José Luis Vicedo Patricio Martínez-Barco Rafael Muñoz Maximiliano Saiz Noeda (Eds.)

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# Advances in Natural Language Processing

4th International Conference, EsTAL 2004 Alicante, Spain, October 2004 Proceedings



José Luis Vicedo Patricio Martínez-Barco Rafael Muñoz Maximiliano Saiz Noeda (Eds.)

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4th International Conference, EsTAL 2004 Alicante, Spain, October 20-22, 2004 Proceedings





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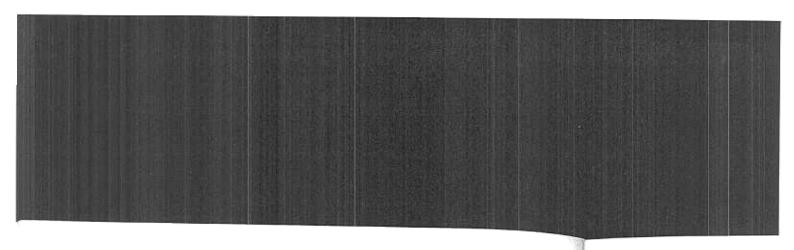
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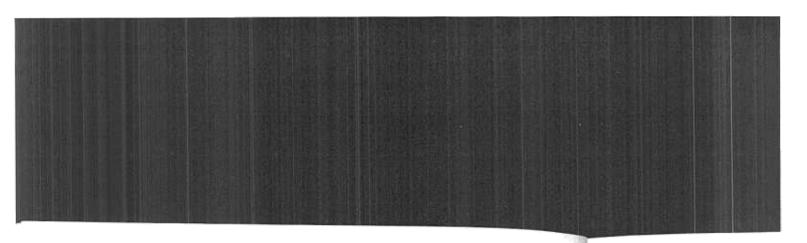
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October 2004



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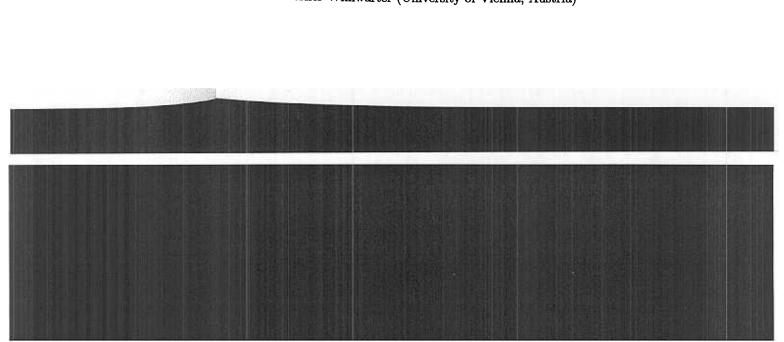
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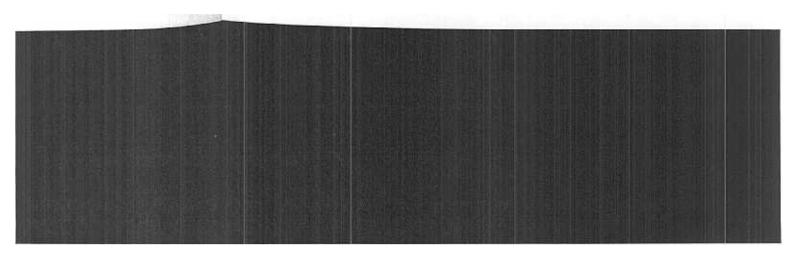
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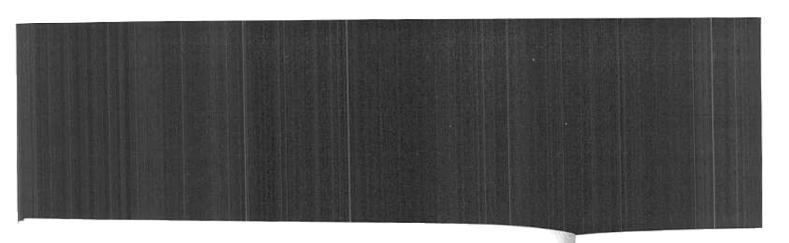


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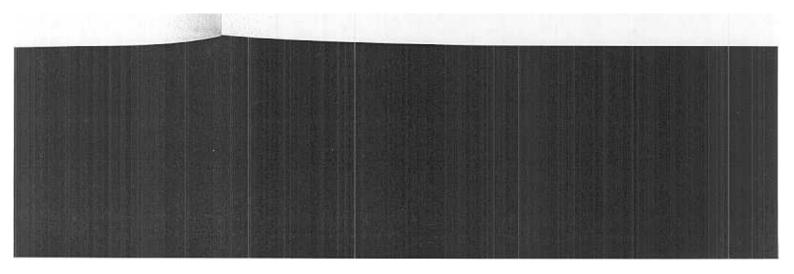


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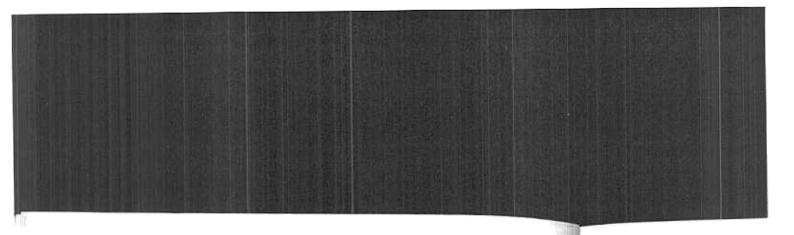


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# Adaptive One-A

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## 1 Introduction

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# Adaptive Selection of Base Classifiers in One-Against-All Learning for Large Multi-labeled Collections

Arturo Montejo Ráez<sup>1</sup>, Luís Alfonso Ureña López<sup>2</sup>, and Ralf Steinberger<sup>3</sup>

- European Laboratory for Nuclear Research, Geneva, Switzerland
   Department of Computer Science, University of Jaén, Spain
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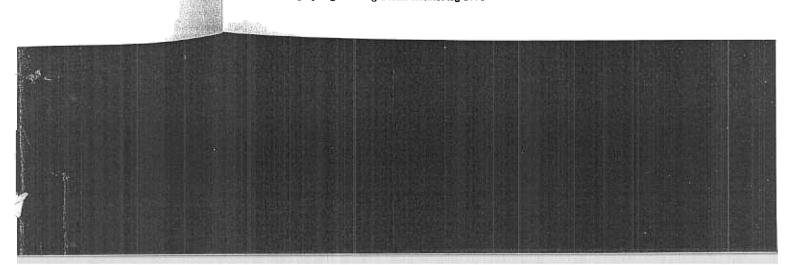
Abstract. In this paper we present the problem found when studying an automated text categorization system for a collection of High Energy Physics (HEP) papers, which shows a very large number of possible classes (over 1,000) with highly imbalanced distribution. The collection is introduced to the scientific community and its imbalance is studied applying a new indicator: the *inner imbalance degree*. The one-against-all approach is used to perform multi-label assignment using Support Vector Machines. Over-weighting of positive samples and S-Cut thresholding is compared to an approach to automatically select a classifier for each class from a set of candidates. We also found that it is possible to reduce computational cost of the classification task by discarding classes for which classifiers cannot be trained successfully.

# 1 Introduction

The automatic assignment of keywords to documents using full-text data is a subtask of *Text Categorization*, a growing area where Information Retrieval techniques and Machine Learning algorithms meet offering solutions to problems with real world collections.

We can distinguish three paradigms in text categorization: the binary case, the multi-class case and the multi-label case. In the binary case a sample either belongs or does not belong to one of two given classes. In the multi-class case a sample belongs to just one of a set of m classes. Finally, in the multi-label case, a sample may belong to several classes at the same time, that is, classes are overlapped. In binary classification a classifier is trained, by means of supervised algorithms, to assign a sample document to one of two possible sets. These sets are usually referred to as belonging (positive) or not belonging (negative) samples respectively (the one-against-all approach), or to two disjoint classes (the one-against-one approach). For these two binary classification tasks we can select among a wide range of algorithms, including Naïve Bayes, Linear Regression, Support Vector Machines (SVM) [8] and LVQ [11]. SVM has been reported to outperform the other algorithms. The binary case has been set as a base case from which the two other cases are derived. In multi-class and multi-label assignment,

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#### 2 A. Montejo Ráez et al.

the traditional approach consists of training a binary classifier for each class, and then, whenever the binary base case returns a measure of confidence on the classification, assigning either the top ranked one (multi-class assignment) or a given number of the top ranked ones (multi-label assignment). More details about these three paradigms can be found in [1]). We will refer to the ranking approach as the *battery* strategy because inter-dependency is not taken into consideration.

Another approach for multi-labeling consists of returning all those classes whose binary classifiers provide a positive answer for the sample. It has the advantage of allowing different binary classifiers for each class, since inter-class scores do not need to be coherent (since there is no ranking afterwards). Better results have been reported when applying one-against-one in multi-class classification [1], but in our multi-label case this is not an option because any class could theoretically appear together with any other class, making it difficult to establish disjoint assignments. This is the reason why one-against-all deserves our attention in the present work.

Although classification is subject to intense research (see [18]), some issues demand more attention than they have been given so far. In particular, problems relating to *multi-label* classification would require more attention. However, due to the lack of available resources (mainly multi-labeled document collections), this area advances more slowly than others. Furthermore, multi-label assignment should not simply be studied as a general multi-class problem (which itself is rather different from the binary case), but it needs to be considered as a special case with additional requirements. For instance, in multi-label cases, some classes are inter-related, the degree of imbalance is usually radically different from one class to the next and, from a performance point of view, the need of comparing a sample to every single classifier is a waste of resources.

#### 2 The Class Imbalance Problem

Usually, multi-labeled collections make use of a wide variety of classes, resulting in an unequal distribution of classes throughout the collection and a high number of rare classes. This means not only that there is a strong imbalance between positive and negative samples, but also that some classes are used much more frequently than other classes. This phenomenon, known as the *class imbalance problem*, is especially relevant for algorithms like the C4.5 classification tree [4, 3] and margin-based classifiers like SVM [16, 20, 7].

Extensive studies have been carried out on this subject as reported by Japkowicz [7], identifying three major issues in the class imbalance problem: concept complexity, training set size and degree of imbalance. Concept complexity refers to the degree of "sparsity" of a certain class in the feature space (the space where document vectors are represented). This means that a hypothetical clustering algorithm acting on a class with high concept complexity would establish many small clusters for the same class. Regarding the second issue, i.e. the lack of a significantly large training sets, the only possible remedy is the usage of

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n is the total number  $n_i$  is the total number

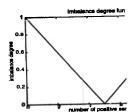


Fig. 1. The linear 'in gree' function

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We define the *inner imbalance degree* of a certain class i as a measure of the positive samples over the total of samples:

$$i_i = |1 - 2n_i/n| \tag{1}$$

where

n is the total number of samples and  $n_i$  is the total number of samples having the class i in their labels.

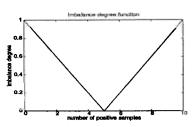
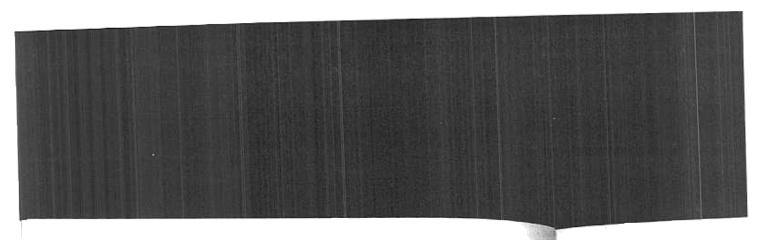


Fig. 1. The linear 'imbalance degree' function

Japkowicz' definition of imbalance degree helps in the generation of artificial distributions of documents to classes. Its value does not lie within a defined range, which makes it difficult to manipulate and compare with the degree of other classes in different partitions. The value proposed in equation 1 is zero for perfectly balanced classes, i.e. when the number of positive and negative samples are the same. It has a value of 1 when all samples are either positive or negative for that class. Its linear behavior is shown in figure 1 and, as we can see, it varies within the range [0,1].

#### 3 The HEP Collection

A very suitable document set for multi-label categorization research is the HEP collection of preprints, available from the European Laboratory for Nuclear Research. Some experiments have been carried out using this collection ([13, 12]), and its interesting distribution of classes allows us to carry out a number of experiments and to design a new approach. An analysis of the collection has shown that there is the typical high level of imbalance among classes. If a given class is rarely represented in a collection, we can intuitively foresee a biased training



#### 4 A. Montejo Ráez et al.

that will yield classifiers with a low performance. It is clear that, if the collection were perfectly balanced, we could expect better categorization results, due to better learning.

The hep-ex partition of the HEP collection is composed of 2802 abstracts related to experimental high-energy physics that are indexed with 1093 main keywords (the categories). Figure 2 shows the distribution of keywords across the collection.

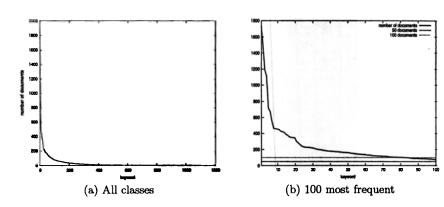


Fig. 2. Distribution of classes across documents in the hep-ex partition

As we can see, this partition is very imbalanced: only 84 classes are represented by more than 100 samples and only five classes by more than 1000. The uneven use is particularly noticeable for the ten most frequent keywords: In table 1 the left column shows the number of positive samples of a keyword and the right column shows the percentage over the total of samples in the collection.

We can now study this collection applying the inner imbalance degree measure defined

Table 1. The ten most frequent main keywords in the hep-ex partition

No. docs.	
1898 (67%)	electron positron
	experimental results
1478 (52%)	magnetic detector
1190 (42%)	quark
1113 (39%)	talk
715 (25%)	<b>Z</b> 0
676 (24%)	anti-p p
551 (19%)	neutrino
463 (16%)	w
458 (16%)	

in equation 1. The two graphs in figures 3a and 3b show the inner imbalance degree for the main keywords in the hep-ex partition. We can notice how fast

the imbalance grows to the ten most frequent of classes 0 and 1 are morof imbalance in the who table 1, this class has all From class 3 onwards, t

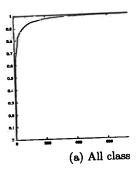


Fig. 3. Imba

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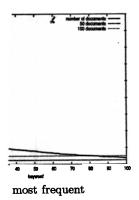
Some algorithms work to for positive samples is sit is balanced across the chighly imbalanced. This document sets like the CTREC [5], and for the daccording to the EURC extensively for automat variety of parameters in one class or to another

The question now is binary learners that arniques like over-sampliwould lead to an overlo

<sup>&</sup>lt;sup>1</sup> We did not consider the keywords related to reaction and energy because they are based on formulae and other specific data that is not easily identifiable in the plaintext version of a paper.

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hep-ex partition

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ow the inner imbalance We can notice how fast

d energy because they are ly identifiable in the plainthe imbalance grows to a total imbalance degree of almost 1. When looking at the ten most frequent classes, we can see the effect of our degree estimation: classes 0 and 1 are more imbalanced than class 2, which gets the lowest degree of imbalance in the whole set of classes. It is due to the fact that, as shown by table 1, this class has almost the same number of positive and negative samples. From class 3 onwards, the imbalance then grows dramatically.

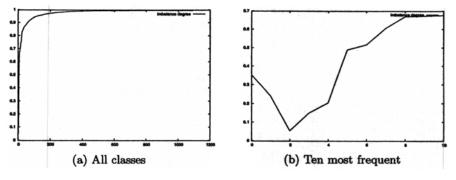


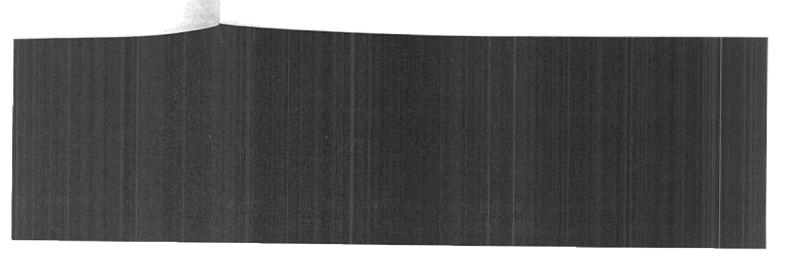
Fig. 3. Imbalance degree of classes in the hep-ex partition

When training binary classifiers for these keywords, we realized that the performance decreases strongly with growing imbalance degree. To correct document distribution across classes, we can use over-sampling (or under-sampling) or tune our classifiers accordingly. For example, for SVM we can set a cost factor, by which training errors on positive samples out-weights errors on negative samples [14]. We will use this in our experiments.

# 4 Balance Weighting and Classifier Filtering

Some algorithms work better when, in the one-against-all approach, the number of positive samples is similar to the number of negative ones, i.e. when the class is balanced across the collection. However, multi-label collections are typically highly imbalanced. This is true for the HEP collection, but also for other known document sets like the OHSUMED medical collection used in the filtering track of TREC [5], and for the document collection of the European Institutions classified according to the EUROVOC thesaurus. This latter collection has been studied extensively for automatic indexing by Pouliquen et. al. (e.g. [2]), who exploit a variety of parameters in their attempt to determine whether some terms refer to one class or to another in the multi-labeled set.

The question now is how to deal with these collections when trying to apply binary learners that are sensitive to high imbalance degrees. We can use techniques like over-sampling and under-sampling, as pointed out earlier, but this would lead to an overload of non-informational samples in the former case, and



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to the loss of information in the second case. Furthermore, concept complexity has also its effects on binary classifiers. We have not paid attention to this fact since it is out of the scope of the present study, but we should consider this to be yet another drawback for collections indexed with a large number of non-balanced classes.

In our experiments we basically train a system using the battery strategy, but (a), we allow tuning the binary classifier for a given class by a balance factor, and (b) we provide the possibility of choosing the best of a given set of binary classifiers. At CERN, we intend to apply our classification system to real-time environments so that a gain in classification speed is very important. Therefore, we have introduced a parameter  $\alpha$  in the algorithm, resulting in the updated version given in figure 4. This value is a threshold for the minimum performance of a binary classifier during the validation phase in the learning process. If the performance of a certain classifier is below the value  $\alpha$ , meaning that the classifier performs badly, we discard the classifier and the class completely. By doing this, we may decrease the recall slightly (since less classes get trained and assigned), but the advantages of increased computational performance and of higher precision compensate for it. The effect is similar to that of the SCutFBRproposed by Yang [21]. We never attempt to return a positive answer for rare classes. In the following, we show how this filtering saves us considering many classes without significant loss in performance.

We allow over-weighted positive samples using the actual fraction of positive samples over negative ones, that is, the weight for positive samples  $(w_+)$  is:

$$w_{+} = C_{-}/C_{+} \tag{2}$$

where

 $C_{-}$  is the total number of negative samples for the class  $C_{+}$  is the total number of positive samples for the class

As we can see, the more positive documents we have for a given class, the lower the over-weight is, which makes sense in order to give more weight only when few positive samples are found. This method was used by Morik et al. [14] but they did not report how much it improved the performance of the classifier over the non-weighted scheme. As we said, this  $w_+$  factor was used in our experiments to over-weight positive samples over negative ones, i.e. the classification error on a positive sample is higher than that of a negative one.

We also considered the S-Cut approach. The assignation of a sample as positive can be tuned by specifying the decision border. By default it is zero, but it can be set using the S-Cut algorithm [21]. This algorithm uses as threshold the one that gives the best performance on an evaluation set. That is, once the classifier has been trained, we apply it against an evaluation set using as possible thresholds the classification values (the margin for SVM). The threshold that reported the best performance (the highest F1 in our case) will be used.

Input: a set of multi-labeled a set of validation doc a threshold  $\alpha$  on the e a set of possible label a set of candidate bins Output: a set  $C' = \{c_1, ..., c_k, ...$ Pseudo code:  $C' = \emptyset$ for-each  $l_i$  in L do  $T = \emptyset$ for-each  $c_i$  in C do train-classifier(c  $T = T \cup \{c_j\}$ end-for-each  $c_{best} = best-classifi$ if evaluate-classifier  $C' = C' \cup \{c_{best}\}$ end-if end-for-each

Fig. 4. The one-

# 5 Experiments

#### 5.1 Data Preparat

The collection consists of Each abstract was proc

- Punctuation was re
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<sup>&</sup>lt;sup>2</sup> SVM-Light is available

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ave for a given class, the to give more weight only was used by Morik et al. I the performance of the this  $w_+$  factor was used ver negative ones, i.e. the that of a negative one. nation of a sample as posBy default it is zero, but gorithm uses as threshold tion set. That is, once the lation set using as possible VM. The threshold that case) will be used.

```
Input:
   a set of multi-labeled training documents D_t
   a set of validation documents D_v
   a threshold \alpha on the evaluation measure
   a set of possible label (classes) L,
   a set of candidate binary classifiers C
   a set C' = \{c_1, ..., c_k, ..., c_{|L|}\} of trained binary classifiers
Pseudo code:
   C' = \emptyset
   for-each l_i in L do
       T = \emptyset
       for-each c_j in C do
           train-classifier(c_j, l_i, D_t)
          T = T \cup \{c_j\}
       end-for-each
       c_{best} = best-classifier(T, D_v)
       if evaluate-classifier (c_{best}) > \alpha
           C' = C' \cup \{c_{best}\}
       end-if
   end-for-each
```

Fig. 4. The one-against-all learning algorithm with classifier filtering

# 5 Experiments and Results

#### 5.1 Data Preparation

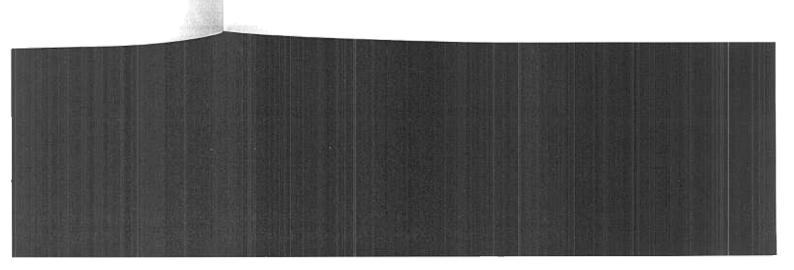
The collection consists of 2967 full-text abstracts linked to 1103 main keywords. Each abstract was processed as follows:

- Punctuation was removed
- Every character was lowercased
- Stop words were removed
- The Porter stemming algorithm [15] was applied
- Resulting stems were weighted according to the TF.IDF scheme [17]

After processing the collection in this way, we trained the system applying each strategy using the SVM- $Light^2$  package as the base binary classifier. We also filtered out classes not appearing in any document either in the training, validation or test sets, reducing the number of classes to 443.8 on average. Results are shown at the end of this section.

For the evaluation in experiments, ten-fold cross validation [9] was used in order to produce statistically relevant results that do not depend on the

<sup>&</sup>lt;sup>2</sup> SVM-Light is available at http://svmlight.joachims.org/



partitioning of the collection into training, validation and test sets. Extensive experiments have shown that this is the best choice to get an accurate estimate. The measures computed are precision and recall. The  $F_1$  measure (introduced by Rijsbergen [19] a long time ago) is used as an overall indicator based on the two former ones and is the reference when filtering is applied. Also accuracy and error measurements are given for later discussion. The final values are computed using macro-averaging on a per-document basis, rather than the usual micro-averaging over classes. The reason is, again, the high imbalance in the collection. If we average by class, rare classes will influence the result as much as the most frequent ones, which will not provide a good estimate of the performance of the multi-label classifier over documents. Since the goal of this system is to be used for automated classification of individual documents, we consider it to be far more useful to concentrate on these measurements for our evaluation of the system. More details about these concepts can be found in [18], [10] and [22].

#### 5.2 Results

Table 2 shows the results of ten runs of our multi-label classifier with different configurations. The highest values of  $F_1$  are reached when letting the system choose among fixed values for over-weighting positive samples (2, 5, 10 and 20). These are the results when applying the algorithm of figure 4 with  $\alpha = 0.0$ , i.e. no filtering over classifiers is done.

Table 2. Results of experiments using SVM

Experiment	Precision	Recall	F1	Accuracy	Error	% of classes covered
No weight	74.07	33.96	43.92	98.23	1.77	33.96
No weight / Scut	74.26	34.44	44.38	98.24	1.76	99.95
Overweight 20	51.47	45.84	46.50	97.71	2.29	57.32
Auto weight	58.10	44.39	48.09	97.94	2.06	58.09
Overw. 2,5,10,20 / Scut	71.74	39.92	48.47	98.25	1.75	100.00
Auto weight / Scut	58.03	45.30	48.56	97.89	2.11	99.82
Overweight 2	70.74	40.45	48.78	98.21	1.79	53.36
Overweight 5	64.56	43.57	49.40	98.11	1.89	57.19
Overweight 10	62.30	45.22	50.14	98.08	1.92	57.30
Overw. 2,5,10,20	65.89	44.59	50.53	98.17	1.83	57.53

We see that the top recall reached does not imply having more classes trained. Therefore we may want to study how we can reduce the number of classes trained to speed up the classification process without loosing too much in performance. For that purpose, we experimented with different values of  $\alpha$ , as shown in tables 3 and 4.

Table 3. Results of

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Table 4. Results of expe

α
Precision
Recall
$F_1$
Accuracy
Error
% classes train

#### 5.3 Analysis

Interesting conclusions notice is that recall is lov existence of rare and, the label classifier, we see tha recall. The  $F_1$  measure r different configurations, result is that, even wher total of classes involved trained varies widely), i of the classifier. We can is the reason for the desi that S-Cut and auto-we also notice, accuracy as parameters, but this is: for the most frequent or sophisticated configurat

When discarding classes not being trained better  $F_1$  than without those of tables 3 and 4. classes without affecting classifier. Figures 5a and is, the more classes are  $G_1$ 

and test sets. Extensive et an accurate estimate.  $F_1$  measure (introduced I indicator based on the applied. Also accuracy The final values are commander than the usual I e high imbalance in the sence the result as much I destimate of the performents for our evaluation I per forments I for I and I are the same statements I and I and I and I and I and I are the same statements I and I and I and I and I and I and I are the same statements I and I and I and I and I are the same statements I and I and I and I are the same statements I are the same statements I and

el classifier with different when letting the system samples (2, 5, 10 and 20). figure 4 with  $\alpha = 0.0$ , i.e.

g SVM

1	Error	% of classes covered
1	1.77	33.96
11	1.76	99.95
	2.29	57.32
l	2.06	58.09
E	1.75	100.00
į	2.11	99.82
Ĺ	1.79	53.36
į	1.89	57.19
3	1.92	57.30
7	1.83	57.53

varing more classes trained. The number of classes trained too much in performance. The state of  $\alpha$ , as shown in tables

Table 3. Results of experiments using multi-weighted SVM with filtering

α	0.0	0.1	0.2	0.3	0.4	0.5	0.6	0.7
Precision	65.89	70.04	70.41	70.88	71.90	71.96	71.02	67.96
Recall		44.49						
$F_1$		51.59						
Accuracy		98.25						
Error	1.83	The state of						
% classes trained	57.53							

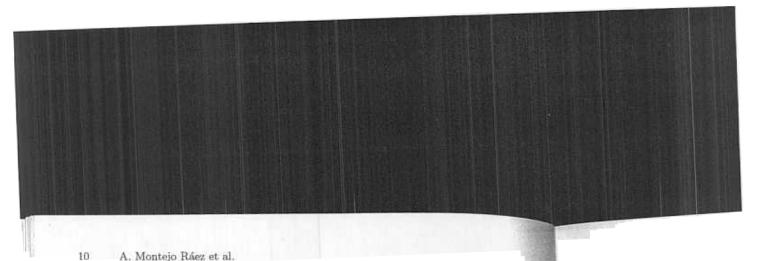
Table 4. Results of experiments using auto-weighted S-Cut thresholded SVM with filtering

α	0.0	0.1	0.2	0.3	0.4	0.5	0.6	0.7
Precision	58.03	62.47	64.84	67.45	69.47	71.19	71.14	68.24
Recall	45.30	45.04	44.83	44.24	42.76	39.59	34.43	24.88
$F_1$	48.56	49.93	50.47	50.75	50.27	48.37	44.10	34.76
Accuracy	97.89	98.06	98.14	98.20	98.23	98.22	98.17	98.05
Error	2.11	1.94	1.86	1.80	1.77	1.78	1.83	1.95
% classes trained	99.82	85.30	77.10	68.47	55.74	42.34	30.82	16.72

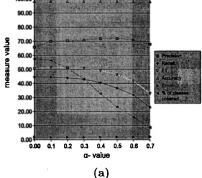
#### 5.3 Analysis

Interesting conclusions can be drawn from the tables above. The first thing we notice is that recall is low compared to precision. This is normal if we consider the existence of rare and, therefore, difficult-to-train classes. When tuning our multilabel classifier, we see that variations in precision are more representative than for recall. The  $F_1$  measure remains quite stable: throughout all the experiments with different configurations, the most we gain is 6.61%. However, a very important result is that, even when some configurations are able to train up to 100% of the total of classes involved (we can see how the percentage of classes successfully trained varies widely), it does not influence that much the overall performance of the classifier. We can conclude that rare classes are not worth training. This is the reason for the design of our filtering algorithm. Furthermore, it is not clear that S-Cut and auto-weighting strategies are so relevant for our data. As we can also notice, accuracy and error are not very sensitive to the variations of our parameters, but this is again due to imbalance: most of the classes are rare and for the most frequent ones we get high precision and recall, even with not very sophisticated configurations.

When discarding classes, we obviously gain in precision and, despite more classes not being trained, we do not lose that much in recall. The result is a better  $F_1$  than without discarding, as shown by F1 values in 2 compared to those of tables 3 and 4. We can see how strongly we can reduce the number of classes without affecting significantly the overall performance of the multi-label classifier. Figures 5a and 5b visualize the behavior described. The bigger our  $\alpha$  is, the more classes are discarded. From all the test runs, the best value of  $F_1$  was







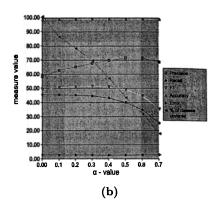


Fig. 5. Influence of filtering on (a) multi-weighted SVM and (b) auto-weighted with S-cut thresholding

obtained with an  $\alpha$  value of 0.1 and using candidate classifiers with over-weights 2, 5, 10 and 20 for positive classes. From the graphs we can see that increasing  $\alpha$  yields to a higher precision up to a maximum from which the threshold will be so restrictive that even good classifiers are discarding and, therefore, the precision starts to decrease accordingly. Thus, our choice of  $\alpha$  will depend on our preference of precision over recall and our need of reducing classes for faster classification. If we are able to discard non-relevant (rarely used) classes, we can almost maintain our performance classifying against a lower number of classes.

#### 6 Conclusions and Future Work

We have presented a new collection for multi-label indexing. The hep-ex partition can be obtained by contacting the authors. A calculus for measuring the imbalance degree has been proposed, along with a study of the overweight of positive classes on this collection using SVM and the application of S-Cut. The results show that this is a relevant issue, and that an imbalance study of any multi-label collection should be carried out in order to properly select the base binary classifiers. Another promising issue would be to work on other aspects of imbalance like *concept complexity* [6]. We have started investigating this topic by working with "concepts" rather than with terms in order to reduce the term space. By doing this, we would cover the main drawbacks of imbalanced collections.

Filtering by classification thresholding is very effective to reduce the number of classes involved in multi-label classification. Without forcing expensive tuning of the threshold, we propose to provide a range of  $\alpha$  values and let the algorithm choose the classifier with the best behavior.

One of the disadvantages using the battery approach is its computational cost, since we have to launch every classifier for a sample. However, SVM is

quite selective, not bein conflictive classes. This performance. We have sl significantly in precision

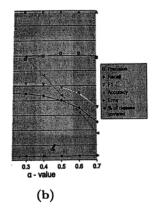
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# 7 Acknowledgm

This work has been par grant TIC2003-07158-C

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quite selective, not being trainable in many cases, discarding in this way many conflictive classes. This reduces the computation without loosing too much in performance. We have shown that, by increasing the selectivity, we can even gain significantly in precision without loosing too much in recall.

One multi-label collection issue we have not considered is inter-class dependency. In some preliminary analysis we found that the correlation among classes is relevant enough to be considered. We could actually benefit from such a correlation to speed up the classification process, by discarding those classes not correlated to the ones we have already found relevant. This relation could probably be used to fight one of the drawbacks found: our recall is very low compared to the precision. If we were able to select those classes that are highly correlated with classes assigned with high precision, we might gain in recall. This will need further investigation.

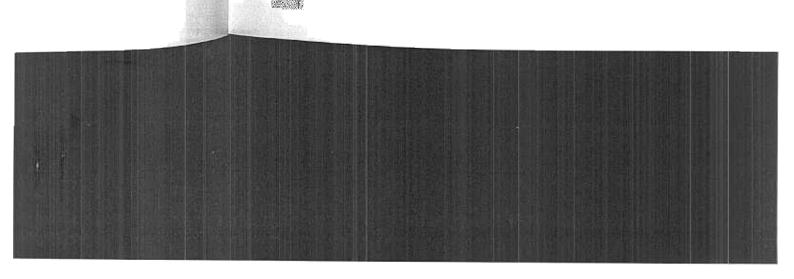
# 7 Acknowledgments

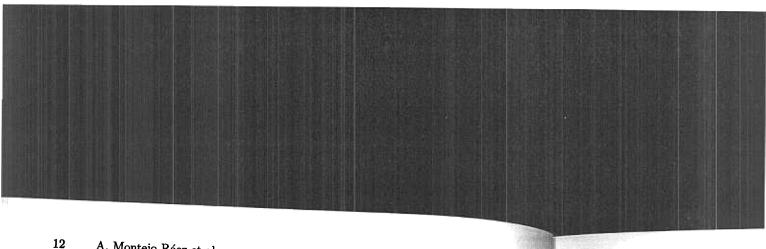
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# 1 Introduction

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Furthermore, we had a large Japanese German large knowledge base avail is in conflict with our nequality of today's large of translations.

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J. L. Vicedo et al. (Eds.): EsTA © Springer-Verlag Berlin Heidel