

AN ENHANCED GATED RECURRENT UNIT WITH AUTO-ENCODER FOR
SOLVING TEXT CLASSIFICATION PROBLEMS

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In the name of Allah, Most Gracious, Most Merciful.

I praise and thank Allah.

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For dearest,
(Brother and Sisters)

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ABSTRACT

Classification has become an important task for categorizing documents automatically based on their respective groups. Gated Recurrent Unit (GRU) is a type of Recurrent Neural Networks (RNNs), and a deep learning algorithm that contains update gate and reset gate. It is considered as one of the most efficient text classification techniques, specifically on sequential datasets. However, GRU suffered from three major issues when it is applied for solving the text classification problems. The first drawback is the failure in data dimensionality reduction, which leads to low quality solution for the classification problems. Secondly, GRU still has difficulty in training procedure due to redundancy between update and reset gates. The reset gate creates complexity and require high processing time. Thirdly, GRU also has a problem with informative features loss in each recurrence during the training phase and high computational cost. The reason behind this failure is due to a random selection of features from datasets (or previous outputs), when applied in its standard form. Therefore, in this research, a new model namely Encoder Simplified GRU (ES-GRU) is proposed to reduce dimension of data using an Auto-Encoder (AE). Accordingly, the reset gate is replaced with an update gate in order to reduce the redundancy and complexity in the standard GRU. Finally, a Batch Normalization method is incorporated in the GRU and AE for improving the performance of the proposed ES-GRU model. The proposed model has been evaluated on seven benchmark text datasets and compared with six baselines well-known multiclass text classification approaches included standard GRU, AE, Long Short Term Memory, Convolutional Neural Network, Support Vector Machine, and Naïve Bayes. Based on various types of performance evaluation parameters, a considerable amount of improvement has been observed in the performance of the proposed model as compared to other standard classification techniques, and showed better effectiveness and efficiency of the developed model.

ABSTRAK

Pengelasan telah menjadi tugas penting untuk mengklasifikasikan dokumen secara automatik ke kategori masing-masing. *Gated recurrent unit (GRU)* adalah sejenis Rangkaian Neural Berulang (RNNs), dan algoritma pembelajaran mendalam yang mengandungi gerbang kemas kini dan gerbang penetapan semula, yang dianggap sebagai teknik klasifikasi teks yang paling efisien, khususnya pada kumpulan data yang berjujukan. Walau bagaimanapun, GRU mempunyai tiga kelemahan utama apabila ia digunakan untuk menyelesaikan masalah klasifikasi teks pelbagai kelas. Kelemahan pertama adalah kegagalan dalam pengurangan dimensi data, yang membawa kepada penyelesaian berkualiti rendah bagi masalah klasifikasi. Kedua, GRU masih mempunyai kesukaran dalam prosedur latihan disebabkan oleh penindanan antara gerbang kemas kini dan penetapan semula. Gerbang penetapan semula membentuk kekompleksan dan menghasilkan masa pemprosesan yang tinggi. Ketiga, GRU juga mempunyai masalah dalam kehilangan ciri-ciri maklumat pada setiap pengulangan semasa fasa latihan untuk menyelesaikan masalah pengelasan pelbagai kelas. Punca disebalik kegagalan ini adalah pemilihan ciri-ciri input dari dataset (atau output sebelumnya), secara rawak, apabila ia digunakan dalam bentuk piawai. Oleh itu, di dalam kajian ini model GRU baru, iaitu *GRU Encoder Simplified (ES-GRU)* dicadangkan untuk mengurangkan dimensi dari data input berdasarkan *Auto-Encoder (AE)*. Setelah itu, gerbang penetapan semula digantikan dengan gerbang kemas kini untuk mengurangkan penindanan dan kerumitan bagi GRU piawai. Akhirnya, kaedah normalisasi berkumpulan digabungkan dalam GRU dan AE untuk meningkatkan prestasi dan ketepatan model ES-GRU yang dicadangkan. Model yang dicadangkan telah dinilai dengan tujuh kumpulan data penandaaras dan dibandingkan dengan enam pendekatan klasifikasi teks pelbagai kelas yang terkenal, termasuk GRU piawai, AE, memori jangka pendek panjang, rangkaian neural convolutional, support vector machine (SVM), dan Naïve Bayes. Berdasarkan pelbagai jenis parameter penilaian prestasi, sejumlah besar penambahbaikan telah

dilihat dalam prestasi model yang dicadangkan berbanding dengan teknik-teknik klasifikasi piawai lain yang menunjukkan keberkesanan dan kecekapan model yang dibangunkan.



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LIST OF SYMBOLS AND ABBREVIATIONS

GRU	-	Gated Recurrent Unit.
AE	-	Auto Encoder
RNN	-	Recurrent Neural Network
LSTM	-	Long Short Term Memory
CNN	-	Convolution Neural Network
SVM	-	Support Vector Machine
ANN	-	Artificial Neural Network
DAF	-	Decoding Activation Function
EAF	-	Encoding Activation Function
TC	-	Text Classification
DR	-	Dimensionality Reduction
BN	-	Batch Normalization
$f(x)$	-	Function of x
k_e	-	Encoded Activation Function
k_d	-	Decoded Activation Function
z_t	-	Update gate
r_t	-	Reset gate
\tilde{h}_t	-	Candidate State
h_t	-	Output State
σ	-	Sigmoid activation function
Relu	-	Rectified Linear Unit
tanh	-	hyperbolic tangent Activation Function
OVO	-	One-verses-One
OVA	-	One-verses-All
RNTN	-	Recursive Neural Tensor Network
W_x	-	Input weights
U_h	-	Hidden weights with previous time step
DL	-	Deep Learning
NG	-	New Group
ML	-	Machine Learning
E	-	Reconstruction Error
t	-	Time step
NN	-	Neural Network
BPTT	-	Back Propagation Through Time

LIST OF PUBLICATIONS

Journals:

- (i) **M. Zulqarnain**, R. Ghazali, S. H. Khaleefah, and A. Rehan. (2019). “An Improved the Performance of GRU Model based on Batch Normalization for Sentence Classification,” *International Journal of Computer Science and Network Security.*, vol. 19, no. 9, pp. 176–186, 2019. **(ISI)**
- (ii) **M. Zulqarnain**, R. Ghazali, and Y.M.M. Hassim. (2019). “A comparative review on deep learning models for text classification.” *Indonesian Journal of Electrical Engineering and Computer Science.* Vol. 1, No. 4, pp. 886-996. **(Scopus Indexed)**
- (iii) **Zulqarnain M**, Ishak SA, Ghazali R, Nawati NM, Aamir M, Mazwin Y. (2020). An improved Deep Learning Approach based on Variant Two-State GRU and Word Embedding for Sentiment Classification. *International Journal of Computer Science and Applications(IJACSA)*; vol. 11, no. 1; pp. 593-603 **(Scopus and ISI)**
- (iv) **M. Zulqarnain**, R. Ghazali, M. G. Ghouse, and M. F. Mushtaq, “Efficient Processing of GRU Based on Word Embedding for Text Classification,” *Int. J. Informatics Vis.*, vol. 3, no. 4, pp. 377–383, 2019. **(Scopus Indexed)**
- (v) **M. Zulqarnain**, R. Ghazali, Y.M.M. Hassim, and M. Rehan, “Text classification based on gated recurrent unit combines with support vector machine,” *International Journal of Electrical and Computer Engineering (IJECE).*, Vol. 10, No. 4, pp. 3734–3742, 2020. **(Scopus Indexed)**

CHAPTER 1

INTRODUCTION

1.1 Research Background

The rapid development of computer technologies and internet usage caused to generate huge amount of digital textual data (Wang & Qu, 2017), and to retrieve the required content from the great deal of information fast and accurately has become a common concern. Textual data are highly dimensional data, it has irrelevant and unwanted features which are difficult to manage and maintain (Sharif *et al.*, 2017). In the early sixties of the 20th century, generation of excessive data was observed. A lot of online information exists in the form of texts, which is in both structured and unstructured form. The unstructured text has become fundamental problem for big organization to manage the large amount of data (Ahmed *et al.*, 2016). However, machine learning helps to analyses automatically the data by identifying the patterns for making classification with minimal human intervention. In machine learning, to extract useful information and interested information from constantly increasing documents becomes a vital task. Documents can be in various formats such as word, phrase, term, pattern, concept, sentence, paragraph and text (Wang *et al.*, 2018). This excessive information requires some proficient classification algorithms which can be used to assign texts into one or more classes (labels). The classification algorithms are applied on different text applications such as sentiment analysis (Do *et al.*, 2019), text clustering (Yi *et al.*, 2017), spam filtering (Barushka & Hajek, 2018), website classification (Wang & Qu, 2017), disease report finding (Jadhav *et al.*, 2019), document summarization and text classification (Sharif *et al.*, 2019).

Text classification has become an active research area over the last decade. Past studies (Kowsari et al., 2017), (Dawar, 2012) indicated that information retrieval plays an important role to improve accuracy in text classification. Textual data are highly dimensional and must be pre-processed before applying classification algorithms (Onan *et al.*, 2016). Therefore, it takes much time to discover the knowledge of interest from textual data (Nam *et al.*, 2014). The advent of high dimensional data has carried unprecedented challenges to machine learning researchers, making the learning task more complex and demanding computationally.

Text classification has become more active and commonly encountered decision making activity in the area of machine learning. Application of machine learning (ML) techniques for solving text classification issues is one of the basic concerns of researchers. All the classification issues are distributed into two main parts, i.e. Binary class classification and multiclass classification problems (Yeh *et al.*, 2017). When the entire data is divided into two classes, is known binary classification. In contrast, a classification issue is regarded as multiclass classification issue if the dataset has more than two distinct classes. Binary classification is considered to be simpler as compared to multiclass classification problem (Don & Iacob, 2018). It is due to the fact that multiclass data has many similarities in the features set, that makes it more complicated for the classifier to distinguish them from other classes. Based on the literature studies, the well-known machine learning techniques for solving text classification issues are: Support Vector Machine (SVM) (Xu et al., 2019), Naïve Bayes (Xu, 2018) and Artificial Neural Network (ANN) (Ghiassi *et al.*, 2012). Furthermore, a group of techniques known as deep learning (DL) approaches has been introduced recently for solving these complicated issues.

Deep learning algorithms are the advanced versions of existing ANNs which process some complicated problems. In existing neural networks, if there are more layers and units, there will be a higher expressional power of the network which leads to more complexity of cost functions. In order to overcome the limitations associated with traditional neural networks, deep learning algorithms have been introduced. It is an advanced approach and has been used in many applications for example transfer learning (Long *et al.*, 2017), medical text classification (Hughes *et al.*, 2017), computer vision (Voulodimos *et al.*, 2018), natural language processing (Feature & Joseph, 2017) and many other complex applications. The reasons behind

the usage of deep learning algorithms are the low cost of computing hardware, powerful processing abilities and high level of advancement in the machine learning techniques. There are three well-known DL algorithms found in the most recent research namely Convolution Neural Network (CNN), Auto Encoder (AE) and Recurrent Neural Networks (RNNs). All of these deep learning approaches have further several variants appropriate for different kinds of applications (Ahmed *et al.*, 2017).

Convolution neural networks fall under the most essential deep learning algorithms based on multiple layers training approach in an efficient manner (Shone *et al.*, 2018). There are mainly three layers of convolution neural network such as convolution layer, pooling layer and fully connected layer. All these layers have different roles in the general function of a neural network. Convolutions layer of CNN uses various kinds of kernels to convolve the two-dimensional data set as well as the intermediate feature map. Pooling layer works on data to compresses and makes smooth data. Max-layer selects the maximum value of the receptive field and makes data invariant to small translational changes. However, the fully connected layer converts the two dimensional feature spaces into one dimensional feature space.

Auto encoders (AEs) are a kind of artificial neural network consists of three layers such as input layer, hidden layer and output layer. These layers use the back-propagation behaviour via setting up the high-dimensional input feature set to a low-dimensional output feature set. And by doing so recover the original feature set from the output for efficient learning (Aamir *et al.*, 2020). Basically, AE usually performs in two stages namely encoding and decoding. The encoding stage converts the input features to a new representation while decoding stage tries to convert this new representation back as near as possibly to its original inputs. Moreover, AE reconstructs its own inputs instead of predicting outputs from the inputs. In auto encoder, the output vector has the same dimension as the inputs. During the reduction process in auto encoder, the purpose is to minimize the reconstruction error and learned features are actually the code generated by the encoder (Ahmed *et al.*, 2017). However, the novelty of the research and powerful deep RNN models is very active research area topic in deep learning community.

In recent years, RNN has been extremely used in several data mining applications to show the better performance on classification issues. RNNs are

capable to capture temporal dependencies in sequence information and have shown strong semantic composition approaches for sentiment classification (Liu *et al.*, 2016). The key benefit of RNNs is that they can be applied to extracts temporal sequential data with variable-length, which generates flexibilities in evaluating reviews of various lengths. RNNs have various types such as Recursive Neural Network (Cardie *et al.*, 2014), Matrix Vector-RNN (Baly *et al.*, 2017), Recursive Neural Tensor Network (Socher *et al.*, 2013), Long Short Term Memory (LSTMs) (Hochreiter, 1997), and Gated Recurrent Unit (GRU) (Cho *et al.*, 2014). GRU is a variant of RNN family that consist of two gates such as update gate and reset gate was proposed by (Cho *et al.*, 2014) and is the latest version of complex LSTM cell architecture. GRU contains three layers and fewer parameters that explained by very simple set of equations, thus need significantly less computational power. These layers are input layer, hidden layer and output layer, which are used for learning statistical features more efficiently (Xing *et al.*, 2019). Text data is high dimensional data that has lot of features. A single layer cannot extract informative features from the raw data. Therefore, in recent studies on deep learning, researchers have used multiple layers to extract the most useful features from the raw data. GRU are commonly used as the similar to other types of RNN nodes, particularly when there exist some noise in the input data where usually other algorithms fail to classify the data points.

The aim of LSTM and GRU is to classify data based on previous time step but the working mechanism is very minor different in both. LSTM structure consists of three gates and more complex than GRU while the GRU is a latest and simple model that consists of two gates such as update gate and reset gate. Update gate decides to help the model that how much of the past information through previous time step t should be updated and pass to the future. While reset gate has the opposite functionality as compared to update gate, it applies to decide how much of the past information from the previous hidden state can be ignore in the conventional GRU model. In the natural language processing, reset gate may occur when transferring from one text to another one which is not found the semantically interrelated values. In these conditions, it is convenient to reset the stored memory in order to prevent taking a decision regarding an unrelated history. Although, GRU is one of the most effective approach has applied for solving various types of text classification problems. Many previous researchers have worked on accuracy and performance for

text classification using GRU but still there are some gaps and drawbacks associated with standard GRU and there is much work needed to improve the existing GRU.

The main purpose of this research is to modify the standard GRU structure in order to reduce the complexity and improve the performance. Particularly, the main contribution of this research is three-folded: Firstly, to enhance the performance of GRU model with Auto Encoder for dimensionality reduction to solve text classification problems. This problem is the incapability of the GRU to capture the features set with some useful information. Secondly, this research evaluates to replace the reset gate with update gate in the standard GRU network design. Similarly to (Zhou *et al.*, 2016), have found that to removing reset gate does not significantly impact the system performance. Thirdly, the integration of Batch Normalization method in the training phase of the model refers to normalize the fluctuations in the nodes values during each iteration and minimize the loss function. Finally this research replaces the hyperbolic tangent activation function (tanh) with Rectified Linear Unit (Relu) activation in candidate equation. Relu units have been demonstrated to be better performance than sigmoid non-linearities for deep learning approaches.

1.2 Problem Statement

Examining multiclass text classification issue is one of the most complex problems in machine learning. It is mainly due to the fact that there are several similarities in the feature set of all the targeted classes (Raziff *et al.*, 2017). This similar behavior in different classes of the text data make it a difficult task for classifiers to distinguish between different classes. Several approaches have been proposed and methods have been developed but all of these algorithms suffer from different types of drawbacks and still there is much work needed to be done in this area to develop issue independent and efficient algorithms for solving classification issues (Nikam, 2015). In order to improve the capability of text classification algorithms, the properties of feature reduction and classification stage are targeted. In the most specific format, the motivational factors for this research are those properties of multiclass classification algorithms that directly affect the solution quality of a technique when solving these issues.

Additionally, this research work has targeted different issues associated with a text classification technique in order to enhance its performance. Although GRU is one of the most powerful approach applied for solving various types of text classification problems, but still some drawbacks are associated with this algorithm which needs proper attention to develop a technique that leads to a problem independent and high quality solution generation for solving these complicated issues. Same as other text classification models, GRU perform the text classification task in three major stages namely features extraction, feature reduction and classification. The first drawback associated with standard GRU is its failure in application independent data dimensionality reduction according to input data (Hao *et al.*, 2019). The result of this failure is the incapability of the technique to captures the finer details for possessing the useful information. Resultantly, it leads to low quality solution of the text classification issue. Secondly, based on experiment, the drawback was found to addresses the redundancy and complexity in the standard GRU structure for solving the multiclass text classification. The main reason behind this failure is the redundancy between the update gate and reset gate during the training phase. Similarly (Zhou *et al.*, 2016), found that removing reset gate does not significantly impact the system accuracy, due to the redundancy between the functionality of update and reset gates. This issue is the incapability of the GRU to the repetition of function in both reset and update gate. Finally, the third issue is concerned to RNN such as GRU when it combines with other classification techniques for solving text classification problems, the technique may still find difficulty in providing the most accurate results. The reason behind of this failure is the high computational cost and loss of informative features in the training process, when they are applied in their standard form (Davidson, 2016), (Justus *et al.*, 2019).

Therefore, three problems are the target of this research activity that are related to the standard operational steps of GRU that include: a) the failure in data dimensionality reduction that cause difficulty for the technique to capture the finer details possessing the useful information: b) redundancy and complexity between the update gate and reset gate in the standard GRU design and c) The failure of the nodes complexity and loss of informatics features in the training process. These three problems result in low quality solution of the multi class classification issues in the terms of accuracy.

1.3 Research Objectives

The main purpose of this research is to enhance and develop GRU based on AE for solving the text classification problems. This research focuses on Auto Encoder, Batch Normalization (BN) and replacing the reset gate with update gate in GRU design. In addition, this research work also seeks to find a better network architecture in order to improve the accuracy, with less execution time and computational cost.

In order to solve the aforementioned issues associated with standard GRU, following objectives have been set to achieve from the proposed work:

- (i) To propose an enhanced Gated Recurrent Unit (GRU) with an Auto Encoder (E-GRU) for solving dimensionality reduction problems.
- (ii) To replace reset gate with an update gate in (i) in order to reduce its complexity and redundancy, and called as ES-GRU.
- (iii) To integrate batch normalization in the training phase of ES-GRU in order to boost up the training for improving the performance of ES-GRU.
- (iv) To evaluate and compare the out-of-sample performance of the proposed ES-GRU with the baseline approaches for text classification

1.4 Research Scope

The proposed Gated Recurrent Unit with Auto Encoder method of this research work applied for solving multiclass text classification issues. The proposed model evaluated on seven benchmark texts datasets including: 20newsgroup, Reuters21578, Amazon reviews, AG's news, IMDB, yahoo answers and Yelp reviews. All the benchmark datasets are available online repositories (Zhang *et al.*, 2018). For analyzing and testing, Softmax classifier was used as a final classification layer in the proposed model. In the comparative analysis of the proposed model, six well-known standard text classification approaches including standard GRU, standard AE, LSTM, CNN, SVM and Naïve Bayes were used.

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