Project 3: Neural Networks and Face Recognition

CSC 242 Introduction to Artificial Intelligence Fall 2014

April 15, 2014

Adapted from Mitchell, Tom. "Neural Networks for Face Recognition: Companion to Chapter 4 of the textbook Machine Learning", http://www.cs.cmu.edu/tom/faces.html, Carnegie Mellon University, 16 Oct 1997. Accessed 2 Apr 2014.

1 Introduction

This assignment gives you an opportunity to apply neural network learning to the problem of face recognition. You will experiment with a neural network program to train a sunglasses recognizer, a face recognizer, and an expression recognizer.

You will work in assigned groups of 2 or 3 students. After your group turns in your assignment, you will each send a confidential email to xdong@cs.rochester.edu rating the other members of your group on a scale of 3 to 0:

- 3 = did more than her share
- 2 = did her share
- 1 = did less than her share
- 0 = did nothing

The body of the email should contain the name and the score for each partner on a separate line. We will use this information to adjust the group project score for each individual. If scores significantly disagree, we will investigate.

You will not need to do huge amounts of coding for this assignment, and you should not let the size of this document scare you, but training your networks will take time. It is recommended that you read the assignment in its entirety first, and start early. You should work closely together, sitting side by side at a computer. You can probably get the project finished in two (long) evenings working together like, but if you work independently it will take much longer and you may well not finish at all. You will be modifying code written in C.

Read this *entire* document before you begin. Do not start modifying the code until you have read and discussed the functions discussed in Section 3.3 with your team.

1.1 The face images

The base directory of the project is /home/hoover/u1/cs242/projects-spring2014/FaceRecog/. We refer to this directory below as BASE.

It will be easiest to complete this project using the CSUG cycle servers. Login into cycle.csug.cs.rochester, or one of the other servers, using ssh and X-windows. If you copy the files to your computer, note that you will have to edit the training and testing files to change the directory paths to match where the files are on your machine.

The image data can be found in BASE/data/faces/. This directory contains 20 subdirectories, one for each person, named by userid. Each of these directories contains several different face images of the same person.

You will be interested in the images with the following naming convention: <userid>_<pose>_<expression>_<eyes>_<scale>.pgm

- <userid> is the user id of the person in the image, and this field has 20 values: an2i, at33, boland, bpm, ch4f, cheyer, choon, danieln, glickman, karyadi, kawamura, kk49, megak, mitchell, night, phoebe, saavik, steffi, sz24, and tammo.
- <pose> is the head position of the person, and this field has 4 values: straight, left, right, up.
- <expression> is the facial expression of the person, and this field has 4 values: neutral, happy, sad, angry.
- <eyes> is the eye state of the person, and this field has 2 values: open, sunglasses.
- <scale> is the scale of the image, and this field has 3 values: 1, 2, and 4. 1 indicates a full-resolution image (128 columns × 120 rows); 2 indicates a half-resolution image (64 × 60); 4 indicates a quarter-resolution image (32 × 30). For this assignment, you will be using the quarter-resolution images for experiments. This both makes training very fast and keeps the input representation small. If you like, you can try running on the full size images by using the "straightevenHD_" training and test file lists rather than the 'straighteven_" lists.

If you've been looking closely in the image directories, you may notice that some images have a .bad suffix rather than the .pgm suffix. As it turns out, 16 of the 640 images taken have glitches due to problems with the camera setup; these are the .bad images. Some people had more glitches than others, but everyone who got "faced" should have at least 28 good face images (out of the 32 variations possible, discounting scale).

1.2 Viewing the face images

To view the images, you can use the program gimp. Gimp is available on all computing platforms; see http://www.gimp.org/ for documentation. Gimp is installed on CSUG machines.

1.3 The neural network and image access code

We're supplying C code for a three-layer fully-connected feedforward neural network which uses the backpropagation algorithm to tune its weights. To make life as easy as possible, we're also supplying you with an image package for accessing the face images, as well as the top-level program for training and testing, as a skeleton for you to modify. To help explore what the nets actually learn, you'll also find a utility program for visualizing hidden-unit weights as images.

The code is located in BASE/code/. Copy all of the files in this area to your own directory, and type make. When the compilation is done, you should have one executable program: facetrain. Briefly, facetrain takes lists of image files as input, and uses these as training and test sets for a neural network. facetrain can be used for training and/or recognition, and it also has the capability to save networks to files.

Details of the routines, explanations of the source files, and related information can be found in Section 3 of this handout.

2 The Assignment

Perform the following tasks and write up answers to the questions. Describe the designs of the neural networks you used for each problem, and why you chose the design. Turn in the writeup along with files containing the modified code for each part.

1. Issue the following command in your home directory to obtain the training and test set data for this assignment:

cp BASE/trainset/*.list .

2. The code you have been given is currently set up to learn to recognize the person with userid glickman. By default, the code creates a network with an input for each pixel, 4 hidden units, and 1 output unit. The function call to bpnn_create that appears in the file facetrain.c establishes the dimensions of the neural network.

Modify this code to implement a "sunglasses" recognizer; *i.e.*, train a neural net which, when given an image as input, indicates whether the face in the image is wearing sunglasses, or not.

You will still have an input for each pixel, and one output unit (sunglasses), but you might need to vary the number of hidden units initialized bpnn_create.

3. Train a network using the default learning parameter settings (learning rate 0.3, momentum 0.3) for 75 epochs, with the following command:

```
facetrain -n shades.net -t straightrnd_train.list -1
    straightrnd_test1.list -2 straightrnd_test2.list -e 75
```

facetrain's arguments are described in Section 3.1.1, but a short description is in order here. shades.net is the name of the network file which will be saved when training is finished. straightrnd_train.list, straightrnd_test1.list, and



Figure 1: The default neural net has an input unit for each pixel, four hidden units, and one output unit.

straightrnd_test2.list are text files which specify the training set (70 examples) and two test sets (34 and 52 examples), respectively.

This command creates and trains your net on a randomly chosen sample of 70 of the 156 "straight" images, and tests it on the remaining 34 and 52 randomly chosen images, respectively. One way to think of this test strategy is that roughly $\frac{1}{3}$ of the images (straightrnd_test2.list) have been held over for testing. The remaining $\frac{2}{3}$ have been used for a train and cross-validate strategy, in which $\frac{2}{3}$ of these are being used for as a training set (straightrnd_train.list) and $\frac{1}{3}$ are being used for the validation set to decide when to halt training (straightrnd_test1.list).

Are you confused? Program not working? PUT YOUR HANDS UP, AND SLOWLY WALK AWAY FROM THE TERMINAL. DON'T MAKE A SUDDEN MOVE. Read the whole document all the way through the end, no skimming this time! Together with your other team members, diagram the structure of the code on a whiteboard. Look at contents of the training list files. Now you are ready to restart work!

- 4. What code did you modify? What was the maximum classification accuracy achieved on the training set? How many epochs did it take to reach this level? How about for the validation set? The test set? Note that if you run it again on the same system with the same parameters and input, you should get exactly the same results because, by default, the code uses the same seed to the random number generator each time. You will need to read Section 3.1.2 carefully in order to be able to interpret your experiments and answer these questions.
- 5. **Optional:** The "straight" training and test files only include images of the face-front pose. Teaching the neural network to work for all four poses could be more challenging. Repeat the previous step using all poses, by specifying the "all" training and test file sets:

facetrain -n shadesall.net -t all_train.list -1
 all_test1.list -2 all_test2.list -e 75

If performance is poor, try increasing the number of hidden units.

- 6. Now, implement a 1-of-20 face recognizer; *i.e.*, implement a neural net that accepts an image as input, and outputs the userid of the person. To do this, you will need to implement a different output encoding (since you must now be able to distinguish among 20 people). (Hint: leave learning rate and momentum at 0.3, and use 20 hidden units.) You will need to modify the code as described below so that it outputs the name associated with the output neuron with the highest output value.
- 7. As before, train the network, this time for 100 epochs:

```
facetrain -n face.net -t straighteven_train.list -1
    straighteven_test1.list -2 straighteven_test2.list -e 100
```

The difference between the straightrnd_*.list and the straighteven_*.list sets is that while the former divides the images purely randomly among the training and test sets, the latter ensures a relatively even distribution of each individual's images over the sets. Because we have only 7 or 8 "straight" images per individual, failure to distribute them evenly would result in testing our network the most on those faces on which it was trained the least.

- 8. Which parts of the code was it necessary to modify this time? How did you encode the outputs? What was the maximum classification accuracy achieved on the training set? How many epochs did it take to reach this level? How about for the validation and test set?
- 9. Now let's take a closer look at which images the net may have failed to classify:

facetrain -n face.net -T -1 straighteven_test1.list
 -2 straighteven_test2.list

Do there seem to be any particular commonalities between the misclassified images?

- 10. Implement a pose recognizer; *i.e.*, implement a neural net which, when given an image as input, indicates whether the person in the image is looking straight ahead, up, to the left, or to the right. You will also need to implement a different output encoding for this task. (Hint: leave learning rate and momentum at 0.3, and use 6 hidden units).
- 11. Train the network for 100 epochs, this time on samples drawn from all of the images:

facetrain -n pose.net -t all_train.list -1 all_test1.list -2 all_test2.list -e 100

Note that you need to train on all images, not just the "straight" pose images. In this case, 260 examples are in the training set, 140 examples are in test1, and 193 are in test2.

- 12. How did you encode your outputs this time? What was the maximum classification accuracy achieved on the training set? How many epochs did it take to reach this level? How about for each test set?
- 13. Now, try taking a look at how backpropagation tuned the weights of the hidden units with respect to each pixel. First type make hidtopgm to compile the utility on your system. Then, to visualize the weights of hidden unit *n*, type:

hidtopgm pose.net *image-filename* 32 30 n

Invoking xv on the image *image-filename* should then display the range of weights, with the lowest weights mapped to pixel values of zero, and the highest mapped to 255. If the images just look like noise, try retraining using facetrain_init0 (compile with make facetrain_init0), which initializes the hidden unit weights of a new network to zero, rather than random values.

- 14. Do the hidden units seem to weight particular regions of the image greater than others? Do particular hidden units seem to be tuned to different features of some sort?
- 15. Optional: Implement an expression recognizer; *i.e.*, implement a neural net that, when given an image as input, indicates whether the person in the image is neutral, happy, sad, or angry. You will also need to implement a different output encoding for this task. You will have to experiment to determine the number of hidden units. Use only the "straighteven" training and test sets. You might need to use the full-resolution images rather than the quarter-size images in order to capture enough detail of the expressions. You can run on the full size images by using the training set lists:

straightevenHD_train.list
straightevenHD_test1.list
straightevenHD_test2.list

In your report, describe what you tried and how well it worked in the end.

3 Documentation

The code for this assignment is broken into several modules:

- facetrain.c: the top-level program which uses all of the modules below to implement an image classification system. You will need to modify this code to change network sizes and learning parameters. The performance evaluation routines performance_on_imagelist() and evaluate_performance() are also in this module; you will need to modify these for your face and expression recognizers.
- imagenet.c: interface routines for loading images into the input units of a network, and setting up target vectors for training. You will need to modify the routine load_target, when implementing the face recognizer and the pose recognizer, to set up appropriate target vectors for the output encodings you choose.

- backprop.c, backprop.h: the neural network package. Supports three-layer fullyconnected feedforward networks, using the backpropagation algorithm for weight tuning. Provides high level routines for creating, training, and using networks. You will not need to modify any code in this module to complete the assignment.
- pgmimage.c, pgmimage.h: the image package. Supports read/write of PGM image files and pixel access/assignment. Provides an IMAGE data structure, and an IMAGELIST data structure (an array of pointers to images; useful when handling many images). You will not need to modify any code in this module to complete the assignment.
- hidtopgm.c: the hidden unit weight visualization utility. It's not necessary modify anything here, although it may be interesting to explore some of the numerous possible alternate visualization schemes. You will not need to modify any code in this module to complete the assignment.

Although you'll only need to modify code in imagenet.c and facetrain.c, feel free to modify anything you want in any of the files if it makes your life easier or if it allows you to do a nifty experiment.

3.1 The top level package (facetrain.c)

3.1.1 Running facetrain

facetrain has several options which can be specified on the command line. This section briefly describes how each option works. A very short summary of this information can be obtained by running facetrain with no arguments.

- -n <network file> this option either loads an existing network file, or creates a new one with the given name. At the end of training, the neural network will be saved to this file.
- -e <number of epochs> this option specifies the number of training epochs which will be run. If this option is not specified, the default is 100.
- -T for test-only mode (no training). Performance will be reported on each of the three datasets specified, and those images misclassified will be listed, along with the corresponding output unit levels.
- -s <seed> an integer which will be used as the seed for the random number generator. The default seed is 102194 (guess what day it was when I wrote this document). This allows you to reproduce experiments if necessary, by generating the same sequence of random numbers. It also allows you to try a different set of random numbers by changing the seed.
- -S <number of epochs between saves> this option specifies the number of epochs between saves. The default is 100, which means that if you train for 100 epochs (also the default), the network is only saved when training is completed.

- -t <training image list> this option specifies a text file which contains a list of image pathnames, one per line, that will be used for training. If this option is not specified, it is assumed that no training will take place (*epochs* = 0), and the network will simply be run on the test sets. In this case, the statistics for the training set will all be zeros.
- -1 <test set 1 list> this option specifies a text file which contains a list of image pathnames, one per line, that will be used as a test set. If this option is not specified, the statistics for test set 1 will all be zeros.
- -2 <test set 2 list> same as above, but for test set 2. The idea behind having two test sets is that one can be used as part of the train/test paradigm, in which training is stopped when performance on the test set begins to degrade. The other can then be used as a "real" test of the resulting network.

3.1.2 Interpreting the output of facetrain

When you run facetrain, it will first read in all the data files and print a bunch of lines regarding these operations. Once all the data is loaded, it will begin training. At this point, the network's training and test set performance is outlined in one line per epoch. For each epoch, the following performance measures are output:

<epoch> <delta> <trainperf> <trainerr> <t1perf> <t1err> <t2perf> <t2err>
These values have the following meanings:

- epoch is the number of the epoch just completed; it follows that a value of 0 means that no training has yet been performed.
- delta is the sum of all δ values on the hidden and output units as computed during backprop, over all training examples for that epoch.
- trainperf is the percentage of examples in the training set which were correctly classified.
- trainerr is the average, over all training examples, of the error function $\frac{1}{2}\sum(t_i o_i)^2$, where t_i is the target value for output unit *i* and o_i is the actual output value for that unit.
- tlperf is the percentage of examples in test set 1 which were correctly classified.

tlerr is the average, over all examples in test set 1, of the error function described above.

t2perf is the percentage of examples in test set 2 which were correctly classified.

t2err is the average, over all examples in test set 2, of the error function described above.

3.1.3 Procedures in facetrain.c

You will need to make several changes in this package for the face and expression recognizers, as described below.

```
void backprop_face(
    IMAGELIST *trainlist, IMAGELIST *test1list, IMAGELIST *test2list,
    int epochs, int savedelta,
    char *netname,
    int list_errors)
```

This is main routine you will modify. It begins by reading in a neural net file, or creating one if it does not exist. The line

net = bpnn_create(imgsize, 4, 1);

creates a neural net with specified number of input units, hidden units, and output units.

If the number of training epochs is greater than zero, then the network is trained. The line

```
bpnn_train(net, 0.3, 0.3, &out_err, &hid_err);
```

sets the learning rate (second parameter) and momentum (third parameter) both to 0.3. You may need to vary these parameters. (You might find it useful to change them from constants to variables that can be set by new command line arguments.)

The accuracy of the neural network on the training set and two test sets is calculated and printed before training and at the end of each epoch by calling the procedure evaluate_performance. Finally, the network is saved.

You will add statements at the end of this procedure for the face and expression recognizer. For example, for the face recognizer, you need to print the name of person corresponding to the output unit with the highest value for each test image. You will also check whether the highest unit is indeed the correct one for the image. You can implement these changes by making a copy of evaluate_performance and modifying it.

```
int evaluate_performance(
```

```
BPNN *net,
double *err)
```

You will also need to modify this routine. It checks if the output of the network matches the target for the currently loaded image. It returns a Boolean value (1 for correct, 0 for incorrect), as well as the difference between the target and output values (err). The default code handles a single output neuron. For the face and expression recognizers, you will need to check all of the output neurons, in order to see if they are all at or near (less than 0.5 distance) their target values. The returned err should be sum of the errors (squared delta) for all of the output units.

3.2 The interface package (imagenet.c)

This package provides the interface routines for loading images into the input units of a network, and setting up target vectors for training. You will need to modify the following

procedure to set up appropriate target vectors for the output encodings you choose for the face and expression recognition.

```
void load_target(
    IMAGE *img,
    BPNN *net)
```

img is an image that has been loaded. The routine checks the name of the file corresponding to the image, NAME(img), in order to determine the true label for the image — for example, the person's name, or whether they are wearing sunglasses, or their expression. It then sets the target(s) of the output unit(s) to appropriate values, TARGET_HIGH or TARGET_LOW, depending upon what you are trying to learn. The default code establishes a target for a single output neuron that recognizes "glickman".

3.3 The neural network package (backprop.c)

As mentioned earlier, this package implements three-layer fully-connected feedforward neural networks, using a backpropagation weight tuning method. We begin with a brief description of the data structure, a BPNN (BackPropNeuralNet).

All unit values and weight values are stored as doubles in a BPNN.

Given a BPNN *net, you can get the number of input, hidden, and output units with net->input_n, net->hidden_n, and net->output_n, respectively.

Units are all indexed from 1 to n, where n is the number of units in the layer. To get the value of the kth unit in the input, hidden, or output layer, use net->input_units[k], net->hidden_units[k], or net->output_units[k], respectively.

The target vector is assumed to have the same number of values as the number of units in the output layer, and it can be accessed via net->target. The kth target value can be accessed by net->target[k].

To get the value of the weight connecting the ith input unit to the jth hidden unit, use net->input_weights[i][j]. To get the value of the weight connecting the jth hidden unit to the kth output unit, use net->hidden_weights[j][k].

The routines are as follows:

```
void bpnn_initialize(seed)
```

int seed;

This routine initializes the neural network package. It should be called before any other routines in the package are used. Currently, its sole purpose in life is to initialize the random number generator with the input **seed**.

```
BPNN *bpnn_create(n_in, n_hidden, n_out)
    int n_in, n_hidden, n_out;
```

Creates a new network with n_in input units, n_hidden hidden units, and n_output output units. All weights in the network are randomly initialized to values in the range [-1.0, 1.0]. Returns a pointer to the network structure. Returns NULL if the routine fails.

void bpnn_free(net) BPNN *net;

Takes a pointer to a network, and frees all memory associated with the network.

```
void bpnn_train(net, learning_rate, momentum, erro, errh)
BPNN *net;
double learning_rate, momentum;
double *erro, *errh;
```

Given a pointer to a network, runs one pass of the backpropagation algorithm. Assumes that the input units and target layer have been properly set up. learning_rate and momentum are assumed to be values between 0.0 and 1.0. erro and errh are pointers to doubles, which are set to the sum of the δ error values on the output units and hidden units, respectively.

void bpnn_feedforward(net)

BPNN *net;

Given a pointer to a network, runs the network on its current input values.

```
BPNN *bpnn_read(filename)
```

```
char *filename;
```

Given a filename, allocates space for a network, initializes it with the weights stored in the network file, and returns a pointer to this new BPNN. Returns NULL on failure.

```
void bpnn_save(net, filename)
    BPNN *net;
    char *filename;
```

Given a pointer to a network and a filename, saves the network to that file.

3.4 The image package (pgmimage.c)

The image package provides a set of routines for manipulating PGM images. An image is a rectangular grid of pixels; each pixel has an integer value ranging from 0 to 255. Images are indexed by rows and columns; row 0 is the top row of the image, column 0 is the left column of the image.

IMAGE *img_open(filename) char *filename;

Opens the image given by filename, loads it into a new IMAGE data structure, and returns a pointer to this new structure. Returns NULL on failure.

```
IMAGE *img_creat(filename, nrows, ncols)
    char *filename;
    int nrows, ncols;
```

Creates an image in memory, with the given filename, of dimensions $nrows \times ncols$, and returns a pointer to this image. All pixels are initialized to 0. Returns NULL on failure.

int ROWS(img)

IMAGE *img;

Given a pointer to an image, returns the number of rows the image has.

int COLS(img)

IMAGE *img;

Given a pointer to an image, returns the number of columns the image has.

```
char *NAME(img)
```

IMAGE *img;

Given a pointer to an image, returns a pointer to its base filename (*i.e.*, if the full filename is /usr/joe/stuff/foo.pgm, a pointer to the string foo.pgm will be returned).

```
int img_getpixel(img, row, col)
    IMAGE *img;
    int row, col;
```

Given a pointer to an image and row/column coordinates, this routine returns the value of the pixel at those coordinates in the image.

```
void img_setpixel(img, row, col, value)
    IMAGE *img;
    int row, col, value;
```

Given a pointer to an image and row/column coordinates, and an integer value assumed to be in the range [0, 255], this routine sets the pixel at those coordinates in the image to the given value.

```
int img_write(img, filename)
    IMAGE *img;
    char *filename;
```

Given a pointer to an image and a filename, writes the image to disk with the given filename. Returns 1 on success, 0 on failure.

```
void img_free(img)
            IMAGE *img;
```

Given a pointer to an image, deallocates all of its associated memory.

```
IMAGELIST *imgl_alloc()
```

Returns a pointer to a new IMAGELIST structure, which is really just an array of pointers to images. Given an IMAGELIST *il, il->n is the number of images in the list. il->list[k] is the pointer to the kth image in the list.

```
void imgl_add(il, img)
IMAGELIST *il;
IMAGE *img;
```

Given a pointer to an imagelist and a pointer to an image, adds the image at the end of the imagelist.

```
void imgl_free(il)
    IMAGELIST *il;
```

Given a pointer to an imagelist, frees it. Note that this does not free any images to which the list points.

```
void imgl_load_images_from_textfile(il, filename)
    IMAGELIST *il;
    char *filename;
```

Takes a pointer to an imagelist and a filename. filename is assumed to specify a file which is a list of pathnames of images, one to a line. Each image file in this list is loaded into memory and added to the imagelist il.

3.5 The hidden unit visualization package (hidtopgm)

hidtopgm takes the following fixed set of arguments:

hidtopgm net-file image-file x y n

net-file is the file containing the network in which the hidden unit weights are to be found.

image-file is the file to which the derived image will be output.

x and y are the dimensions in pixels of the image on which the network was trained.

n is the number of the target hidden unit. n may range from 1 to the total number of hidden units in the network.

3.6 The output unit visualization package (outtopgm)

outtopgm takes the following fixed set of arguments: outtopgm net-file image-file x y n

This is the same as hidtopgm, for output units instead of input units. Be sure you specify x to be 1 plus the number of hidden units, so that you get to see the weight w_0 as well as weights associated with the hidden units. For example, to see the weights for output number 2 of a network containing 3 hidden units, do this:

outtopg
m expression.net expression-out2.pgm 4 $1\ 2$

net-file is the file containing the network in which the hidden unit weights are to be found.

image-file is the file to which the derived image will be output.

- x and y are the dimensions of the hidden units, where x is always 1 + the number of hidden units specified for the network, and y is always 1.
- n is the number of the target output unit. n may range from 1 to the total number of output units for the network.

3.7 Tips

Although you do not have to modify the image or network packages, you will need to know a little bit about the routines and data structures in them, so that you can easily implement new output encodings for your networks. You should look at imagenet.c, facetrain.c, and facerec.c to see how the routines are actually used.

In fact, it is probably a good idea to look over facetrain.c first, to see how the training process works. You will notice that load_target() from imagenet.c is called to set up the target vector for training. You will also notice the routines which evaluate performance and compute error statistics, performance_on_imagelist() and evaluate_performance(). The first routine iterates through a set of images, computing the average error on these images, and the second routine computes the error and accuracy on a single image.

Finally, the point of this assignment is for you to obtain first-hand experience in working with neural networks; it is **not** intended as an exercise in C hacking. An effort has been made to keep the image package and neural network package as simple as possible. If you need clarifications about how the routines work, don't hesitate to ask.

If you read all the way to the end of this document before starting to modify the code, congratulations! You are on the road to success!