



Machine Learning Winter '19

## Recap: Commonly Used Nonlinearities

- Sigmoid
 
$$g(a) = \sigma(a) = \frac{1}{1 + \exp\{-a\}}$$
- Hyperbolic tangent
 
$$g(a) = \tanh(a) = 2\sigma(2a) - 1$$
- Softmax
 
$$g(\mathbf{a}) = \frac{\exp\{-a_i\}}{\sum_j \exp\{-a_j\}}$$

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## Extension: ReLU

- Another improvement for learning deep models
  - Use Rectified Linear Units (ReLU)
 
$$g(a) = \max\{0, a\}$$
  - Effect: gradient is propagated with a constant factor
 
$$\frac{\partial g(a)}{\partial a} = \begin{cases} 1, & a > 0 \\ 0, & \text{else} \end{cases}$$
- Advantages
  - Much easier to propagate gradients through deep networks.
  - We do not need to store the ReLU output separately
    - Reduction of the required memory by half compared to tanh!

⇒ ReLU has become the de-facto standard for deep networks.

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## Extension: ReLU

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$$g(a) = \max\{0, a\}$$
  - Effect: gradient is propagated with a constant factor
 
$$\frac{\partial g(a)}{\partial a} = \begin{cases} 1, & a > 0 \\ 0, & \text{else} \end{cases}$$
- Disadvantages / Limitations
  - A certain fraction of units will remain "stuck at zero".
    - If the initial weights are chosen such that the ReLU output is 0 for the entire training set, the unit will never pass through a gradient to change those weights.
  - ReLU has an **offset bias**, since its outputs will always be positive

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## Further Extensions

- Rectified linear unit (ReLU)
 
$$g(a) = \max\{0, a\}$$
- Leaky ReLU
 
$$g(a) = \max\{\beta a, a\}$$
  - Avoids stuck-at-zero units
  - Weaker offset bias
- ELU
 
$$g(a) = \begin{cases} a, & x < 0 \\ e^a - 1, & x \geq 0 \end{cases}$$
  - No offset bias anymore
  - BUT: need to store activations

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## Topics of This Lecture

- Recap: Tricks of the Trade
  - Initialization
  - Dropout
  - Batch Normalization
- Convolutional Neural Networks
  - Neural Networks for Computer Vision
  - Convolutional Layers
  - Pooling Layers
- CNN Architectures
  - LeNet
  - AlexNet
  - VGGNet
  - GoogLeNet

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## Initializing the Weights

- Motivation
  - The starting values of the weights can have a significant effect on the training process.
  - Weights should be chosen randomly, but in a way that the sigmoid is primarily activated in its linear region.
- Guideline (from [LeCun et al., 1998] book chapter)
  - Assuming that
    - The training set has been normalized
    - The recommended sigmoid  $f(x) = 1.7159 \tanh\left(\frac{2}{3}x\right)$  is used

the initial weights should be randomly drawn from a distribution (e.g., uniform or Normal) with mean zero and variance

$$\sigma_w^2 = \frac{1}{n_{in}}$$

where  $n_{in}$  is the fan-in (#connections into the node).

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### Historical Sidenote

- Apparently, this guideline was either little known or misunderstood for a long time

- A popular heuristic (also the standard in Torch) was to use

$$W \sim U \left[ -\frac{1}{\sqrt{n_{in}}}, \frac{1}{\sqrt{n_{in}}} \right]$$

- This looks almost like LeCun's rule. However...

- When sampling weights from a uniform distribution  $[a, b]$

- Keep in mind that the standard deviation is computed as

$$\sigma^2 = \frac{1}{12}(b - a)^2$$

- If we do that for the above formula, we obtain

$$\sigma^2 = \frac{1}{12} \left( \frac{2}{\sqrt{n_{in}}} \right)^2 = \frac{1}{3} \frac{1}{n_{in}}$$

- ⇒ Activations & gradients will be attenuated with each layer! (bad)

### Glort Initialization

- Breakthrough results

- In 2010, Xavier Glorot published an analysis of what went wrong in the initialization and derived a more general method for automatic initialization.

- This new initialization massively improved results and made direct learning of deep networks possible overnight.

- Let's look at his analysis in more detail...

X. Glorot, Y. Bengio, [Understanding the Difficulty of Training Deep Feedforward Neural Networks](#), AISTATS 2010.

### Analysis

- Variance of neuron activations

- Suppose we have an input  $X$  with  $n$  components and a linear neuron with random weights  $W$  that spits out a number  $Y$ .

- What is the variance of  $Y$ ?

$$Y = W_1 X_1 + W_2 X_2 + \dots + W_n X_n$$

- If inputs and outputs have both mean 0, the variance is

$$\begin{aligned} \text{Var}(W_i X_i) &= E[X_i]^2 \text{Var}(W_i) + E[W_i]^2 \text{Var}(X_i) + \text{Var}(W_i) \text{Var}(X_i) \\ &= \text{Var}(W_i) \text{Var}(X_i) \end{aligned}$$

- If the  $X_i$  and  $W_i$  are all i.i.d, then

$$\text{Var}(Y) = \text{Var}(W_1 X_1 + W_2 X_2 + \dots + W_n X_n) = n \text{Var}(W_i) \text{Var}(X_i)$$

- ⇒ The variance of the output is the variance of the input, but scaled by  $n \text{Var}(W_i)$ .

### Analysis (cont'd)

- Variance of neuron activations

- if we want the variance of the input and output of a unit to be the same, then  $n \text{Var}(W_i)$  should be 1. This means

$$\text{Var}(W_i) = \frac{1}{n} = \frac{1}{n_{in}}$$

- If we do the same for the backpropagated gradient, we get

$$\text{Var}(W_i) = \frac{1}{n_{out}}$$

- As a compromise, Glorot & Bengio proposed to use

$$\text{Var}(W) = \frac{2}{n_{in} + n_{out}}$$

- ⇒ Randomly sample the weights with this variance. That's it.

### Sidenote

- When sampling weights from a uniform distribution  $[a, b]$

- Again keep in mind that the standard deviation is computed as

$$\sigma^2 = \frac{1}{12}(b - a)^2$$

- Glorot initialization with uniform distribution

$$W \sim U \left[ -\frac{\sqrt{6}}{\sqrt{n_{in} + n_{out}}}, \frac{\sqrt{6}}{\sqrt{n_{in} + n_{out}}} \right]$$

- Or when only taking into account the fan-in

$$W \sim U \left[ -\frac{\sqrt{3}}{\sqrt{n_{in}}}, \frac{\sqrt{3}}{\sqrt{n_{in}}} \right]$$

- If this had been implemented correctly in Torch from the beginning, the Deep Learning revolution might have happened a few years earlier...

### Extension to ReLU

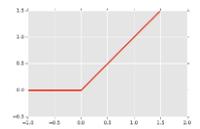
- Important for learning deep models

- Rectified Linear Units (ReLU)

$$g(a) = \max\{0, a\}$$

- Effect: gradient is propagated with a constant factor

$$\frac{\partial g(a)}{\partial a} = \begin{cases} 1, & a > 0 \\ 0, & \text{else} \end{cases}$$



- We can also improve them with proper initialization

- However, the Glorot derivation was based on tanh units, linearity assumption around zero does not hold for ReLU.

- He et al. made the derivations, derived to use instead

$$\text{Var}(W) = \frac{2}{n_{in}}$$

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## Topics of This Lecture

- Recap: Tricks of the Trade
  - Initialization
  - Dropout
  - Batch Normalization
- Convolutional Neural Networks
  - Neural Networks for Computer Vision
  - Convolutional Layers
  - Pooling Layers
- CNN Architectures
  - LeNet
  - AlexNet
  - VGGNet
  - GoogLeNet

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## Batch Normalization [Ioffe & Szegedy '14]

- Motivation
  - Optimization works best if all inputs of a layer are normalized.
- Idea
  - Introduce intermediate layer that centers the activations of the previous layer per minibatch.
  - I.e., perform transformations on all activations and undo those transformations when backpropagating gradients
  - Complication: centering + normalization also needs to be done at test time, but minibatches are no longer available at that point.
    - Learn the normalization parameters to compensate for the expected bias of the previous layer (usually a simple moving average)
- Effect
  - Much improved convergence (but parameter values are important!)
  - Widely used in practice

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## Dropout [Srivastava, Hinton '12]

(a) Standard Neural Net (b) After applying dropout.

- Idea
  - Randomly switch off units during training (a form of regularization).
  - Change network architecture for each minibatch, effectively training many different variants of the network.
  - When applying the trained network, multiply activations with the probability that the unit was set to zero during training.

⇒ Greatly improved performance

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## Neural Networks for Computer Vision

- How should we approach vision problems?
 

→
Face Y/N?
- Architectural considerations
  - Input is 2D ⇒ 2D layers of units
  - No pre-segmentation ⇒ Need robustness to misalignments
  - Vision is hierarchical ⇒ Hierarchical multi-layered structure
  - Vision is difficult ⇒ Network should be deep

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## Why Hierarchical Multi-Layered Models?

- Motivation 1: Visual scenes are hierarchically organized

Object

↑

Object parts

↑

Primitive features

↑

Input image

Face

↑

Eyes, nose, ...

↑

Oriented edges

↑

Face image

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## Why Hierarchical Multi-Layered Models?

- Motivation 2: *Biological vision* is hierarchical, too

Object

↑

Object parts

↑

Primitive features

↑

Input image

Face

↑

Eyes, nose, ...

↑

Oriented edges

↑

Face image



Inferotemporal cortex

V4: different textures

V1: simple and complex cells

Photoreceptors, retina



Slide adapted from Richard Turner. B. Leibe

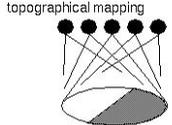
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## Hubel/Wiesel Architecture

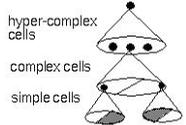
- D. Hubel, T. Wiesel (1959, 1962, Nobel Prize 1981)
  - Visual cortex consists of a hierarchy of *simple*, *complex*, and *hyper-complex* cells

Hubel & Wiesel

topographical mapping



featural hierarchy



high level

mid level

low level



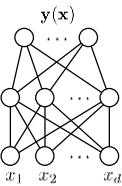
Slide credit: Svetlana Lazebnik, Bob Fergus. B. Leibe

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## Why Hierarchical Multi-Layered Models?

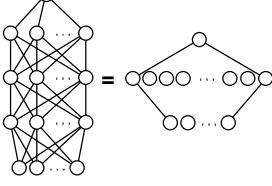
- Motivation 3: Shallow architectures are inefficient at representing complex functions

$y(x)$



$x_1, x_2, \dots, x_d$

An MLP with 1 hidden layer can implement any function (universal approximator)



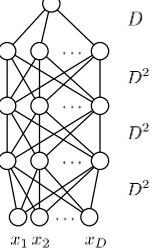
However, if the function is deep, a very large hidden layer may be required.

Slide adapted from Richard Turner. B. Leibe

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## What's Wrong With Standard Neural Networks?

- Complexity analysis
  - How many parameters does this network have?
 
$$|\theta| = 3D^2 + D$$
  - For a small  $32 \times 32$  image
 
$$|\theta| = 3 \cdot 32^4 + 32^2 \approx 3 \cdot 10^6$$
- Consequences
  - Hard to train
  - Need to initialize carefully
  - Convolutional nets reduce the number of parameters!*

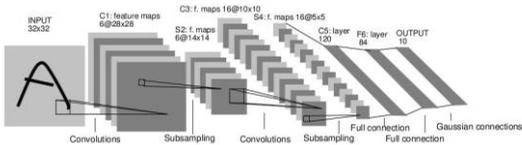


$x_1, x_2, \dots, x_D$

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## Convolutional Neural Networks (CNN, ConvNet)



- Neural network with specialized connectivity structure
  - Stack multiple stages of feature extractors
  - Higher stages compute more global, more invariant features
  - Classification layer at the end

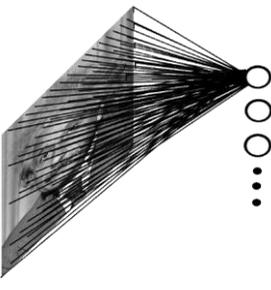
Y. LeCun, L. Bottou, Y. Bengio, and P. Haffner, [Gradient-based learning applied to document recognition](#), Proceedings of the IEEE 86(11): 2278–2324, 1998.

Slide credit: Svetlana Lazebnik. B. Leibe

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## Convolutional Networks: Intuition

- Fully connected network
  - E.g.  $1000 \times 1000$  image
  - 1M hidden units
  - $\Rightarrow$  1T parameters!
- Ideas to improve this
  - Spatial correlation is local



Slide adapted from Marc'Aurelio Ranzato. B. Leibe

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## Convolutional Networks: Intuition

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- **Locally connected net**
  - E.g.  $1000 \times 1000$  image
  - 1M hidden units
  - $10 \times 10$  receptive fields
  - ⇒ 100M parameters!
- Ideas to improve this
  - Spatial correlation is local
  - Want translation invariance

Slide adapted from Marc'Aurelio Ranzato B. Leibe Image source: Yann LeCun 37

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## Convolutional Networks: Intuition

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- **Convolutional net**
  - Share the same parameters across different locations
  - Convolutions with learned kernels

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## Convolutional Networks: Intuition

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- **Convolutional net**
  - Share the same parameters across different locations
  - Convolutions with learned kernels
- Learn *multiple* filters
  - E.g.  $1000 \times 1000$  image
  - 100 filters
  - $10 \times 10$  filter size
  - ⇒ 10k parameters
- Result: Response map
  - size:  $1000 \times 1000 \times 100$
  - Only memory, not params!

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## Important Conceptual Shift

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- Before
- Now:

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## Convolution Layers

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Example image:  $32 \times 32 \times 3$  volume

Before: Full connectivity  $32 \times 32 \times 3$  weights

Now: Local connectivity  
One neuron connects to, e.g.,  $5 \times 5 \times 3$  region.  
⇒ Only  $5 \times 5 \times 3$  shared weights.

- Note: Connectivity is
  - Local in space ( $5 \times 5$  inside  $32 \times 32$ )
  - But full in depth (all 3 depth channels)

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## Convolution Layers

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before: "hidden layer of 200 neurons"  
now: "output volume of depth 200"

- All Neural Net activations arranged in 3 dimensions
  - Multiple neurons all looking at the same input region, stacked in depth

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## Convolution Layers

Naming convention:  
 DEPTH  
 WIDTH  
 HEIGHT

- All Neural Net activations arranged in 3 dimensions
  - Multiple neurons all looking at the same input region, stacked in depth
  - Form a single  $[1 \times 1 \times \text{depth}]$  depth column in output volume.

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## Convolution Layers

Example:  
 $7 \times 7$  input  
 assume  $3 \times 3$  connectivity  
 stride 1

- Replicate this column of hidden neurons across space, with some **stride**.

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## Convolution Layers

Example:  
 $7 \times 7$  input  
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## Convolution Layers

Example:  
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## Convolution Layers

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## Convolution Layers

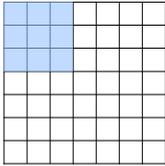
Example:  
 $7 \times 7$  input  
 assume  $3 \times 3$  connectivity  
 stride 1  
 $\Rightarrow 5 \times 5$  output

- Replicate this column of hidden neurons across space, with some **stride**.

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## Convolution Layers



Example:  
 $7 \times 7$  input  
 assume  $3 \times 3$  connectivity  
 stride 1  
 $\Rightarrow 5 \times 5$  output

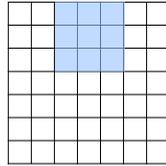
What about stride 2?

- Replicate this column of hidden neurons across space, with some **stride**.

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## Convolution Layers



Example:  
 $7 \times 7$  input  
 assume  $3 \times 3$  connectivity  
 stride 1  
 $\Rightarrow 5 \times 5$  output

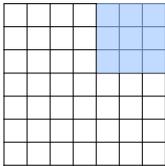
What about stride 2?

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## Convolution Layers



Example:  
 $7 \times 7$  input  
 assume  $3 \times 3$  connectivity  
 stride 1  
 $\Rightarrow 5 \times 5$  output

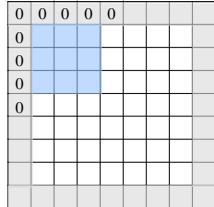
What about stride 2?  
 $\Rightarrow 3 \times 3$  output

- Replicate this column of hidden neurons across space, with some **stride**.

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## Convolution Layers



Example:  
 $7 \times 7$  input  
 assume  $3 \times 3$  connectivity  
 stride 1  
 $\Rightarrow 5 \times 5$  output

What about stride 2?  
 $\Rightarrow 3 \times 3$  output

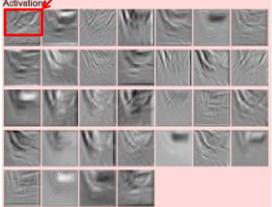
- Replicate this column of hidden neurons across space, with some **stride**.
- In practice, common to zero-pad the border.
  - Preserves the size of the input spatially.

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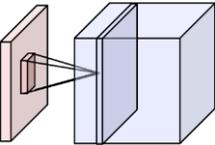
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## Activation Maps of Convolutional Filters

Activations:  one filter = one depth slice (or activation map)  $5 \times 5$  filters



Activation maps

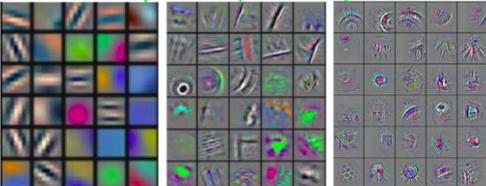


Each activation map is a depth slice through the output volume.

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## Effect of Multiple Convolution Layers

Feature visualization of convolutional net trained on ImageNet from [Zeiler & Fergus 2013]

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## Convolutional Networks: Intuition

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- Let's assume the filter is an eye detector
  - How can we make the detection robust to the exact location of the eye?

Slide adapted from Marc'Aurelio Ranzato. B. Leibe. Image source: Yann LeCun

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## Convolutional Networks: Intuition

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- Let's assume the filter is an eye detector
  - How can we make the detection robust to the exact location of the eye?
- Solution:
  - By **pooling** (e.g., max or avg) filter responses at different spatial locations, we gain robustness to the exact spatial location of features.

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## Max Pooling

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Single depth slice

1	1	2	4
5	6	7	8
3	2	1	0
1	2	3	4

max pool with 2x2 filters and stride 2

6	8
3	4

Effect:

- Make the representation smaller without losing too much information
- Achieve robustness to translations

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## Max Pooling

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Single depth slice

1	1	2	4
5	6	7	8
3	2	1	0
1	2	3	4

max pool with 2x2 filters and stride 2

6	8
3	4

Note

- Pooling happens independently across each slice, preserving the number of slices.

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## CNNs: Implication for Back-Propagation

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- Convolutional layers
  - Filter weights are shared between locations
  - ⇒ Gradients are added for each filter location.

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## Topics of This Lecture

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- Convolutional Neural Networks
  - Neural Networks for Computer Vision
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- CNN Architectures
  - LeNet
  - AlexNet
  - VGGNet
  - GoogLeNet

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### Comparison: AlexNet vs. VGGNet

- Receptive fields in the first layer
  - AlexNet:  $11 \times 11$ , stride 4
  - Zeiler & Fergus:  $7 \times 7$ , stride 2
  - VGGNet:  $3 \times 3$ , stride 1
- Why that?
  - If you stack a  $3 \times 3$  on top of another  $3 \times 3$  layer, you effectively get a  $5 \times 5$  receptive field.
  - With three  $3 \times 3$  layers, the receptive field is already  $7 \times 7$ .
  - But much fewer parameters:  $3 \cdot 3^2 = 27$  instead of  $7^2 = 49$ .
  - In addition, non-linearities in-between  $3 \times 3$  layers for additional discriminativity.

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### CNN Architectures: GoogLeNet (2014/2015)

(a) Inception module, naive version: Previous layer feeds into 1x1 convolutions, 3x3 convolutions, 5x5 convolutions, and 3x3 max pooling, all of which then feed into a final Pool concatenation layer.

(b) Inception module with dimension reductions: Similar to (a), but the 3x3 convolutions, 5x5 convolutions, and 3x3 max pooling paths include dimension reduction steps (1x1 convolutions) before the main operations.

- Main ideas
  - "Inception" module as modular component
  - Learns filters at several scales within each module

C. Szegedy, W. Liu, Y. Jia, et al, [Going Deeper with Convolutions](#), arXiv:1409.4842, 2014, CVPR '15, 2015.

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### GoogLeNet Visualization

Inception module + copies

Auxiliary classification outputs for training the lower layers (deprecated)

Convolution  
Pooling  
Softmax  
Other

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### Results on ILSVRC

Method	top-1 val. error (%)	top-5 val. error (%)	top-5 test error (%)
VGG (2 nets, multi-crop & dense eval.)	23.7	6.8	6.8
VGG (1 net, multi-crop & dense eval.)	24.4	7.1	7.0
VGG (ILSVRC submission, 7 nets, dense eval.)	24.7	7.5	7.3
GoogLeNet (Szegedy et al., 2014) (1 net)	-	-	7.9
GoogLeNet (Szegedy et al., 2014) (7 nets)	-	-	6.7
MSRA (He et al., 2014) (11 nets)	-	-	8.1
MSRA (He et al., 2014) (1 net)	27.9	9.1	9.1
Clarifai (Russakovsky et al., 2014) (multiple nets)	-	-	11.7
Clarifai (Russakovsky et al., 2014) (1 net)	-	-	12.5
Zeiler & Fergus (Zeiler & Fergus, 2013) (6 nets)	36.0	14.7	14.8
Zeiler & Fergus (Zeiler & Fergus, 2013) (1 net)	37.5	16.0	16.1
OverFeat (Sermanet et al., 2014) (7 nets)	34.0	13.2	13.6
OverFeat (Sermanet et al., 2014) (1 net)	35.7	14.2	-
Krizhevsky et al. (Krizhevsky et al., 2012) (5 nets)	38.1	16.4	16.4
Krizhevsky et al. (Krizhevsky et al., 2012) (1 net)	40.7	18.2	-

- VGGNet and GoogLeNet perform at similar level
  - Comparison: human performance ~5% [Karpathy]

<http://karpathy.github.io/2014/09/02/what-i-learned-from-competing-against-a-convnet-on-imagenet/>

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Image source: Simonyan & Zisserman

### Newer Developments: Residual Networks

AlexNet, 8 layers (ILSVRC 2012)

VGG, 19 layers (ILSVRC 2014)

GoogleNet, 22 layers (ILSVRC 2014)

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### Newer Developments: Residual Networks

AlexNet, 8 layers (ILSVRC 2012)

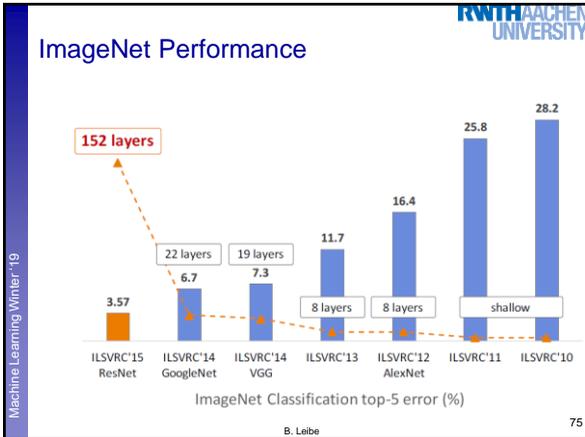
VGG, 19 layers (ILSVRC 2014)

ResNet, 152 layers (ILSVRC 2015)

- Core component
  - Skip connections bypassing each layer
  - Better propagation of gradients to the deeper layers
  - We'll analyze this mechanism in more detail later...

Diagram:  $F(x)$  is a weight layer followed by a ReLU.  $H(x) = F(x) + x$  is the residual block, where  $x$  is added to  $F(x)$  and then passed through another ReLU.

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### Understanding the ILSVRC Challenge

- Imagine the scope of the problem!
  - > 1000 categories
  - > 1.2M training images
  - > 50k validation images
- This means...
  - > Speaking out the list of category names at 1 word/s...  
...takes 15mins.
  - > Watching a slideshow of the validation images at 2s/image...  
...takes a full day (24h+).
  - > Watching a slideshow of the training images at 2s/image...  
...takes a full month.

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### More Finegrained Classes

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### Quirks and Limitations of the Data Set

- Generated from WordNet ontology
  - > Some animal categories are overrepresented
  - > E.g., 120 subcategories of dog breeds

⇒ 6.7% top-5 error looks all the more impressive

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### References and Further Reading

- LeNet
  - > Y. LeCun, L. Bottou, Y. Bengio, and P. Haffner, [Gradient-based learning applied to document recognition](#), Proceedings of the IEEE 86(11): 2278–2324, 1998.
- AlexNet
  - > A. Krizhevsky, I. Sutskever, and G. Hinton, [ImageNet Classification with Deep Convolutional Neural Networks](#), NIPS 2012.
- VGGNet
  - > K. Simonyan, A. Zisserman, [Very Deep Convolutional Networks for Large-Scale Image Recognition](#), ICLR 2015
- GoogLeNet
  - > C. Szegedy, W. Liu, Y. Jia, et al, [Going Deeper with Convolutions](#), arXiv:1409.4842, 2014.

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## References and Further Reading

- ResNet
  - K. He, X. Zhang, S. Ren, J. Sun, [Deep Residual Learning for Image Recognition](#), CVPR 2016.