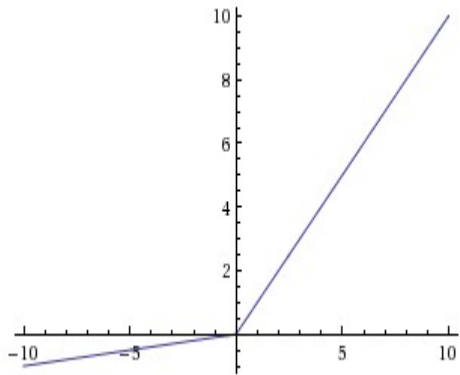
## Leaky ReLU

$$f(x) = \max(0.01x, x)$$

# Activation Functions

[Mass et al., 2013]

[He et al., 2015]



## Leaky ReLU


$$f(x) = \max(0.01x, x)$$

- Does not saturate
- Converges faster than sigmoid/tanh on image data (e.g. 6x)
- **will not “die”**.

## Parametric Rectifier (PReLU)

$$f(x) = \max(\alpha x, x)$$

backprop into  $\alpha$   
(parameter)

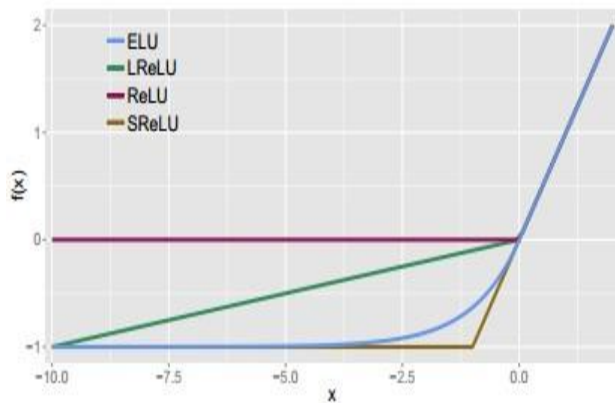




# Activation Functions

[Clevert et al., 2015]

## Exponential Linear Units (ELU)



- All benefits of ReLU
- Does not die
- Closer to zero mean outputs

$$f(x) = \begin{cases} x & \text{if } x > 0 \\ \alpha (\exp(x) - 1) & \text{if } x \leq 0 \end{cases}$$

# Maxout “Neuron”

[Goodfellow et al., 2013]

- Does not have the basic form of dot product -> nonlinearity
- Generalizes ReLU and Leaky ReLU
- Linear Regime! Does not saturate! Does not die!

$$\max(w_1^T x + b_1, w_2^T x + b_2)$$

Problem: doubles the number of parameters/neuron :(

# TLDR: In practice:

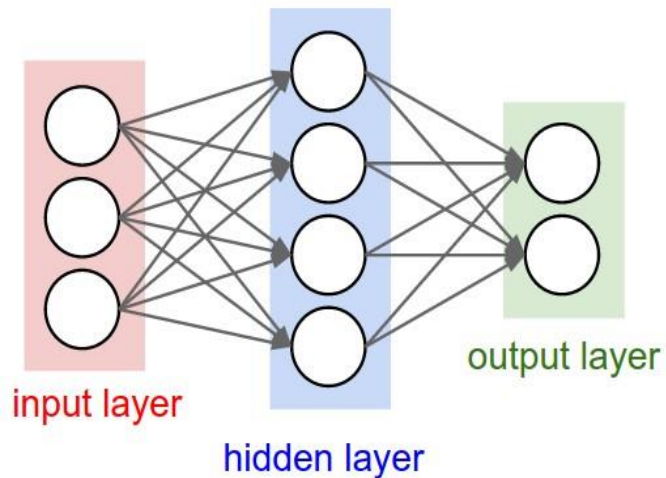
Try everything. Usually:

- Use **ReLU** on early image layers.
- Try out **Leaky ReLU / Maxout / ELU**.
- Use sigmoids for smooth functions, e.g. robot control.
- Sigmoids are also good for logical functions AND/OR.

# Weight Initialization

# Weight Initialization

- Q: what happens when  $W=0$  init is used?



# Weight Initialization

- First idea: **Small random numbers**  
(gaussian with zero mean and  $1e-2$  standard deviation)

```
W = 0.01* np.random.randn(D,H)
```

# Weight Initialization

- First idea: **Small random numbers**  
(gaussian with zero mean and  $1e-2$  standard deviation)

```
W = 0.01* np.random.randn(D,H)
```

Works ~okay for small networks, but can lead to non-homogeneous distributions of activations across the layers of a network.

# Activation Statistics

E.g. 10-layer net with 500 neurons on each layer, using tanh nonlinearities, and initializing as described in last slide.

```
# assume some unit gaussian 10-D input data
D = np.random.randn(1000, 500)
hidden_layer_sizes = [500]*10
nonlinearities = ['tanh']*len(hidden_layer_sizes)

act = {'relu':lambda x:np.maximum(0,x), 'tanh':lambda x:np.tanh(x)}
Hs = {}
for i in xrange(len(hidden_layer_sizes)):
    X = D if i == 0 else Hs[i-1] # input at this layer
    fan_in = X.shape[1]
    fan_out = hidden_layer_sizes[i]
    W = np.random.randn(fan_in, fan_out) * 0.01 # layer initialization

    H = np.dot(X, W) # matrix multiply
    H = act[nonlinearities[i]](H) # nonlinearity
    Hs[i] = H # cache result on this layer

# look at distributions at each layer
print 'input layer had mean %f and std %f' % (np.mean(D), np.std(D))
layer_means = [np.mean(H) for i,H in Hs.iteritems()]
layer_stds = [np.std(H) for i,H in Hs.iteritems()]
for i,H in Hs.iteritems():
    print 'hidden layer %d had mean %f and std %f' % (i+1, layer_means[i], layer_stds[i])

# plot the means and standard deviations
plt.figure()
plt.subplot(121)
plt.plot(Hs.keys(), layer_means, 'ob-')
plt.title('layer mean')
plt.subplot(122)
plt.plot(Hs.keys(), layer_stds, 'or-')
plt.title('layer std')

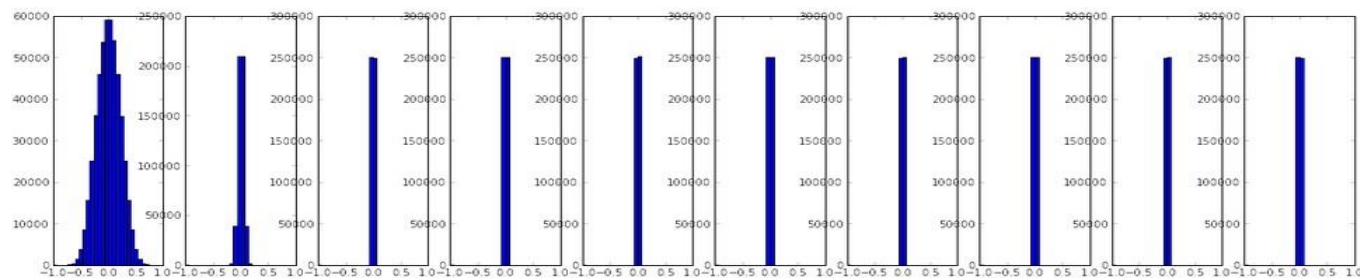
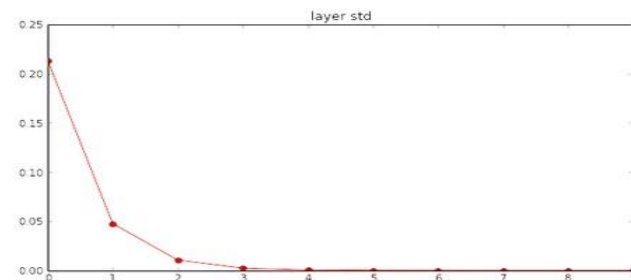
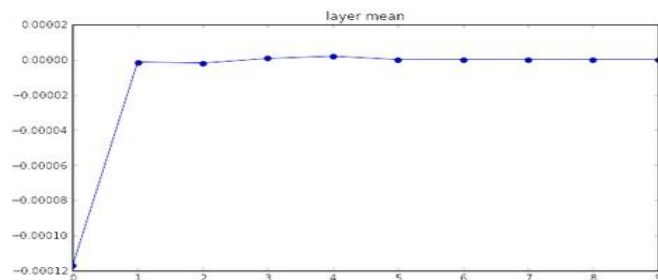
# plot the raw distributions
plt.figure()
for i,H in Hs.iteritems():
    plt.subplot(1,len(Hs),i+1)
    plt.hist(H.ravel(), 30, range=(-1,1))
```



```

input layer had mean 0.000927 and std 0.998388
hidden layer 1 had mean -0.000117 and std 0.213081
hidden layer 2 had mean -0.000001 and std 0.047551
hidden layer 3 had mean -0.000002 and std 0.010630
hidden layer 4 had mean 0.000001 and std 0.002378
hidden layer 5 had mean 0.000002 and std 0.000532
hidden layer 6 had mean -0.000000 and std 0.000119
hidden layer 7 had mean 0.000000 and std 0.000026
hidden layer 8 had mean -0.000000 and std 0.000006
hidden layer 9 had mean 0.000000 and std 0.000001
hidden layer 10 had mean -0.000000 and std 0.000000

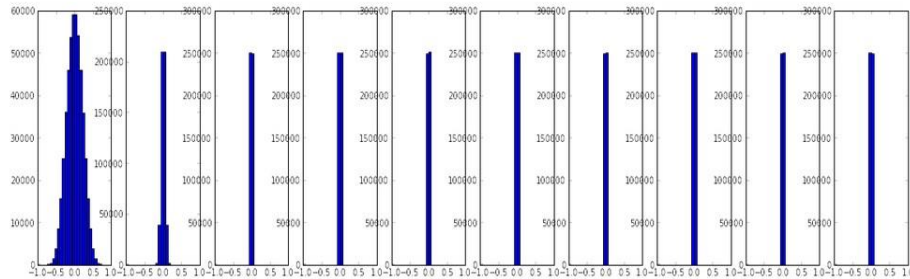
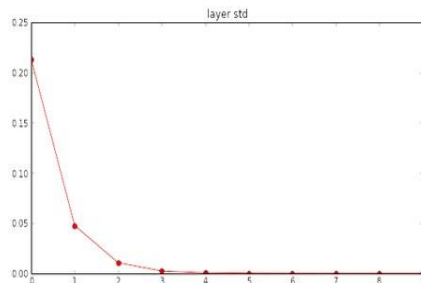
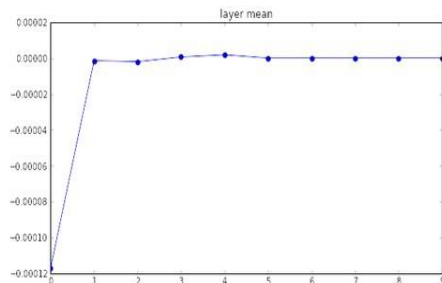
```



```

input layer had mean 0.000927 and std 0.998388
hidden layer 1 had mean -0.000117 and std 0.213081
hidden layer 2 had mean -0.000001 and std 0.047551
hidden layer 3 had mean -0.000002 and std 0.010630
hidden layer 4 had mean 0.000001 and std 0.002378
hidden layer 5 had mean 0.000002 and std 0.000532
hidden layer 6 had mean -0.000000 and std 0.000119
hidden layer 7 had mean 0.000000 and std 0.000026
hidden layer 8 had mean -0.000000 and std 0.000006
hidden layer 9 had mean 0.000000 and std 0.000001
hidden layer 10 had mean -0.000000 and std 0.000000

```



All activations  
become zero!

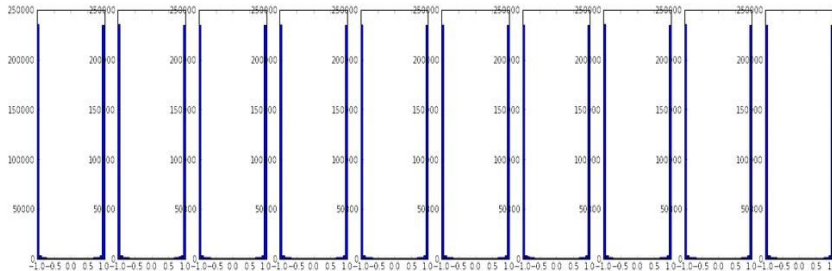
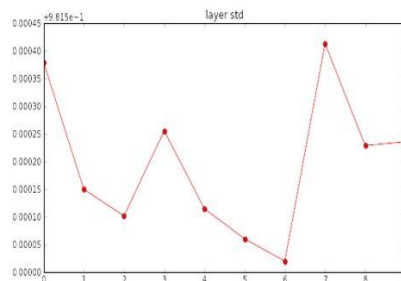
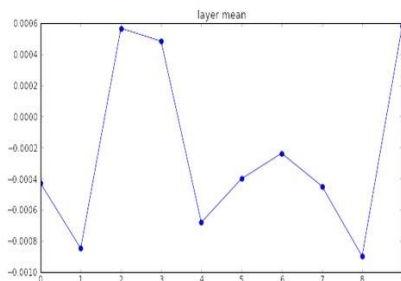
Q: think about the  
backward pass.  
What do the  
gradients look like?

Hint: think about backward  
pass for a  $W \cdot X$  gate.

```
W = np.random.randn(fan_in, fan_out) * 1.0 # layer initialization
```

\*1.0 instead of \*0.01

input layer had mean 0.001800 and std 1.001311  
hidden layer 1 had mean -0.000430 and std 0.981879  
hidden layer 2 had mean -0.000849 and std 0.981649  
hidden layer 3 had mean 0.000566 and std 0.981601  
hidden layer 4 had mean 0.000483 and std 0.981755  
hidden layer 5 had mean -0.000682 and std 0.981614  
hidden layer 6 had mean -0.000401 and std 0.981560  
hidden layer 7 had mean -0.000237 and std 0.981520  
hidden layer 8 had mean -0.000448 and std 0.981913  
hidden layer 9 had mean -0.000899 and std 0.981728  
hidden layer 10 had mean 0.000584 and std 0.981736

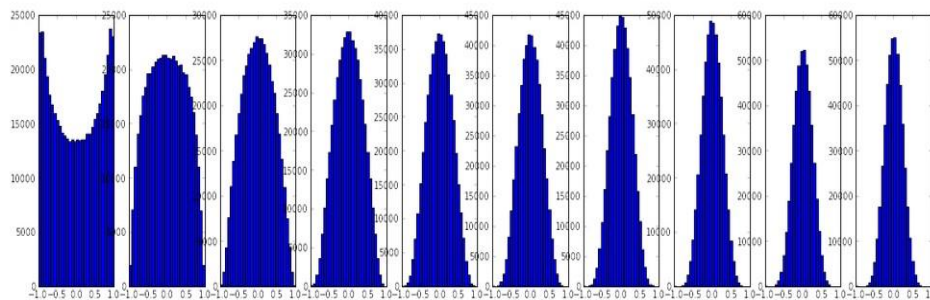
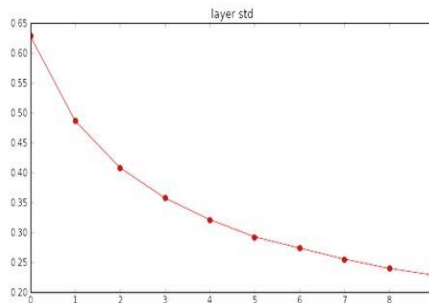
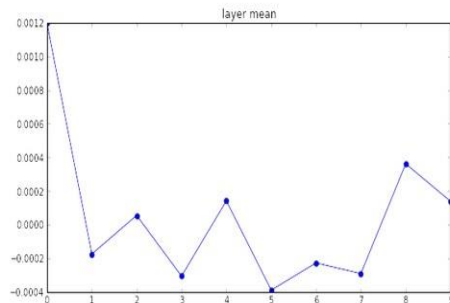


Almost all neurons completely saturated, either -1 and 1. Gradients will be all zero.

input layer had mean 0.001800 and std 1.001311  
 hidden layer 1 had mean 0.001198 and std 0.627953  
 hidden layer 2 had mean -0.000175 and std 0.486051  
 hidden layer 3 had mean 0.000055 and std 0.407723  
 hidden layer 4 had mean -0.000306 and std 0.357108  
 hidden layer 5 had mean 0.000142 and std 0.320917  
 hidden layer 6 had mean -0.000389 and std 0.292116  
 hidden layer 7 had mean -0.000228 and std 0.273387  
 hidden layer 8 had mean -0.000291 and std 0.254935  
 hidden layer 9 had mean 0.000361 and std 0.239266  
 hidden layer 10 had mean 0.000139 and std 0.228008

```
W = np.random.randn(fan_in, fan_out) / np.sqrt(fan_in) # layer initialization
```

“Xavier initialization” [Glorot et al., 2010]

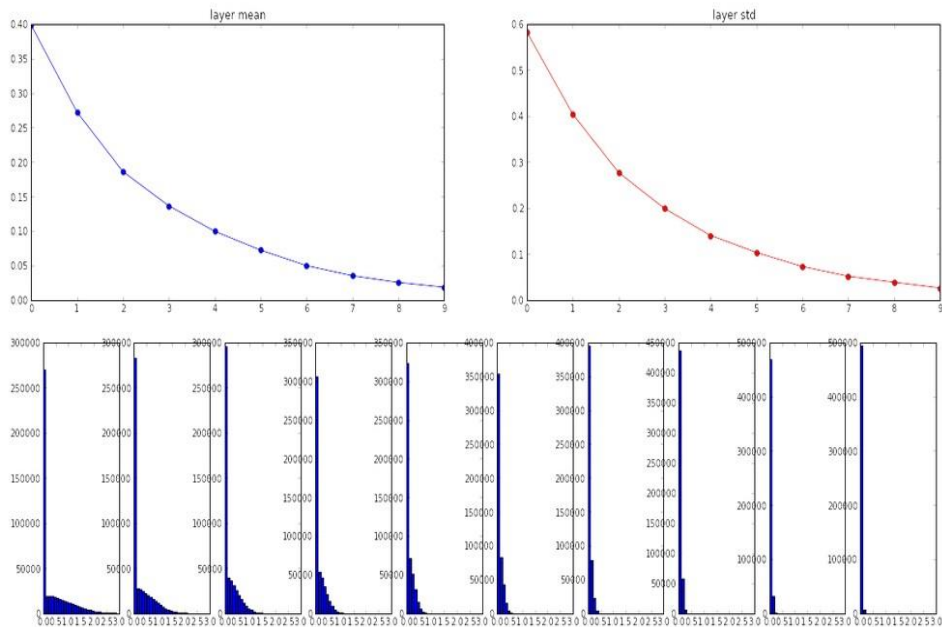


**Easy Derivation (linear case):**  
 Assume weights and inbound activations have mean zero and are independent.  
 Their variances multiply for each term, and then scale by fan\_in for each output term.

input layer had mean 0.000501 and std 0.999444  
 hidden layer 1 had mean 0.398623 and std 0.582273  
 hidden layer 2 had mean 0.272352 and std 0.403795  
 hidden layer 3 had mean 0.186076 and std 0.276912  
 hidden layer 4 had mean 0.136442 and std 0.198685  
 hidden layer 5 had mean 0.099568 and std 0.140299  
 hidden layer 6 had mean 0.072234 and std 0.103280  
 hidden layer 7 had mean 0.049775 and std 0.072748  
 hidden layer 8 had mean 0.035138 and std 0.051572  
 hidden layer 9 had mean 0.025404 and std 0.038583  
 hidden layer 10 had mean 0.018408 and std 0.026076

```
W = np.random.randn(fan_in, fan_out) / np.sqrt(fan_in) # layer initialization
```

but when using the ReLU  
 nonlinearity it breaks.

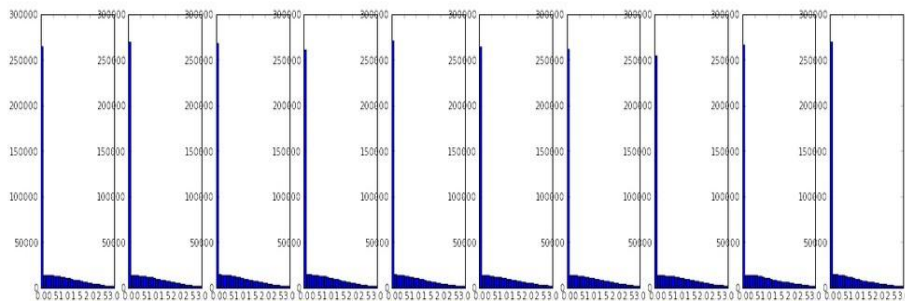
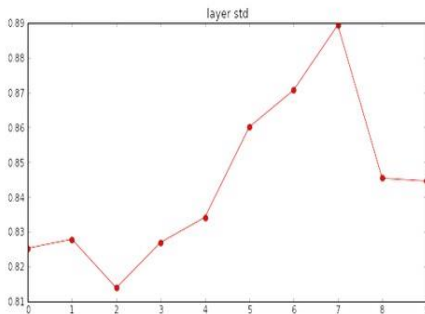
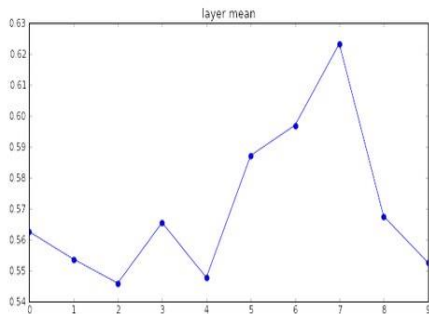


input layer had mean 0.000501 and std 0.999444  
 hidden layer 1 had mean 0.562488 and std 0.825232  
 hidden layer 2 had mean 0.553614 and std 0.827835  
 hidden layer 3 had mean 0.545867 and std 0.813855  
 hidden layer 4 had mean 0.565396 and std 0.826902  
 hidden layer 5 had mean 0.547678 and std 0.834092  
 hidden layer 6 had mean 0.587103 and std 0.860035  
 hidden layer 7 had mean 0.596867 and std 0.870610  
 hidden layer 8 had mean 0.623214 and std 0.889348  
 hidden layer 9 had mean 0.567498 and std 0.845357  
 hidden layer 10 had mean 0.552531 and std 0.844523

```
W = np.random.randn(fan_in, fan_out) / np.sqrt(fan_in/2) # layer initialization
```

He et al., 2015  
 (note additional /2)

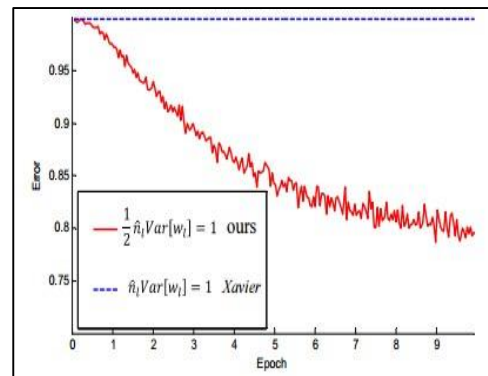
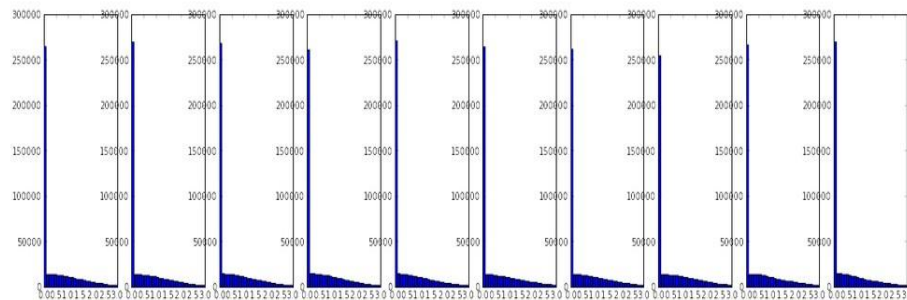
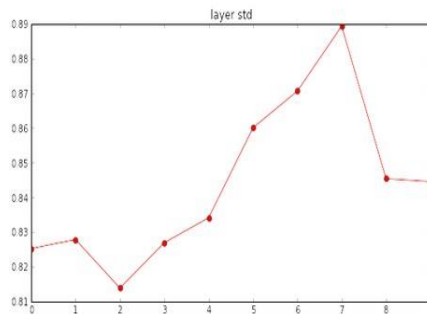
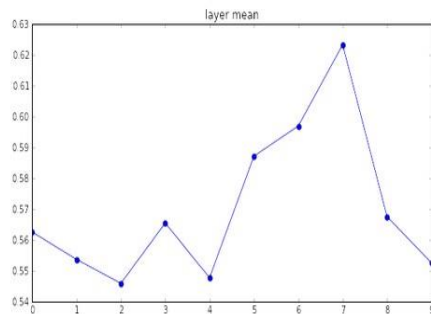
factor of 2 doesn't seem like much, but remember it applies multiplicatively 150 times in a large ResNet.



input layer had mean 0.000501 and std 0.999444  
 hidden layer 1 had mean 0.562488 and std 0.825232  
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 hidden layer 3 had mean 0.545867 and std 0.813855  
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 hidden layer 6 had mean 0.587103 and std 0.860035  
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 hidden layer 9 had mean 0.567498 and std 0.845357  
 hidden layer 10 had mean 0.552531 and std 0.844523

```
W = np.random.randn(fan_in, fan_out) / np.sqrt(fan_in/2) # layer initialization
```

He et al., 2015  
 (note additional /2)





# Proper initialization is an active area of research...

***Understanding the difficulty of training deep feedforward neural networks***

by Glorot and Bengio, 2010

***Exact solutions to the nonlinear dynamics of learning in deep linear neural networks*** by Saxe et al, 2013

***Random walk initialization for training very deep feedforward networks*** by Sussillo and Abbott, 2014

***Delving deep into rectifiers: Surpassing human-level performance on ImageNet classification*** by He et al., 2015

***Data-dependent Initializations of Convolutional Neural Networks*** by Krähenbühl et al., 2015

***All you need is a good init***, Mishkin and Matas, 2015

...



# Batch Normalization

[Ioffe and Szegedy, 2015]

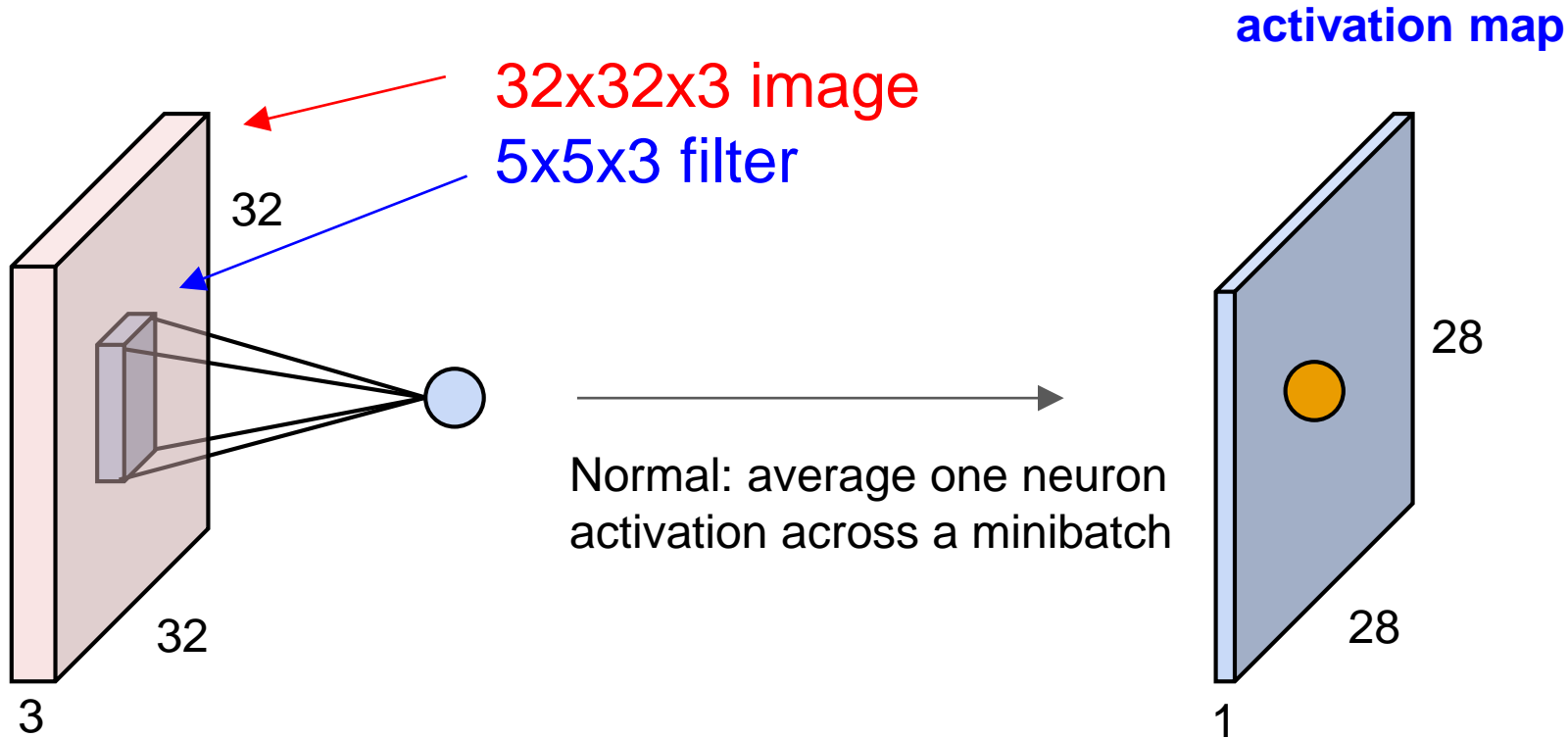
“you want unit gaussian activations? just make them so.”

consider a batch of activations at some layer.  
To make each dimension unit gaussian, apply:

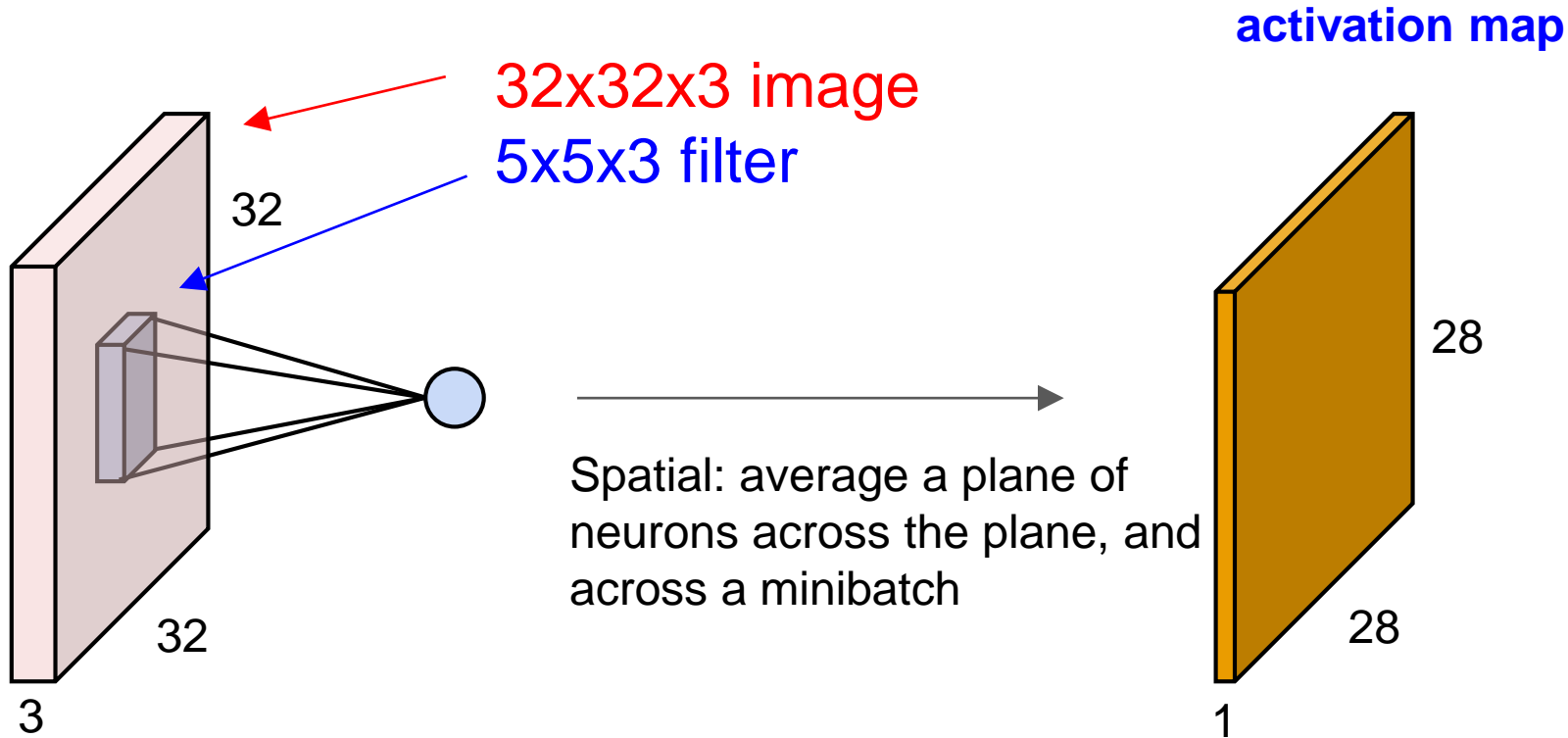
$$\hat{x}^{(k)} = \frac{x^{(k)} - \mathbb{E}[x^{(k)}]}{\sqrt{\text{Var}[x^{(k)}]}}$$

this is a vanilla  
differentiable function...

# Batch Norm: Per-Activation (default) or Spatial



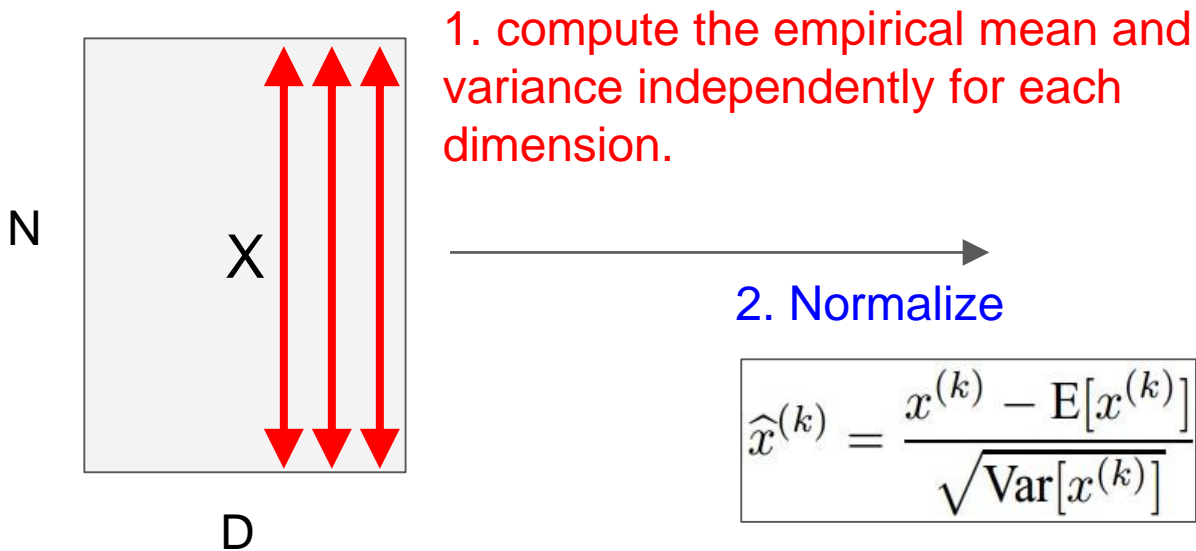
# Batch Norm: Spatial



# Batch Normalization

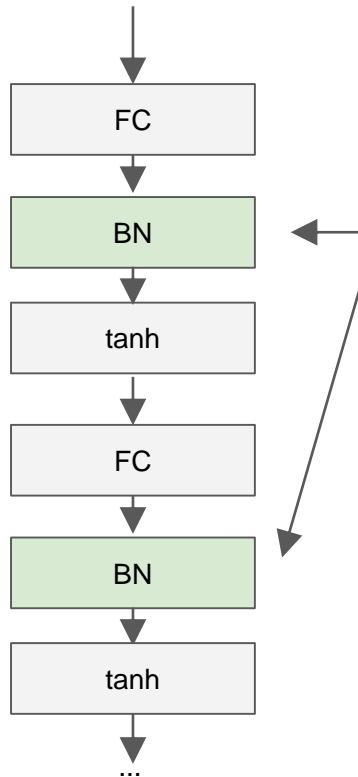
[Ioffe and Szegedy, 2015]

“you want unit gaussian activations?  
just make them so.”



# Batch Normalization

[Ioffe and Szegedy, 2015]



Where to insert, i.e. before or after non-linearities?

Differing opinions on this: you can argue both ways, and different options have worked in different models.

$$\hat{x}^{(k)} = \frac{x^{(k)} - \mathbb{E}[x^{(k)}]}{\sqrt{\text{Var}[x^{(k)}]}}$$

# Batch Normalization

[Ioffe and Szegedy, 2015]

Normalize:

$$\hat{x}^{(k)} = \frac{x^{(k)} - \mathbb{E}[x^{(k)}]}{\sqrt{\text{Var}[x^{(k)}]}}$$

And then allow the network to squash the range if it wants to:

$$y^{(k)} = \gamma^{(k)} \hat{x}^{(k)} + \beta^{(k)}$$

Note, the network can learn:

$$\gamma^{(k)} = \sqrt{\text{Var}[x^{(k)}]}$$

$$\beta^{(k)} = \mathbb{E}[x^{(k)}]$$

to recover the identity mapping.

# Batch Normalization

[Ioffe and Szegedy, 2015]

**Input:** Values of  $x$  over a mini-batch:  $\mathcal{B} = \{x_{1\dots m}\}$ ;

Parameters to be learned:  $\gamma, \beta$

**Output:**  $\{y_i = \text{BN}_{\gamma, \beta}(x_i)\}$

$$\mu_{\mathcal{B}} \leftarrow \frac{1}{m} \sum_{i=1}^m x_i \quad // \text{ mini-batch mean}$$

$$\sigma_{\mathcal{B}}^2 \leftarrow \frac{1}{m} \sum_{i=1}^m (x_i - \mu_{\mathcal{B}})^2 \quad // \text{ mini-batch variance}$$

$$\hat{x}_i \leftarrow \frac{x_i - \mu_{\mathcal{B}}}{\sqrt{\sigma_{\mathcal{B}}^2 + \epsilon}} \quad // \text{ normalize}$$

$$y_i \leftarrow \gamma \hat{x}_i + \beta \equiv \text{BN}_{\gamma, \beta}(x_i) \quad // \text{ scale and shift}$$

- Improves gradient flow through the network
- Allows higher learning rates
- Reduces the strong dependence on initialization
- Acts as a form of regularization in a funny way, and slightly reduces the need for dropout, maybe

# Batch Normalization

[Ioffe and Szegedy, 2015]

**Input:** Values of  $x$  over a mini-batch:  $\mathcal{B} = \{x_1 \dots x_m\}$ ;  
Parameters to be learned:  $\gamma, \beta$

**Output:**  $\{y_i = \text{BN}_{\gamma, \beta}(x_i)\}$

$$\mu_{\mathcal{B}} \leftarrow \frac{1}{m} \sum_{i=1}^m x_i \quad // \text{ mini-batch mean}$$

$$\sigma_{\mathcal{B}}^2 \leftarrow \frac{1}{m} \sum_{i=1}^m (x_i - \mu_{\mathcal{B}})^2 \quad // \text{ mini-batch variance}$$

$$\hat{x}_i \leftarrow \frac{x_i - \mu_{\mathcal{B}}}{\sqrt{\sigma_{\mathcal{B}}^2 + \epsilon}} \quad // \text{ normalize}$$

$$y_i \leftarrow \gamma \hat{x}_i + \beta \equiv \text{BN}_{\gamma, \beta}(x_i) \quad // \text{ scale and shift}$$

**Note: at test time BatchNorm layer functions differently:**

The mean/std are not computed based on the batch. Instead, a single fixed empirical mean of activations during training is used.

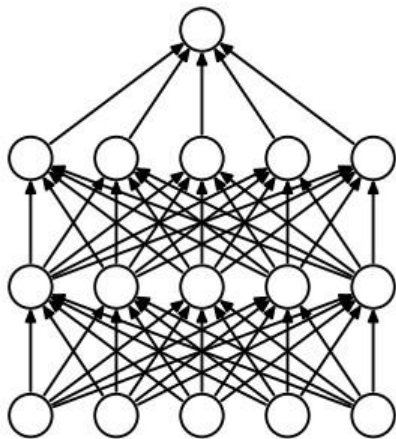
(e.g. can be estimated during training with running averages)

Why not just normalize using the moving averages which are being computed anyway?

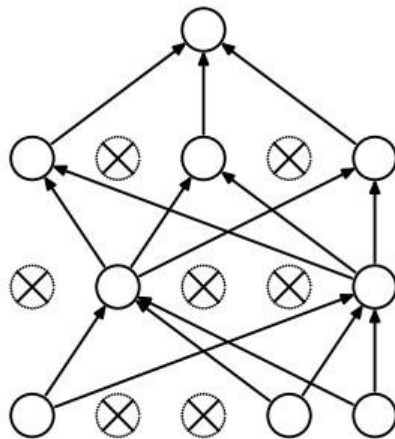


# Regularization by Dropout

“randomly set some neurons to zero in the forward pass”



(a) Standard Neural Net



(b) After applying dropout.

*[Srivastava et al., 2014]*

```
p = 0.5 # probability of keeping a unit active. higher = less dropout
```

```
def train_step(X):
```

```
    """ X contains the data """
```

```
    # forward pass for example 3-layer neural network
```

```
    H1 = np.maximum(0, np.dot(W1, X) + b1)
```

```
    U1 = np.random.rand(*H1.shape) < p # first dropout mask
```

```
    H1 *= U1 # drop!
```

```
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
```

```
    U2 = np.random.rand(*H2.shape) < p # second dropout mask
```

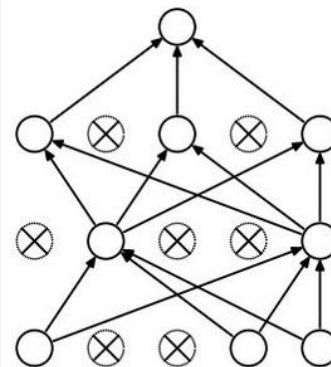
```
    H2 *= U2 # drop!
```

```
    out = np.dot(W3, H2) + b3
```

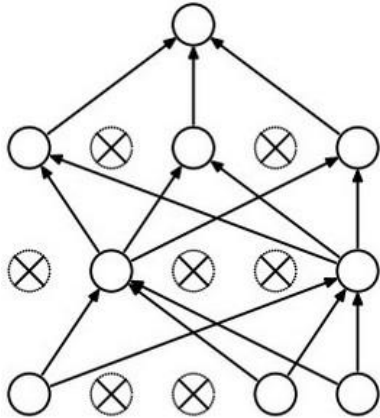
```
    # backward pass: compute gradients... (not shown)
```

```
    # perform parameter update... (not shown)
```

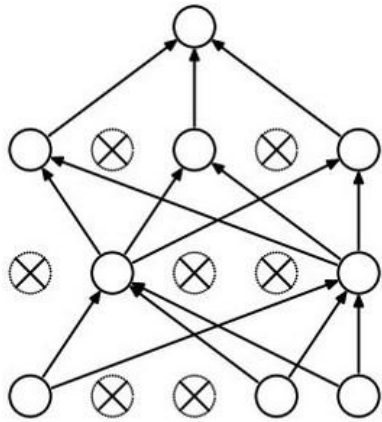
Example forward  
pass with a 3-layer  
network using dropout



## How could this possibly be a good idea?



Waaaait a second...  
How could this possibly be a good idea?

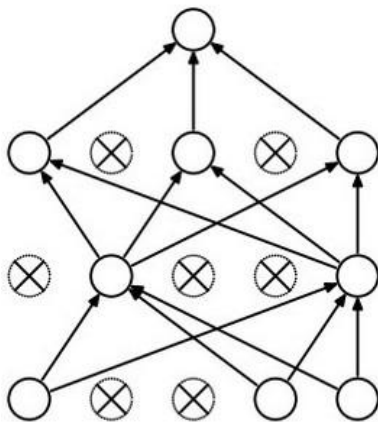


Forces the network to have a redundant representation.



Waaaait a second...

How could this possibly be a good idea?

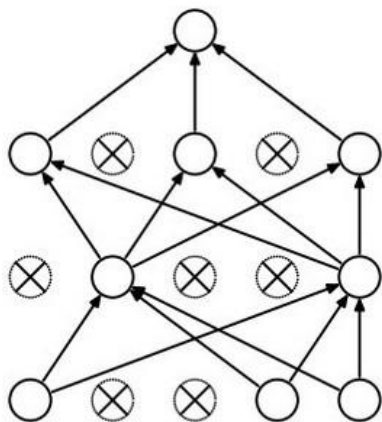


Another interpretation:

Dropout is training a large ensemble of models (that share parameters).

Each binary mask is one model, gets trained on only ~one datapoint.

# At test time....



**Ideally:**

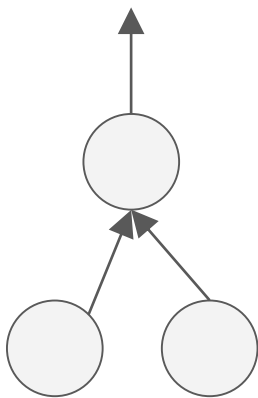
want to integrate out all the noise

**Monte Carlo approximation:**

do many forward passes with different dropout masks, average all predictions

# At test time....

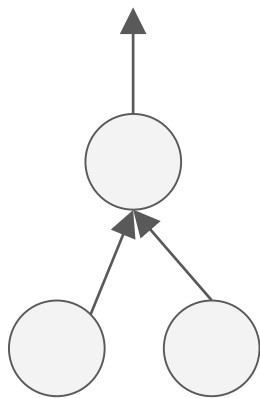
Can in fact do this with a single forward pass! (approximately)  
Leave all input neurons turned on (no dropout).



(this can be shown to be an  
approximation to evaluating the  
whole ensemble)

# At test time....

Can in fact do this with a single forward pass! (approximately)  
Leave all input neurons turned on (no dropout).



Q: Suppose that with all inputs present at test time the output of this neuron is  $x$ .

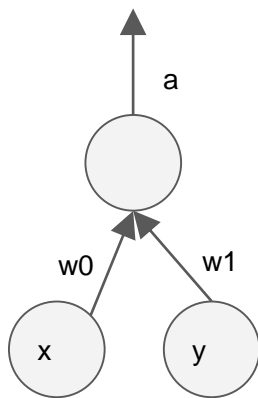
What would its output be during training time, in expectation? (e.g. if  $p = 0.5$ )



# At test time....

Can in fact do this with a single forward pass! (approximately)

Leave all input neurons turned on (no dropout).



during test:  $a = w_0 * x + w_1 * y$

during train:

$$E[a] = \frac{1}{4} * (w_0 * 0 + w_1 * 0 \\ w_0 * 0 + w_1 * y$$

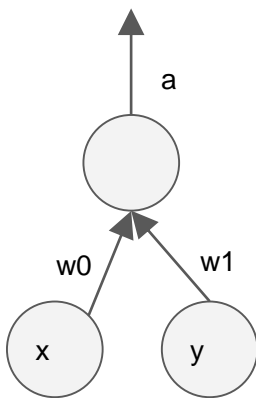
$$w_0 * x + w_1 * y) \\ = \frac{1}{4} * (2 w_0 * x + 2 w_1 * y) \\ = \frac{1}{2} * (w_0 * x + w_1 * y)$$

$$w_0 * x + w_1 * 0$$

# At test time....

Can in fact do this with a single forward pass! (approximately)

Leave all input neurons turned on (no dropout).



during test:  $a = w_0 * x + w_1 * y$

during train:

$$E[a] = \frac{1}{4} * (w_0 * 0 + w_1 * 0 \\ w_0 * 0 + w_1 * y$$

$$w_0 * x + w_1 * y) \\ = \frac{1}{4} * (2 w_0 * x + 2 w_1 * y) \\ = \frac{1}{2} * (w_0 * x + w_1 * y)$$

With  $p=0.5$ , using all inputs in the forward pass would inflate the activations by 2x from what the network was “used to” during training!

=> Have to compensate by scaling the activations back down by  $\frac{1}{2}$

$$w_0 * x + w_1 * 0$$

# We can do something approximate analytically

```
def predict(X):  
    # ensembled forward pass  
    H1 = np.maximum(0, np.dot(W1, X) + b1) * p # NOTE: scale the activations  
    H2 = np.maximum(0, np.dot(W2, H1) + b2) * p # NOTE: scale the activations  
    out = np.dot(W3, H2) + b3
```

At test time all neurons are active always

=> We must scale the activations so that for each neuron:

output at test time = expected output at training time

# Dropout Summary

```
""" Vanilla Dropout: Not recommended implementation (see notes below) """
```

```
p = 0.5 # probability of keeping a unit active. higher = less dropout
```

```
def train_step(X):
```

```
    """ X contains the data """
```

```
    # forward pass for example 3-layer neural network
```

```
    H1 = np.maximum(0, np.dot(W1, X) + b1)
```

```
    U1 = np.random.rand(*H1.shape) < p # first dropout mask
```

```
    H1 *= U1 # drop!
```

```
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
```

```
    U2 = np.random.rand(*H2.shape) < p # second dropout mask
```

```
    H2 *= U2 # drop!
```

```
    out = np.dot(W3, H2) + b3
```

```
    # backward pass: compute gradients... (not shown)
```

```
    # perform parameter update... (not shown)
```

```
def predict(X):
```

```
    # ensembled forward pass
```

```
    H1 = np.maximum(0, np.dot(W1, X) + b1) * p # NOTE: scale the activations
```

```
    H2 = np.maximum(0, np.dot(W2, H1) + b2) * p # NOTE: scale the activations
```

```
    out = np.dot(W3, H2) + b3
```

drop in forward pass

scale at test time

# More common: “Inverted dropout”

```
p = 0.5 # probability of keeping a unit active. higher = less dropout

def train_step(X):
    # forward pass for example 3-layer neural network
    H1 = np.maximum(0, np.dot(W1, X) + b1)
    U1 = (np.random.rand(*H1.shape) < p) / p # first dropout mask. Notice /p!
    H1 *= U1 # drop!
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
    U2 = (np.random.rand(*H2.shape) < p) / p # second dropout mask. Notice /p!
    H2 *= U2 # drop!
    out = np.dot(W3, H2) + b3

    # backward pass: compute gradients... (not shown)
    # perform parameter update... (not shown)

def predict(X):
    # ensembled forward pass
    H1 = np.maximum(0, np.dot(W1, X) + b1) # no scaling necessary
    H2 = np.maximum(0, np.dot(W2, H1) + b2)
    out = np.dot(W3, H2) + b3
```

test time is unchanged!



# Summary

- **ConvNet Case Studies:**
  - LeNet
  - AlexNet
  - VGG
  - GoogLeNet
  - ResNet
- Activation Functions and typical uses
- Weight Initialization principles
- Batch Normalization
- Dropout