# The 4th NUSYS Summer School Zhuhai, 2024.07.27-08.02

# Introduction to machine learning in nuclear physics

Zhongming Niu

# School of Physics and Optoelectronic Engineering, Anhui University

2024.07.29-30



# Outline

Introduction

# Bayesian neural network approach

- $\star$  Bayesian approach
- **★ Neural network** (Tensorflow Playground, 1stOpt, PyTorch)

**★** Bayesian neural network (flexible Bayesian modeling software)

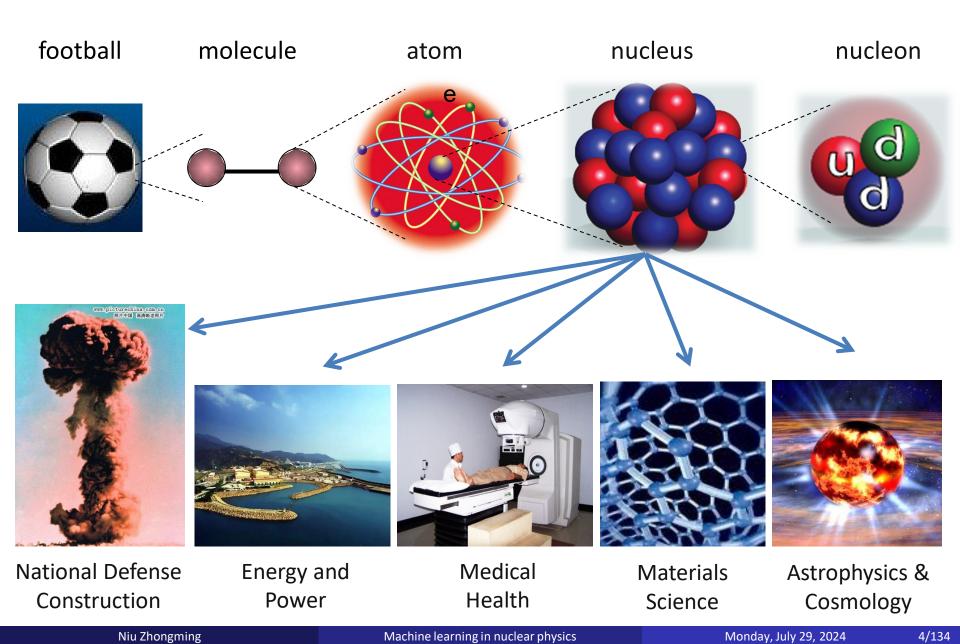
- Results and discussion
  - $\star$  Nuclear masses
  - **\star** Nuclear  $\beta$ -decay half-lives
  - $\star$  Some other results
- Summary and perspectives

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# Outline

# Introduction

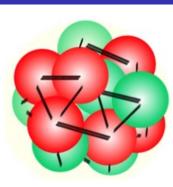
- 2 Bayesian neural network approach
  - ★ Bayesian approach
  - ★ Neural network
  - ★ Bayesian neural network
- Results and discussion
  - ★ Nuclear masses
  - **\star** Nuclear  $\beta$ -decay half-lives
  - $\star$  Some other results
- Summary and perspectives

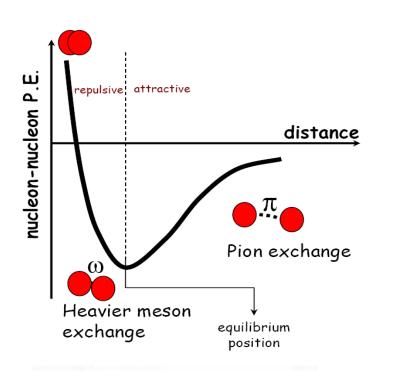


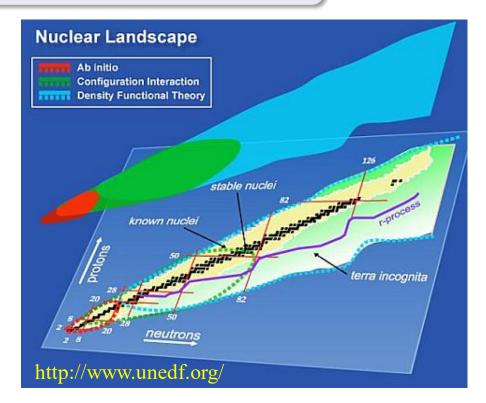
# Nuclear physics

The nucleus is a quantum many-body system consisting of protons and neutrons bounded by strong interactions.

★ Nuclear force: realistic nuclear force, effective nuclear force
 ★ Nuclear many-body method: ab initio, shell model, density
 functional theory







# Nuclear physics

## Nuclear data:

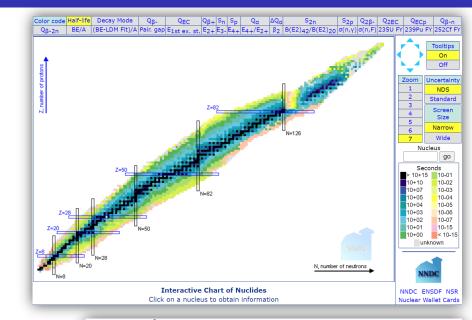
- Masses: ~2500
   AME2020: Wang2021CPC
- Charge radii: ~1000

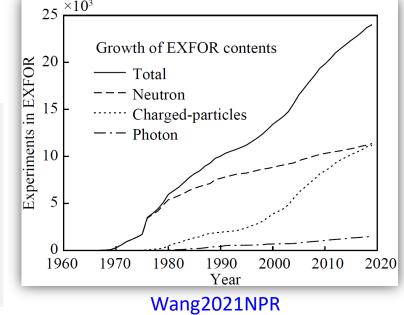
#### Angeli2013ADNDT

- Low-lying states: ~400, 900, 800, ...
  0<sup>+</sup><sub>2</sub>, 2<sup>+</sup><sub>1</sub>, 4<sup>+</sup><sub>1</sub>, ... http://www.nndc.bnl.gov/
- Half-lives: ~3000 NUBASE2020: Kondev2021CPC
- Nuclear reaction database EXFOR: ~25000 https://www-nds.iaea.org/exfor/

#### Widely used databases

China: CENDL: http://www.nuclear.csdb.cn/ USA: ENDF: http://www.nndc.bnl.gov/ Japan: JENDL: http://wwwndc.jaea.go.jp/ Europe: JEFF: http://www.oecd-nea.org/ Russia: BROND: http://www-nds.iaea.org/



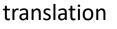


# Machine learning



game of go







autonomous car

voice recognition

### Machine learning in nuclear physics

- > (D)NN: (Deep) Neural Network
- > **BNN**: Bayesian Neural Network
- > CNN: Convolutional Neural Network
- > MDN: Mixture Density Network
- > (B)GP: (Bayesian) Gaussian Processes
- CGP: Constrained Gaussian Processes
- > **DT**: Decision Tree
- > **NBP**: Naive Bayesian Probability Classifier
- SVM: Support Vector Machines
- **RBF**: Radial Basis Function
- KRR: Kernel Ridge Regression
- CLEAN: CLEAN Image Reconstruction

## Nuclear structure:

## Masses:

NN: Gazula1992NPA, Athanassopoulos2004NPA, Bayram2014ANE, Zhang2017JPG, Ming2022NST (LZU),

Yuksel2021IJMPE, Li2022PRC (CCNU), Zeng2024PRC(BUAA); DT: Gao2021NST (HZU); NBP: Liu2021PRC (UPC)

BNN: Utama2016PRC, <u>Niu2018PLB, Niu2019PRC (AHU)</u>, Rodriguez2019EPL; BNN ( $Q_{\alpha}$ ): Rodriguez2019JPG;

BNN and BGP (S<sub>1n/2n</sub>): Neufcourt2018,2020PRC, Neufcourt2019PRL

SVM: Clark2006IJMPB; CLEAN: Morales2010PRC; KRR: Wu2020PRC,Wu2021PLB (PKU)

RBF: <u>Wang2011PRC (GXNU), Niu2013,2016, 2019PRC (AHU)</u>

## Nuclear spins and parities:

NN: Gernoth1993PLB; SVM: Clark2006IJMPB

## > Nucleon density:

NN: Yang2021PLB (IMPCAS); Shang2022NST(JLU)

### Magnetic moment:

BNN: Yuan2021CPC (JLU)

## Charge radii:

BNN: Utama2016JPG, Dong2022PRC (BUAA); CNN: Cao2023NST, Su2023Symmetry (FUDAN);

NN: Wu2020PRC (SCU); NBP: Ma2020PRC (UPC)

## Excited states:

NN (E(2<sup>+</sup><sub>1</sub>)): Akkoyuna2020arXiv; NN (excitation spectrum): Lasseri2020PRL, <u>Wang2022PLB (AHU)</u> NN (giant dipole resonance key parameters): <u>Bai2021PLB (LZU)</u>, <u>Wang2021PRC (SYSU)</u>

#### Nuclear decays and reactions:

 $\succ$   $\alpha$ -decay properties:

DT, NN ( $T_{\alpha}$ ): Saxena2021JPG, Ma2021CPC (LZU); GP ( $T_{\alpha}$  and  $Q_{\alpha}$ ): Yuan2022CPC (TJU); DNN ( $T_{\alpha}$ ): Li2022PRC (CCNU)

 $\succ$   $\beta$ -decay half-lives:

BNN: <u>Niu2019PRC (AHU)</u>; SVM, NN: Costiris2008arXiv; NN: Costiris2009PRC, <u>Li2022SSPMA (LZU)</u>

NN(P<sub>1n</sub>): <u>Wu2021PRC (SCU)</u>

> Fission yields:

BNN (yields): <u>Wang2019PRL,Qiao2021PRC (PKU)</u>; MDN(yields): Lovell2019EPJWC; NN (T<sub>sf</sub>): Lay2024PRC

Cross-sections in proton induced spallation reactions:

BNN: Ma2020CPC, Peng2022PRC (HTU)

- Neutron-nucleus scattering data: KRR: <u>Huang2022CTP (PKU)</u>; BNN: <u>Liang2021Thesis (GXNU)</u>
- Fusion reaction cross-sections: NN: Akkoyun2020NIMB
- Electron-nucleus cross sections: NN: Hammal2023PRC

#### Others:

- Optimization of model parameters: NN: Scamps2021EPJA
- > Extrapolation problems in ab initio method:

NN: Negoita2019PRC, Jiang2019PRC; CGP: Yoshida2020PRC

- DFT: NN: Hizawa2023PRC; NN+CNN: Yang2023PRC; KRR: <u>Wu2022PRCL (PKU)</u>
- ab initio calculation: Yang2022PLB, 2023PRC (PKU)

REVIEWS OF MODERN PHYSICS, VOLUME 94, JULY-SEPTEMBER 2022

#### Colloquium: Machine learning in nuclear physics

Amber Boehnlein , Markus Diefenthaler , Nobuo Sato, Malachi Schram , and Veronique Ziegler

Thomas Jefferson National Accelerator Facility, 12000 Jefferson Avenue, Newport News, Virginia 23606, USA

#### Cristiano Fanellio

Laboratory for Nuclear Science and Institute for Artificial Intelligence and Fundamental Interactions, Massachusetts Institute of Technology, Cambridge, Massachusetts 02139, USA

#### Morten Hjorth-Jensen@

Facility for Rare Isotope Beams and Department of Physics and Astronomy, Michigan State University, East Lansing, Michigan 48824, USA and Department of Physics and Center for Computing in Science Education, University of Oslo, N-0316 Oslo, Norway

#### Tanja Hom®

Department of Physics, The Catholic University of America, Washington, D.C. 20064, USA and Thomas Jefferson National Accelerator Facility, 12000 Jefferson Avenue, Newport News, Virginia 23606, USA

#### Michelle P. Kuchera

Department of Physics and Department of Mathematics and Computer Science, Davidson College, Davidson, North Carolina 28035, USA

#### Dean Lee , Witold Nazarewicz , and Peter Ostroumov

Facility for Rare Isotope Beams and Department of Physics and Astronomy, Michigan State University, East Lansing, Michigan 48824, USA

#### Kostas Orginos

Department of Physics, William & May, Williamsburg 23185, Virginia, USA and Thomas Jefferson National Accelerator Facility. 12000 Jefferson Avenue, Newport News, Virginia 23606, USA

#### Alan Poon<sup>®</sup> and Xin-Nian Wang

Nuclear Science Division, Lawrence Berkeley National Laboratory, 1 Cyclotron Road, Berkeley, California 94720, USA

#### Alexander Scheinker®

Accelerator Operations and Technology Division Applied Electrodynamics Group, Los Alamos National Laboratory, Los Alamos, New Mexico 87544, USA

#### Michael S. Smith 0

Physics Division, Oak Ridge National Laboratory, Oak Ridge, Tennessee, 37831-6354, USA

#### Long-Gang Pango

Key Laboratory of Quark and Lepton Physics, Institute of Particle Physics, Central China Normal University, Wuhan 430079, China

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Review

#### A.I. for nuclear physics

Paulo Bedaque<sup>1</sup>, Amber Boehnlein<sup>2,a</sup>, Mario Cromaz<sup>3</sup>, Markus Diefenthaler<sup>2</sup>, Latifa Elouadrhiri<sup>2</sup>, Tanja Horn<sup>4</sup>, Michelle Kuchera<sup>5</sup>, David Lawrence<sup>2</sup>, Dean Lee<sup>6</sup>, Steven Lidia<sup>6</sup>, Robert McKeown<sup>2</sup>, Wally Melnitchouk<sup>2</sup>, Witold Nazarewicz<sup>6</sup>, Kostas Orginos<sup>2,7</sup>, Yves Roblin<sup>2</sup>, Michael Scott Smith<sup>8</sup>, Malachi Schram<sup>9</sup>, Xin-Nian Wang<sup>3</sup>

- <sup>1</sup> University of Maryland, College Park, MD, USA
- <sup>2</sup> Thomas Jefferson National Accelerator Facility, Newport News, VA, USA
- <sup>3</sup> Lawrence Berkeley National Laboratory, Berkeley, CA, USA
- <sup>4</sup> Catholic University, Washington D.C., USA
- <sup>5</sup> Davidson College, Davidson, NC, USA
- <sup>6</sup> Michigan State University, East Lansing, MI, USA
- <sup>7</sup> College of William & Mary, Williamsburg, VA, USA
- <sup>8</sup> Oak Ridge National Laboratory, Oak Ridge, TN, USA
- <sup>9</sup> Pacific Northwest National Laboratory, Richland, WA, USA

#### SCIENCE CHINA Physics, Mechanics & Astronomy



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#### Machine learning in nuclear physics at low and intermediate energies

Wanbing He<sup>1,2\*</sup>, Qingfeng Li<sup>3,4\*</sup>, Yugang Ma<sup>1,2\*</sup>, Zhongming Niu<sup>5\*</sup>, Junchen Pei<sup>6,7\*</sup>, and Yingxun Zhang<sup>8,9\*</sup>

<sup>1</sup>Key Laboratory of Nuclear Physics and Ion-beam Application (MOE), Institute of Modern Physics, Fudan University, Shanghai 200433, China; <sup>2</sup>Shanghai Research Center for Theoretical Nuclear Physics, NSFC and Fudan University, Shanghai 200438, China; <sup>3</sup>School of Science, Huzhou University, Huzhou 313000, China; <sup>4</sup>Institute of Modern Physics, Chinese Academy of Sciences, Lanzhou 730000, China; <sup>5</sup>School of Physics and Optoelectronic Engineering, Anhui University, Hefei 230601, China; <sup>6</sup>State Key Laboratory of Nuclear Physics and Technology, School of Physics, Peking University, Beijing 100871, China; <sup>7</sup>Southern Center for Nuclear-Science Theory (SCNT), Institute of Modern Physics, Chinese Academy of Sciences, Huizhou 516000, China; <sup>8</sup>Department of Nuclear Physics, and Technology, Beijing 102413, China; <sup>9</sup>Guanexi Key Laboratory of Nuclear Physics, and Technologe, Guanexi Normal University, Guilin 541004, China

# **Bayesian neural network**

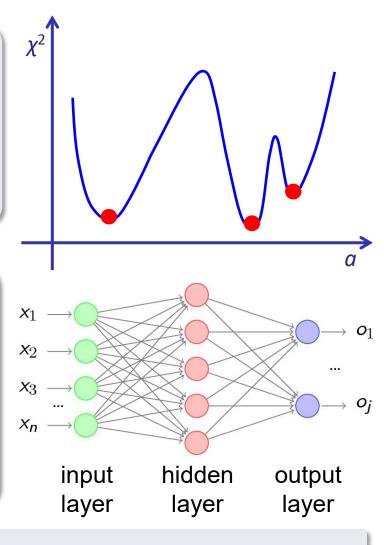
## Bayesian neural network:

- $\checkmark$  Avoid over fitting by using prior distribution
- ✓ Quantify uncertainty

✓ Automatically identify irrelevant inputs

- ✓ Powerful data fitting ability
- ✓ Predict unknown data
- ✓ Simple learning rules and hence easy for

## computer implementation



Introduction

Black-box algorithms, data hunger, time-consuming

# Introduction

	Phys	ics Letters B 778 (2018) 48–53						
ELSEVIER	Ph	lists available at ScienceDirect NYSICS Letters B elsevier.com/locate/physletb	PHYSICS LETTERS B					
with pairin	uss predictions based on g and shell effects <sup>-1</sup> 明) <sup>a,b</sup> , H.Z. Liang (梁豪兆) <sup>b,d</sup>	Bayesian neural network approach	Check for updates					
<sup>a</sup> School of Physic		PHYSICAL REVIEW C 99, 064307	(2019)					
Predictions of nuclear β-decay half-lives with machine learning and their impact on r-process nucleosynthesis         Z. M. Niu (牛中明), <sup>1,2</sup> H. Z. Liang (梁豪兆), <sup>3,4,*</sup> B. H. Sun (孙保华), <sup>5</sup> W. H. Long (龙文辉), <sup>6</sup> and Y. F. Niu (牛一斐) <sup>6,7</sup> <sup>1</sup> School of Physics and Materials Science, Anhui University, Hefei 230601, China <sup>2</sup> Institute of Physical Science and Information Technology, Anhui University, Hefei 230601, China <sup>3</sup> RIKEN Nishina Center, Wako 351-0198, Japan         PHYSICAL REVIEW C 106, L021303 (2022)								
	Letter							
<sup>7</sup> ELI-NP, Nuclear mass predictions with machine learning reaching the accuracy required by r- Z. M. Niu (牛中明) <sup>1,*</sup> and H. Z. Liang (梁豪兆) <sup>2,3,†</sup> <sup>1</sup> School of Physics and Optoelectronic Engineering, Anhui University, Hefei 230601, China <sup>2</sup> Department of Physics, Graduate School of Science, The University of Tokyo, Tokyo 113-0033, Japa <sup>3</sup> RIKEN Nishina Center, Wako 351-0198, Japan								
	Niu Zhongming	Machine learning in nuclear ph	/sics	Monday, July 29, 2024 12/134				

# Outline

# 1 Introduction Bayesian neural network approach $\star$ Bayesian approach ★ Neural network ★ Bayesian neural network Results and discussion ★ Nuclear masses **\star** Nuclear $\beta$ -decay half-lives ★ Some other results Summary and perspectives

# Example: toss coin

Example: toss a coin of unknown properties; probability ω of the coin landing heads



✓ Choose some criterion, such as maximum likelihood

 ✓ Find the optimal estimator according to this criterion, such as the frequency of heads in past tosses

$$\omega = \frac{N^{\text{head}}}{N^{\text{total}}}$$

 Express this unknown properties using a probability distribution over possible values based on our intuitive believes

Bayesian approach

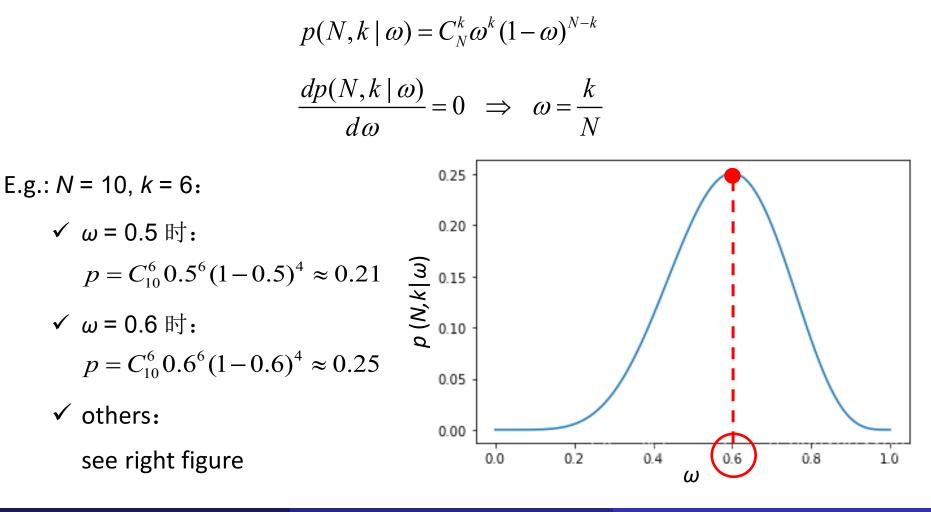
✓ Update this distribution using the Bayes' theorem as the outcome of each toss becomes known

$$p(\omega | D) = \frac{p(D | \omega)p(\omega)}{p(D)}$$

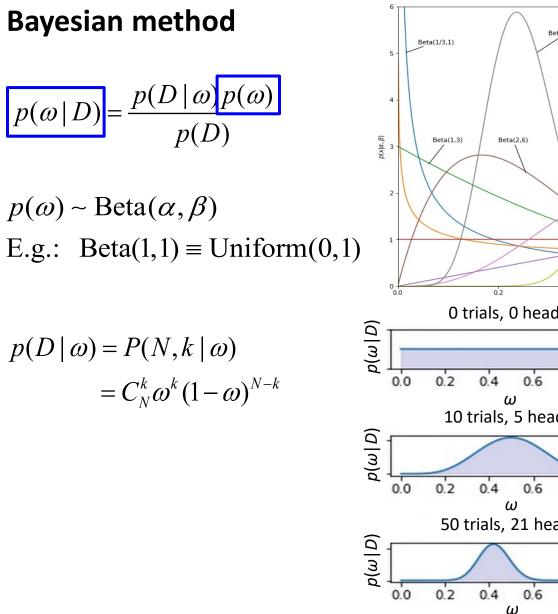
# Maximum likelihood method

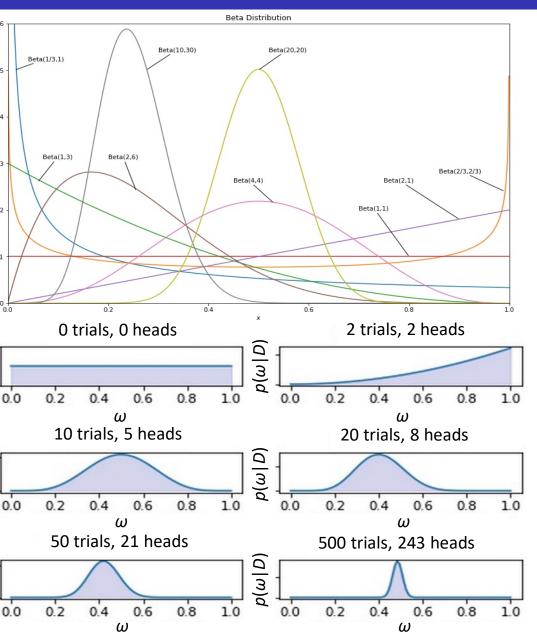
## Maximum likelihood method

Suppose N trials are performed and the number of head-ups is k. If the probability of a head-up is  $\omega$ , then the likelihood function is



# **Bayesian method**





Machine learning in nuclear physics

# Bayesian and frequentist (traditional) views

Differences between Bayesians and frequentists Bishop2006Springer

## Frequentists:

✓ Data are a repeatable random sample

- there is a frequency

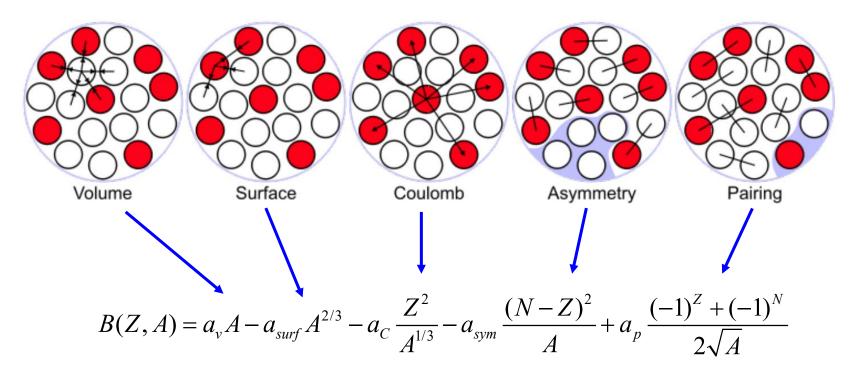
Underlying parameters remain constant during this repeatable process

## Parameters are unknown but fixed

## **Bayesians:**

- Data are observed from the realized sample
- Parameters are unknown and described probabilistically
- Data are fixed

# Example: LDM



 $\succ$  Minimize  $\chi^2$  or maximize likelihood

$$\chi^{2} = \sum_{Z,N \ge 8} \left[ \frac{B_{\exp}^{Z,N} - B_{\text{LDM}}^{Z,N}}{\delta_{m}} \right]^{2}$$
  
likelihood  $\propto \exp\left(-\chi^{2}/2\right)$ 

实验数据取自AME2012 CPC 36, 1603 (2012)

a <sub>v</sub>	15.5868			
<b>a</b> <sub>surf</sub>	17.0871			
a <sub>c</sub>	0.7066			
<b>a</b> <sub>sym</sub>	23.1537			
$a_{ ho}$	12.2047			

# Example: LDM

• Bayes' theorem:  $p(\omega | D) = p(D | \omega) p(\omega) / p(D)$  $B(Z,A) = a_v A - a_{surf} A^{2/3} - a_C \frac{Z^2}{A^{1/3}} - a_{sym} \frac{(N-Z)^2}{A} + a_p \frac{(-1)^Z + (-1)^N}{2\sqrt{A}}$  $p(\omega) \rightarrow p(a_i) \propto \exp\left[-(a_i - a_{i0})^2 / 2\sigma_{a_{i0}}^2\right] \quad a_{i0} = 16, \ 20, \ 0.7, \ 30, \ 10; \ \sigma_{a_{i0}} = 5, \ 10, \ 0.5, \ 10, \ 5$  $p(D \mid \omega) \to p(m_{\exp} \mid a_i) \propto \exp(-\chi^2 / 2), \ \chi^2 = \sum_{Z,N \ge 8} \left| \frac{B_{\exp}^{Z,N} - B_{\text{LDM}}^{Z,N}}{\delta_m} \right|^2 \qquad \underset{\text{CPC 36, 1603 (2012)}}{\text{Spin stars}}$ 1.2 1.2  $\mathbf{a}_{\mathbf{v}} \mathbf{a}_{\mathbf{surf}}$  $\mathbf{a}_{\mathsf{sym}}$ 1.0 1.0 0.8 0.8 With prior probability probability  $\delta_m$ =3 MeV 0.6 prior 0.6 0.4 0.4 0.2 0.2 0.0 0.0 10 20 30 50 40 60 0 0 5 10 15 20 25  $a_{sym}$  (MeV) a. (MeV)

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# Example: LDM

	With prior ( $\delta_{m}$ =3 MeV)		Without prior ( $\delta_m$ =3 MeV)		With prior ( $\delta_{m}$ =10 MeV)		least square method	
a <sub>v</sub>	15.5786 ±0.023	<b>38</b> 15.5785	±0.0238	15.5794	±0.0795	15.5868	±0.0244	
a <sub>surf</sub>	17.0706 ±0.074	<b>17</b> .0705	±0.0742	17.0734	±0.2474	17.0871	±0.0758	
a <sub>c</sub>	0.7054 ±0.00	0.7054	±0.0017	0.7054	±0.0055	0.7066	±0.0017	
a <sub>sym</sub>	23.125 ±0.05	<b>23</b> .1249	±0.0595	23.1275	±0.1985	23.1537	±0.0607	
a <sub>p</sub>	12.1387 ±0.85	<b>55</b> 12.2029	±0.8692	11.6717	±2.4851	12.2047	±0.8853	

✓ When the number of the data is large enough, the influence of prior distribution is almost negligible and the deduced results are similar to those from least square method.

✓ If  $\delta_m$  are very large, the values of  $a_i$  are still similar, while their uncertainties would increase.

# Outline

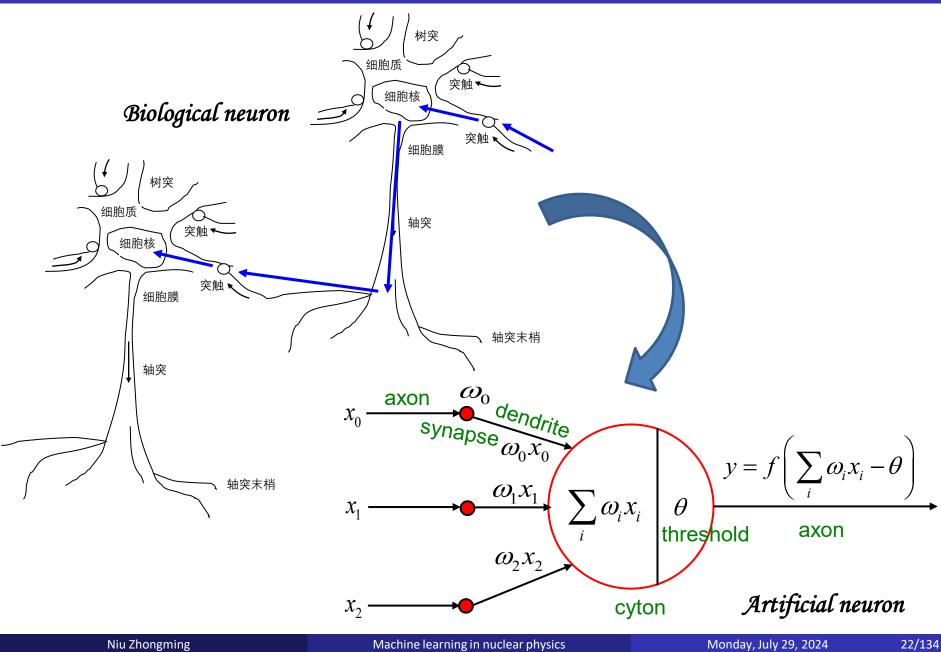
# Introduction

# Bayesian neural network approach

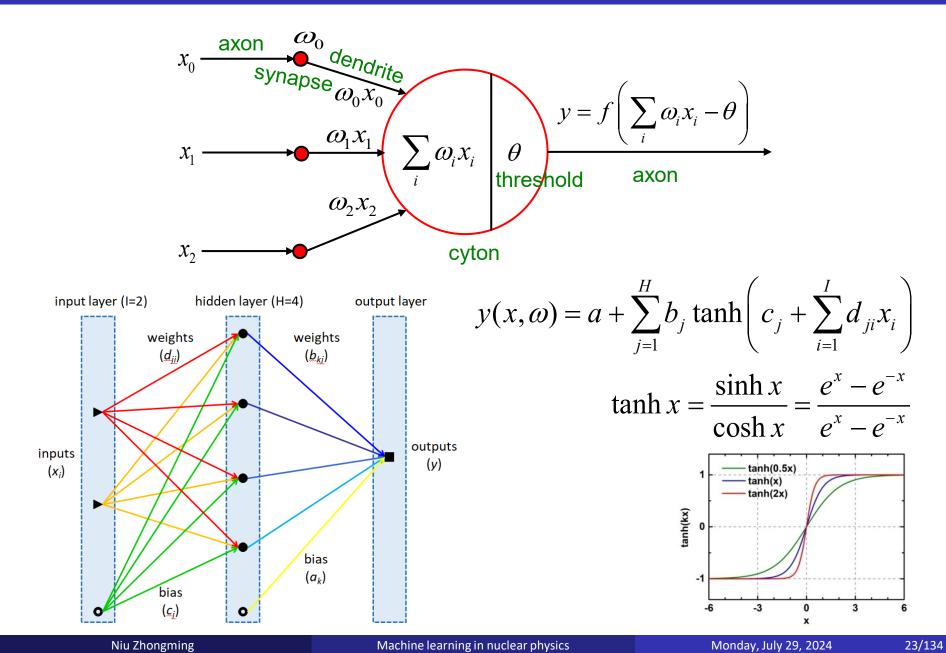
- ★ Bayesian approach
- **★ Neural network** (Tensorflow Playground, 1stOpt, PyTorch)
- ★ Bayesian neural network
- Results and discussion
  - ★ Nuclear masses
  - **\star** Nuclear  $\beta$ -decay half-lives
  - $\star$  Some other results
- Summary and perspectives

Neural network

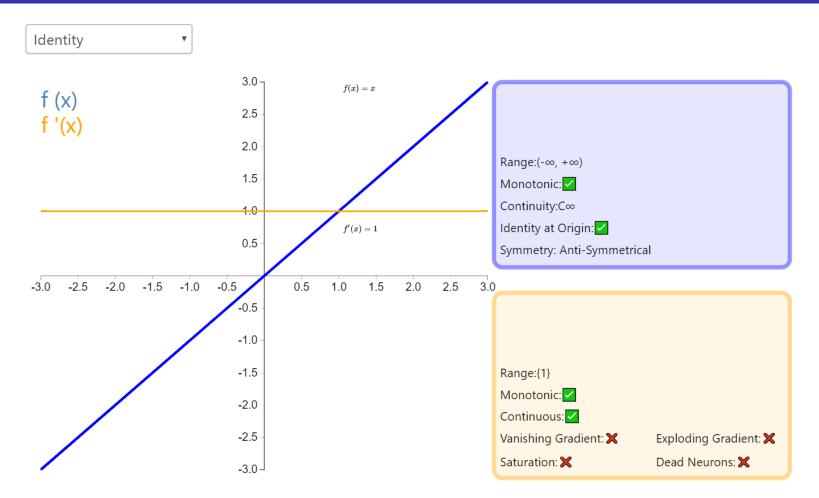
# Neural network



# Neural network



# **Activation function**



**Identity:** by this activation function, the input to the node equals the output. It is perfect for tasks where the underlying behavior is linear (similar to linear regression). When there is a nonlinearity, this activation function alone is not sufficient, but it can still be used as an activation function on the final output node for regression tasks.

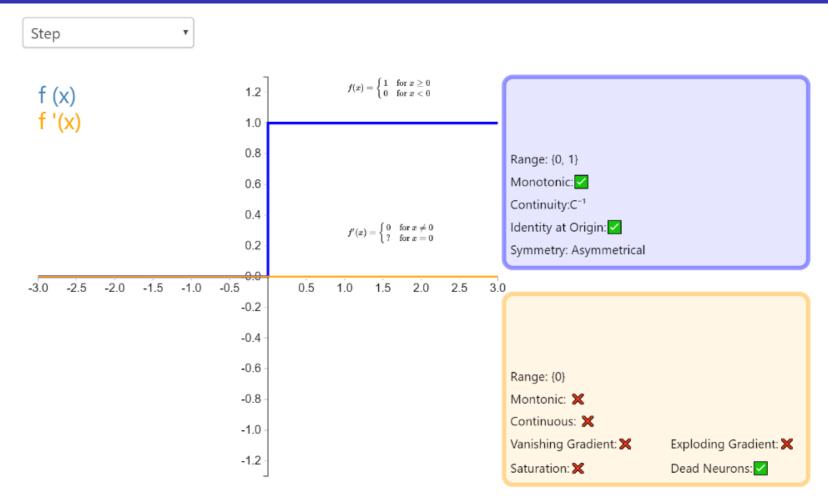
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Neural network

# **Activation function**



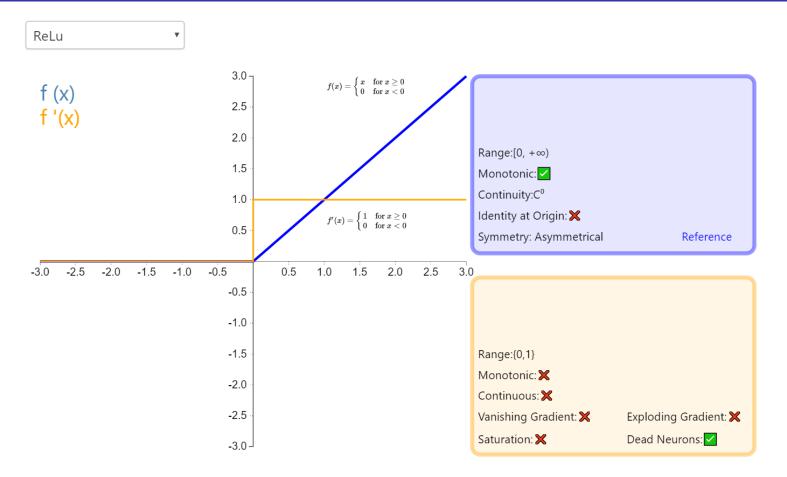
**Step**: this activation function is more theoretical than practical, mimicking the all-or-nothing properties of biological neurons. It cannot be applied to neural networks because its derivative is 0 (except that the zero point derivative is undefined), which means that gradient-based optimization methods are not feasible.

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Neural network

# **Activation function**

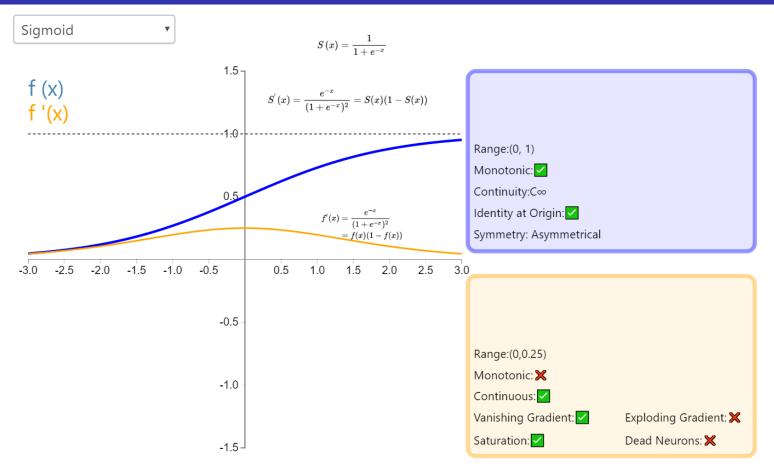


**ReLU**: rectified linear unit (ReLU) is the most commonly used activation function in neural networks. It retains the biological heuristic of the step function (the neuron activates only when the input exceeds the threshold), but the derivative is not zero when the input is positive, allowing for gradient-based learning. Using this function makes the computation faster, because neither the function nor its derivatives involve complex mathematical operations.

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# **Activation function**



**Sigmoid**: it is well known for its importance in logistic regression and ranges from 0 to 1. The Logistic Sigmoid (or Sigmoid as commonly called) activation function introduces the concept of probability to neural networks. Its derivative is non-zero and is easy to compute. However, in classification tasks, it is gradually being replaced by the Tanh function as the standard activation function, because the latter is an odd function (symmetric regarding the origin).

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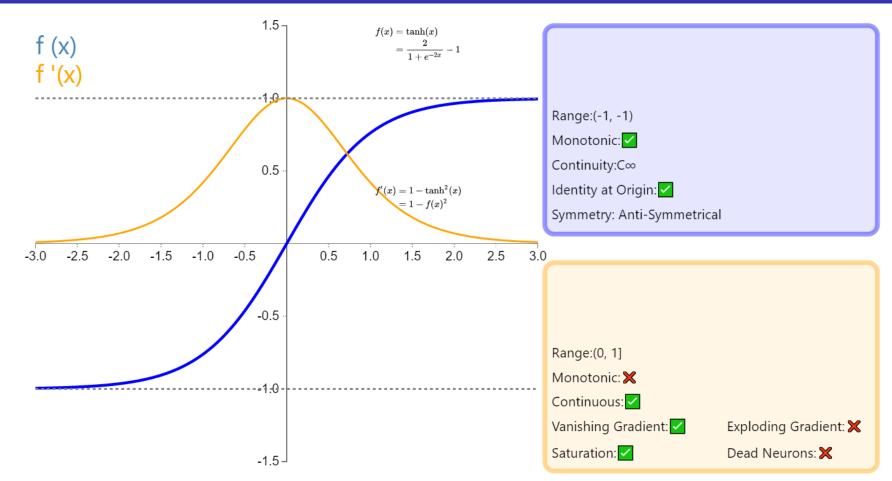
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Neural <u>network</u>

# **Activation function**



Tanh: in classification tasks, the hyperbolic tangent function (Tanh) has gradually replaced the Sigmoid function as the standard activation function, which has many characteristics favored by neural networks. It is completely differentiable, antisymmetric, and has a center of symmetry at the origin.

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# Selection of activation function for the output

# $\succ$ *y* ∈ [-∞, +∞], [0, +∞], [0, 1], [-1, 1]

the output variable y do not need to be normalized, the output layer uses the activation function "identity", "ReLU", "sigmoid", and "tanh", respectively.

 $\succ$  *y* ∈ [*y*<sub>min</sub>, *y*<sub>max</sub>]:

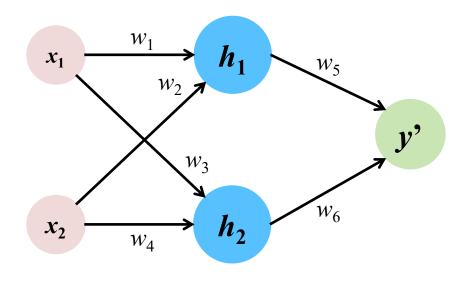
the output variable can be normalized with

$$u = \frac{y - y_{\min}}{y_{\max} - y_{\min}} \in [0, 1] \text{ or } u = \frac{y - \frac{y_{\min} + y_{\max}}{2}}{y_{\max} - \frac{y_{\min} + y_{\max}}{2}} \in [-1, 1],$$

the output layer uses the activation function "sigmoid" or "tanh".

# BP (back propagation) neural network

Take a single hidden layer neural network as an example:



Suppose the characteristics of this sample have two dimensions, each with a value of

$$\begin{aligned} x_1 &= 0.5 \\ x_2 &= 1.0 \end{aligned}$$
 Suppose the true value of this sample is

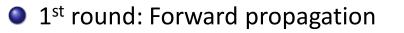
y = 0.8

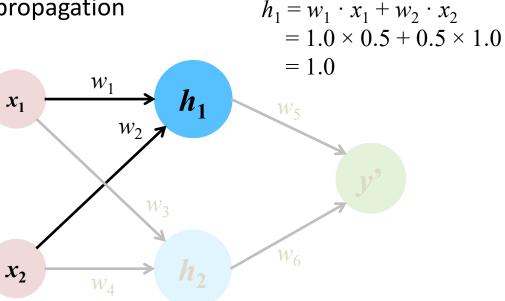
All parameters of the neural network are randomly initialized, assuming that

$$w_1 = 1.0;$$
  $w_2 = 0.5;$   
 $w_3 = 0.5;$   $w_4 = 0.7;$   
 $w_5 = 1.0;$   $w_6 = 2.0;$ 

Each round has the forward propagation and the back propagation.

# **BP** neural network





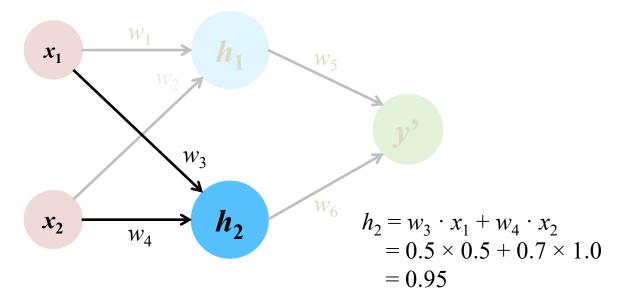
Suppose the characteristics of this sample have two dimensions, each with a value of  $x_1 = 0.5$  $x_2 = 1.0$ Suppose the true value of this sample is y = 0.8

All parameters of the neural network are randomly initialized, assuming that

$$w_1 = 1.0;$$
  $w_2 = 0.5;$   
 $w_3 = 0.5;$   $w_4 = 0.7;$   
 $w_5 = 1.0;$   $w_6 = 2.0;$ 

# **BP** neural network

1<sup>st</sup> round: Forward propagation



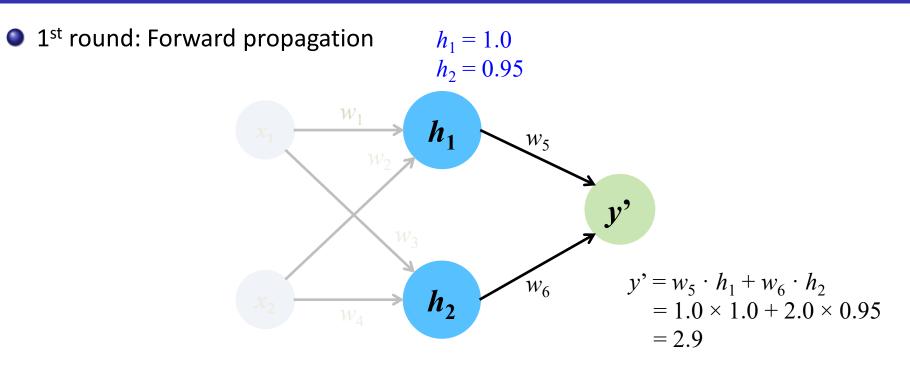
Suppose the characteristics of this sample have two dimensions, each with a value of  $x_1 = 0.5$  $x_2 = 1.0$ Suppose the true value of this sample is y = 0.8

All parameters of the neural network are randomly initialized, assuming that

$$w_1 = 1.0;$$
  $w_2 = 0.5;$   
 $w_3 = 0.5;$   $w_4 = 0.7;$   
 $w_5 = 1.0;$   $w_6 = 2.0;$ 

Neural network

# **BP** neural network



Suppose the characteristics of this sample have two dimensions, each with a value of  $x_1 = 0.5$  $x_2 = 1.0$ Suppose the true value of this sample is y = 0.8

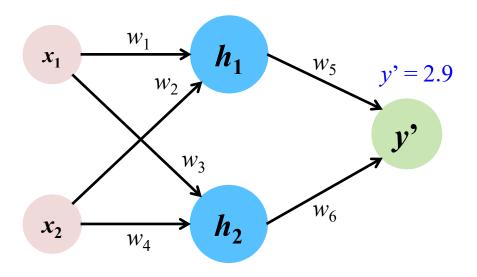
All parameters of the neural network are randomly initialized, assuming that

$$w_1 = 1.0;$$
  $w_2 = 0.5;$   
 $w_3 = 0.5;$   $w_4 = 0.7;$   
 $w_5 = 1.0;$   $w_6 = 2.0;$ 

Neural network

# **BP** neural network





After this round of forward propagation, the error is

$$\delta = (y - y')^2 / 2$$
  
= 0.5 × (0.8 - 2.9)<sup>2</sup>  
= 2.205

(Calculation of the loss function, which

generally varies from task to task)

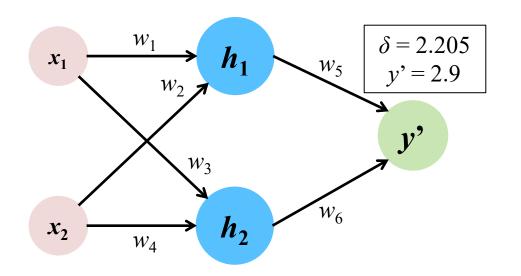
Suppose the characteristics of this sample have two dimensions, each with a value of  $x_1 = 0.5$  $x_2 = 1.0$ Suppose the true value of this sample is y = 0.8

All parameters of the neural network are randomly initialized, assuming that  $w_1 = 1.0$ ;  $w_2 = 0.5$ .

$$w_1 = 1.0;$$
  $w_2 = 0.3;$   
 $w_3 = 0.5;$   $w_4 = 0.7;$   
 $w_5 = 1.0;$   $w_6 = 2.0;$ 

# **BP** neural network

## 1<sup>st</sup> round: Back propagation



Take the calculation of  $w_5$  as an example, and  $w_6$  as an analogy

$$\frac{\partial \delta}{\partial w_5} = \begin{vmatrix} \frac{\partial \delta}{\partial y'} & \frac{\partial y'}{\partial w_5} \end{vmatrix}$$

$$\delta = \frac{1}{2}(y - y')^2$$
$$\frac{\partial \delta}{\partial y'} = \frac{1}{2} \times 2 \times (y - y') \times (-1)$$
$$= y' - y$$
$$= 2.9 - 0.8 = 2.1$$

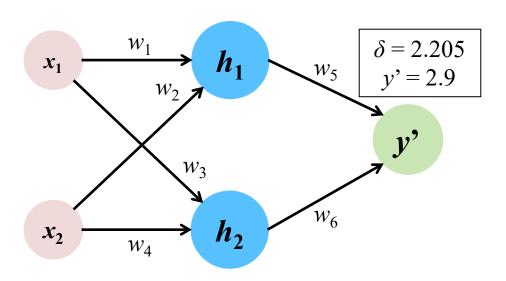
Neural network

$$y' = w_5 \cdot h_1 + w_6 \cdot h_2$$
$$\frac{\partial y'}{\partial w_5} = h_1 + 0 = 1.0$$

$$\frac{\partial \delta}{\partial w_5} = 2.1 \times 1.0 = 2.1$$

## **BP** neural network

## 1<sup>st</sup> round: Back propagation



Then the value of  $w_5$  can be updated

Learning rate, in  
this case 0.1  
$$w_{5}^{(update)} = w_{5} + \eta \frac{\partial \delta}{\partial w_{5}}$$
$$= 1.0 - 0.1 \times 2.1$$
$$= 0.79$$

We have known that before

$$\frac{\partial \delta}{\partial w_5} = 2.1$$

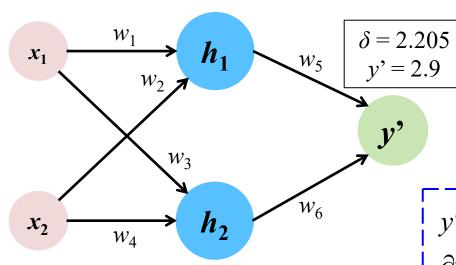
Similarly, it is possible to obtain

$$w_6^{(update)} = 1.8005$$

Neural network

# **BP** neural network





$$\delta = \frac{1}{2}(y - y')^2$$
$$\frac{\partial \delta}{\partial y'} = 2 \times \frac{1}{2} \times (y - y')(-1)$$
$$= y' - y$$
$$= 2.9 - 0.8 = 2.1$$

$$y' = w_5 \cdot h_1 + w_6 \cdot h_2 \qquad h_1 = w_1 \cdot x_1 + w_2 \cdot x_2$$
$$\frac{\partial y'}{\partial h_1} = w_5 + 0 = 1.0 \qquad \frac{\partial h_1}{\partial w_1} = x_1 + 0 = 0.5$$

Take the calculation of  $w_1$  as an example, and  $w_2$ ,  $w_3$ ,  $w_4$  as an analogy

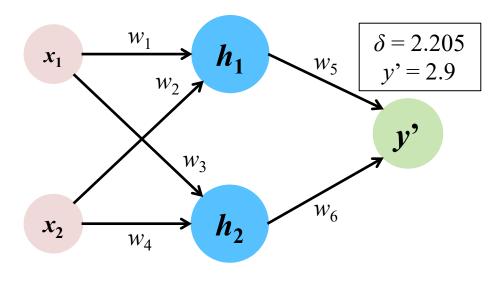
$$\frac{\partial \delta}{\partial w_1} = \frac{\partial \delta}{\partial y'} \cdot \frac{\partial y'}{\partial h_1} \cdot \frac{\partial h_1}{\partial w_1}$$

 $\frac{\partial \delta}{\partial w_1} = 2.1 \times 1.0 \times 0.5 = 1.05$ 

Neural network

## **BP** neural network

#### 1<sup>st</sup> round: Back propagation



Then the value of  $w_1$  can be updated Learning rate, in this case 0.1  $w_1^{(update)} = w_1 - \eta \cdot \frac{\partial \delta}{\partial w_1}$   $= 1.0 - 0.1 \times 1.05$ = 0.895

We have known that before

$$\frac{\partial \delta}{\partial w_1} = 1.05$$

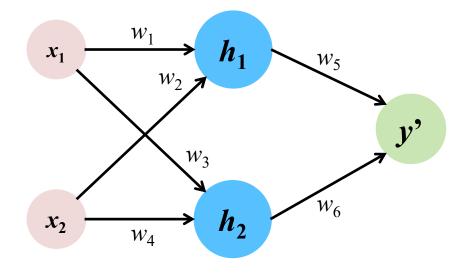
Similarly, it is possible to obtain

 $W_2^{(update)}, W_3^{(update)}, W_4^{(update)}$ 

## Homework: Please calculate these three values.

## **BP** neural network

#### 1<sup>st</sup> round: Back propagation



Suppose the characteristics of this sample have two dimensions, each with a value of

$$x_1 = 0.5$$
  
 $x_2 = 1.0$ 

-0.5

Suppose the true value of this sample is

y = 0.8

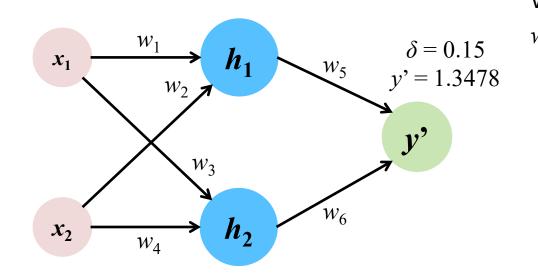
Parameters obtained by updating after one round of forward and back propagation

$$w_1 = 0.895;$$
  $w_2 = ;$   
 $w_3 = ;$   $w_4 = ;$   
 $w_5 = 0.79;$   $w_6 = 1.8005;$ 

Neural network

## **BP** neural network

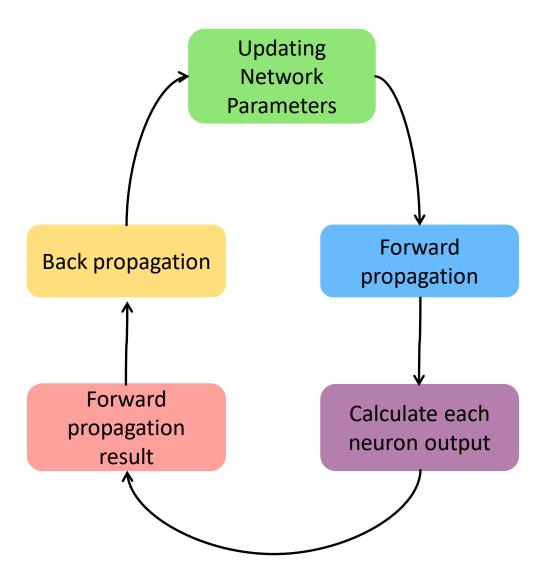




Suppose the characteristics of this sample have two dimensions, each with a value of  $x_1 = 0.5$  $x_2 = 1.0$ Suppose the true value of this sample is y = 0.8

With the updated parameters  $w_1, w_2, w_3$ ,  $w_4, w_5, \text{ and } w_6$ :  $h_1 = w_1 \cdot x_1 + w_2 \cdot x_2$  $= 0.895 \times 0.5 + \times 1.0$ = $h_2 = w_3 \cdot x_1 + w_4 \cdot x_2$ =  $\times 0.5 +$   $\times 1.0$ \_  $y' = w_5 \cdot h_1 + w_6 \cdot h_2$  $= 0.79 \times + 1.8005 \times$ = 1.3478 $\delta = (y - y')^2 / 2$  $\delta_1: 2.205 \rightarrow \delta_2: 0.15$ 

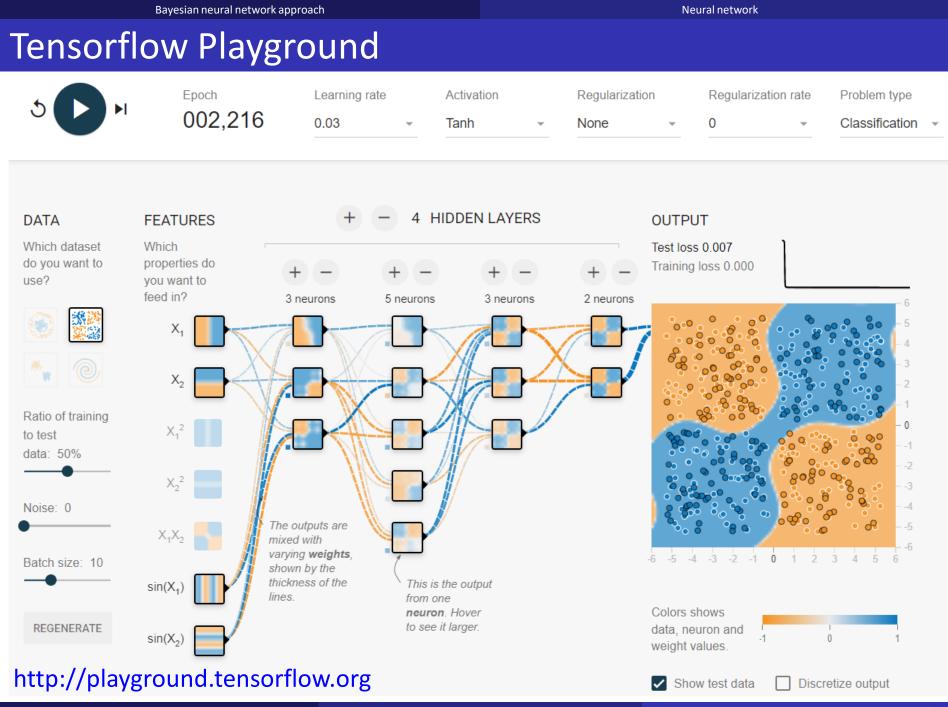
## **BP** neural network



#### Note:

★ In the actual use of neural networks, each neuron is usually given a final value after an activation function on top of the above calculations.

★ The derivation must be combined with the activation function in the form of a derivative, but there is no difference in the overall process.



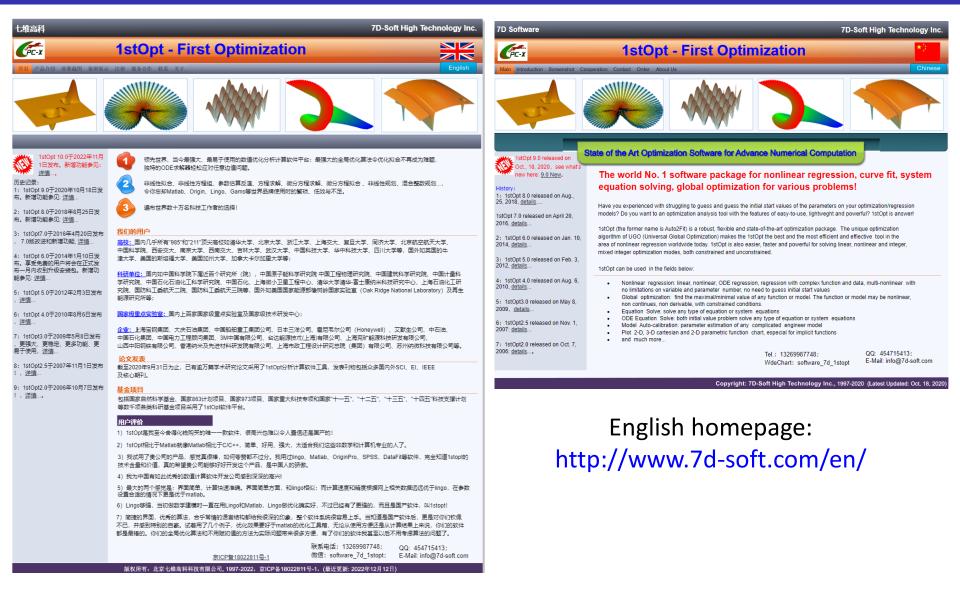
Niu Zhongming

Machine learning in nuclear physics

Monday, July 29, 2024

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## 1stOpt



#### Chinese homepage: http://www.7d-soft.com/

# 1stOpt

## Introduction to 1stOpt (first optimization) software

#### Advantage

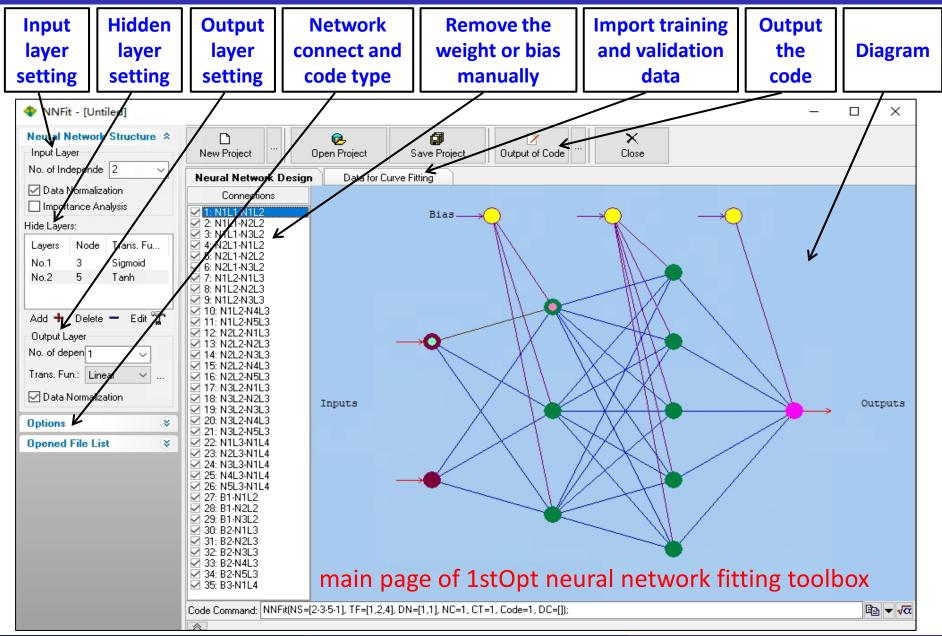
- $\checkmark\,$  Optimization software for advance numerical computation
- ✓ Simple interface and easy to use
- $\checkmark\,$  Core algorithm: universal global optimization algorithm
- $\checkmark\,$  Direct support for Basic, Pascal, and Python
- $\checkmark$  Can be used in conjunction with C++ and Fortran

#### Scope of application

- ✓ Parameter estimation
- ✓ linear, nonlinear fitting, regression
- $\checkmark$  Solution of nonlinear equations
- $\checkmark$  Solution of ordinary differential equations
- ✓ Fitting solution of ordinary differential equation
- ✓ Solution of complex equation, complex nonlinear fitting
- Extremum solution of arbitrary dimension function
- Implicit function root solution
- $\checkmark$  Linear, nonlinear and integer programming
- Combinatorial optimization problem

	Tool	Box	CodeBook	: Help					
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	Ъ	ravel	Salesman Pr	Problem (TSP)					

## 1stOpt: network settings



Machine learning in nuclear physics

# 1stOpt: data settings

Neural Network Structure 🎕	-	D Project Op	nen Project Sa			× Close		
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✓ Data Normalization ✓ Importance Analysis	□ % 圖 圖 字 湍 ⇒ Ψ ← ↓ 🖗 國							
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	2	-2.900000	0.464602	-0.678828				
	3	-2.800000	0.631267	-0.579860				
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	8	-2.300000	0.993691	-0.060193				
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	12	-1.900000	0.611858	0.005739				
	13	-1.800000	0.442520	-0.010562				~
	14	<						>

- The data for the neural network can be directly input in the fitting data table, which has the "Training data" table and the "Verification data" table.
- ✓ The verification data will only be used for the verification of the training results and will not have any impact on the training results.

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-4.242986

-4 399954

-3.935915

-3,783998

-3.940952

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-3 097259

-3.002656

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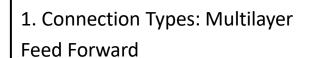
-2 247033

-2.668829

-2.596515

-2.402863

## 1stOpt: output of code



- 2. Code Type: Quick Model
- 3. Code Format: Full

File Edit Format Sheet Tools Program Tool ToolBox CodeBook

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2 -2 900000

3 -2.800000

4 -2.700000

5 -2.600000

6 -2.500000

7 -2 400000

8 -2.300000

9 -2.200000

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14 -1 700000

15 -1.600000

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17 -1 40000

CodeSheet1

18 1 1000

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CodeBook Editor CodeBook Sheet

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CodeSheet2

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-0 450648

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🔨 CodeSheet3

Results

~|8

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-0.912945

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Tr Arial

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CodeBlock 🕗 1 - NNFit in Qu.

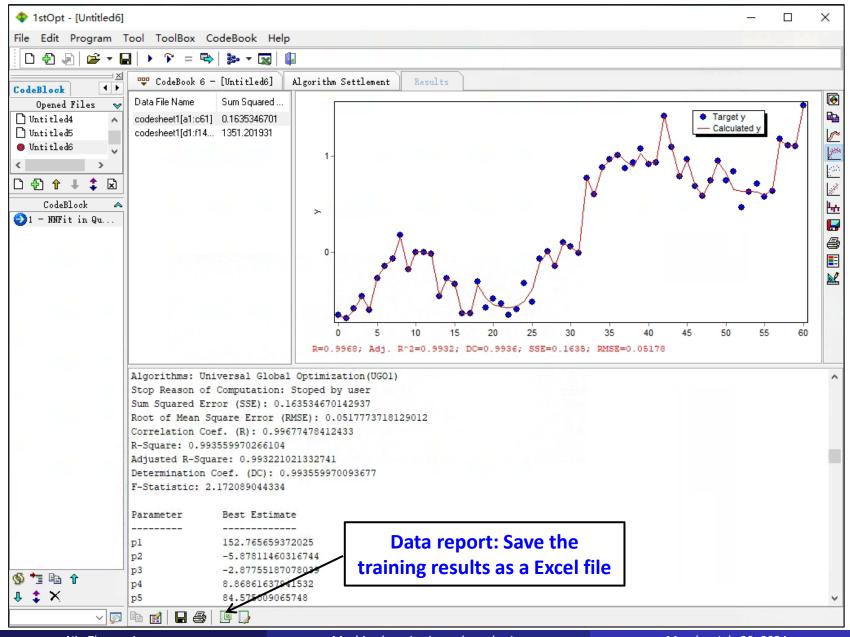
- 4. Data Types: CodeBook sheet
- 5. New CodeBlock: Check

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O Multilayer Full Feed Forw		
Output of Code	2: N1L1-N2L2	
Code Type: Quick Model	▼ 3: N1L1-N3L2 ▼ 4: N1L1-N4L2	
Code Format	▼ 5: N1L1-N5L2	
◯ Simple	✓ 6: N1L1-N6L2 ✓ 7: N1L1-N7L2	
<ul> <li>Simple (Expression)</li> </ul>	✓ 8: N1L1-N8L2	
Full	♥ 9: N1L1-N9L2 ♥ 10: N1L1-N10L2	
Data Types	✓ 11: N1L1-N11L2	
O Row O Column	I 12: N1L1-N12L2 I 3: N1L1-N13L2	
CodeBook Sheet	☑ 14: N1L1-N14L2 Inputs	-> Outputs
CodeSheet1	✓ 15: N1L1-N15L2 ✓ 16: N2L1-N1L2	
Lodesneeti	✓ 17: N2L1-N2L2	
New CodeBlock	✓ 18: N2L1-N3L2 ✓ 19: N2L1-N4L2	
	20: N2L1-N5L2	
Opened File List	▼ 21: N2L1-N6L2 ▼ 22: N2L1-N7L2	
	✓ 22: N2L1-N7L2 ✓ 23: N2L1-N8L2	
	24: N21-N9L2	
	☑ 25: N2L1-N10L2 ☑ 26: N2L1-N11L2	
	Code Command: NNFit(NS=[2-15-1], TF=[2,4], DN=[1,0], NC=1, CT=1, Code=3, DC=[], Importance);	E → √α
<b>\</b>		
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🗋 Untitled5	<pre>1 NewCodeBlock "NNFit in Quick Model (2-15-1)";</pre>	<b>^</b>
🛑 Untitled6 🧹 🗸	//NNFit(NS=[2-15-1], TF=[2,4], DN=[1,0], NC=1, CT=1, Code=3, DC=[]	, Importance),
< >	<pre>3 Algorithm = UGO1[10];</pre>	
D ∲ ↑ ↓ \$ ⊠	4 Constant	
CodeBlock 🔦	5  RMin = -1.0,  RMax = 1.0,	//Scaling 1
CouldDiock ~	6 Minx1 = $-10.0$ , Maxx1 = $10.0$ ,	//Min. and
- marte in ed	7 Minx2 = -0.99999, Maxx2 = 0.99999;	//Min. and
	8 ConstStr	
	9 $TFH(v) = (exp(v) - exp(-v)) / (exp(v) + exp(-v)),$	
	10 $TFO(v) = v_r$	//Linear (1
	11 $xx1 = RMin+(RMax-RMin)*(x1-Minx1)/(Maxx1-Minx1),$	
	<pre>12 xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2),</pre>	//Scaling 1
	<pre>12 xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2), 13 s11 = p1*xx1+p16*xx2+p46,</pre>	//Input to
	<pre>12 xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2), 13 s11 = p1*xx1+p16*xx2+p46, 14 h11 = TFH(s11),</pre>	//Input to //Node Outr
	<pre>12 xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2), 13 s11 = p1*xx1+p16*xx2+p46, 14 h11 = TFH(s11), 15 s12 = p2*xx1+p17*xx2+p47,</pre>	//Input to //Node Outr //Input to
	<pre>12 xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2), 13 s11 = p1*xx1+p16*xx2+p46, 14 h11 = TFH(s11), 15 s12 = p2*xx1+p17*xx2+p47, 16 h12 = TFH(s12),</pre>	//Input to //Node Outr //Input to //Node Outr
§ <b>*</b> ≣ ₽≥ Ŷ	<pre>12 xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2), 13 s11 = p1*xx1+p16*xx2+p46, 14 h11 = TFH(s11), 15 s12 = p2*xx1+p17*xx2+p47, 16 h12 = TFH(s12), 17 s13 = p3*xx1+p18*xx2+p48,</pre>	//Input to //Node Outr //Input to //Node Outr //Input to
<mark>§ *∃ № î</mark> ↓ <b>\$ ×</b>	<pre>12 xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2), 13 s11 = p1*xx1+p16*xx2+p46, 14 h11 = TFH(s11), 15 s12 = p2*xx1+p17*xx2+p47, 16 h12 = TFH(s12),</pre>	//Input to //Node Outr //Input to //Node Outr
	<pre>8 ConstStr 9 TFH(v) = (exp(v)-exp(-v))/(exp(v)+exp(-v)), 10 TFO(v) = v,</pre>	//Tanh (Tre //Linear (1 //Scaling 1

# 1stOpt: code modification

```
Neural network code (full code format):
 NewCodeBlock "NNFit in Quick Model (2-15-1)";
 //NNFit(NS=[2-15-1], TF=[2,4], DN=[1,0], NC=1, CT=1, Code=3, DC=[], Importance);
 Algorithm = UGO1[10];
                                                                                              one can change it to any
 Constant
   RMin = -1.0, RMax = 1.0,
                                              //Scaling range of input layer
                                                                                              normalized method
   Minx1 = -10.0, Maxx1 = 10.0,
                                               //Min. and Max. values (Variable x1) 🖌
   Minx2 = -0.999999, Maxx2 = 0.999999;
                                               //Min. and Max. values (Variable x2)
                                                                                              one can change it to any
 ConstStr
   TFH(v) = (exp(v)-exp(-v))/(exp(v)+exp(-v)),
                                              //Tanh (Transfor Function for Hide layer)
                                                                                              activation function
                                              //Linear (Transfor Function for Output layer)
   TFO(v) = v,
   xx1 = RMin+(RMax-RMin)*(x1-Minx1)/(Maxx1-Minx1), //Scaling range of input layer to [-1,1]
   xx2 = RMin+(RMax-RMin)*(x2-Minx2)/(Maxx2-Minx2), //Scaling range of input layer to [-1,1]
   s11 = p1*xx1+p16*xx2+p46,
                                          //Input to Node-1 (Hide Layer-1)
   h11 = TFH(s11),
                                          //Node Output (Node-1, Hide Layer-1)
                                          //Input to Node-2 (Hide Layer-1)
   s12 = p2*xx1+p17*xx2+p47,
                                         //Node Output (Node-2, Hide Layer-1)
   h12 = TFH(s12),
   s115 = p15*xx1+p30*xx2+p60,
                                         //Input to Node-15 (Hide Layer-1)
   h115 = TFH(s115),
                                          //Node Output (Node-15, Hide Layer-1)
   s21 = p31*h11+p32*h12+p33*h13+p34*h14+\dots +p45*h115+p61, //Input to Node-1 (Output Layer)
   h21 = TFO(s21);
                                         //Node Output (Node-1, Output Layer)
 PassParameter
 Parameter p(61);
 DataFileWeight = [1,0];
 . . . . . .
 Variable x1, x2, y;
 Function y = h21;
 DataFile "CodeSheet1[A1:C61]"; //Training Data
 DataFile "CodeSheet1[D1:F140]"; //Verification Data
```

# 1stOpt: training results



Niu Zhongming

Machine learning in nuclear physics

Monday, July 29, 2024

## 1stOpt: data report for the training results

	A	В	C	D	E	F	G	Н
1	codesheet	[a1:c61]	codesheet1	[d1:f140]			an de anti-	and the second second second second second
2	Target y	Calculated y	Target y	Calculated y	Parameter Name	Parameter Value	Algorithms	Universal Global Optimization(UGO1)
3	-0.64651	-0.64477461	-4.242986	2.984419665	p1	152.7656594	Elapsed Time (Hr:Min:Sec:Msec)	02:01:49:75
4	-0.67883	-0.67716931	-4.399954	2.770477104	p2	-5.878114603	Sum Squared Error (SSE)	0.16353467
5	-0.57986	-0.58441313	-3.935915	2.536055835	p3	-2.877551871	Root of Mean Square Error (RMSE)	0.051777372
6	-0.4528	-0.4529083	-3.783998	-0.32520594	p4	8.868616379	Correlation Coef. (R)	0.996774784
7	-0.5933	-0.58378312	-3.940952	-6.604920107	p5	84.57500907	Adjusted R-Square	0.993221021
8	-0.26734	-0.24656846	-3.336756	-7.753939994	p6	-4.584584789	Determination Coef. (DC)	0.99355997
9	-0.13823	-0.14287653	-3.197399	-1.674842214	p7	4.310917534	Chi-Square	10466.28587
10	-0.06019	-0.0625298	-3.30404	-3.08779343	p8	2.996579121	F-Statistic	2.172089044
11				-7.720180457		-5.586598703	SSE (c61])	0.16353467
12	-0.17441	-0.19053886	-3.002656	-8.661918724	p10	5.435688369	SSE (f140])	1351.201931
13	0.003048	0.011867137	-2.961848	-7.635656476	p11	16.33884143	RMSE (c61])	0.051777372
14	0.005739	0.005700268	-2.681241	-7.705407124	p12	4.744747697	RMSE (f140])	3.106677061
15	-0.01056	-0.01114633	-2.863241	-7.786132872	p13	11.69239995	R (c61])	0.996774784
16	-0.45065	-0.45108374	-2.247033	-7.79881306	p14	6.584917608	R (f140])	0.6312612
17	-0.26841			-7.789985399		24.62032453	Adj. R^2 (c61])	0.993221021
18	-0.32298			-7.780284173			Adj. R^2 (f140])	0.385222115
19	-0.62905			-7.73283383		53.5335669		0.99355997
20	-0.62616			-7.649956145		5.318096334	DC (f140])	-0.262733643
21	-0.30127			-8.420880198		-11.50687776		
22	-0.57055			-6.984191216		76.38910586		
23	-0.47667			-2.76905393		1.085126221		
24	-0.52933			-1.651647649		1.792852818		
25	-0.64688			-2.297389182		-7.857255001		
26	-0.58464			-7.464428414		-2.113869152		
27	-0.31729			2.540891909		2.842323144		
28	-0.51072			2.861816664		19.2286442		
29	-0.06244			2.807722881		15.62255013		
30				2.740337621		-17.2340948		
31	-0.13905	-0.1378876		2.67419555		18.82810288		
32				2.622256409		15.1881583		
33		0.057703597		2.595121188		0.172517529		
34		0.000945575				-0.461951952		
35		0.772984275				-8.232200315		
36	0.598594	0.592158965	-2.607806	2.673802365	p34	9.493047869		

Neural network

# Example: Neural network in PyTorch

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<sup>()</sup> РуТогсh			
GET STARTED Choose Your Path: Install PyTorch Launch Instantly on Supported C			
Get started > 2024 PYTORCH	PYTORCH 2.4	MEMBERSHIP AVAILABLE	
CONFERENCE Call for proposals for PyTorch Conference 2024 are live. Save on Early Bird Registration. Full details + guidelines	PyTorch 2.4 adds support for the latest version of Python (3.12) for torch.compile.	Become an integral part of the PyTorch Foundation, to build and shape the future of AI. Join	
Get Started >			
KEY FEATURES & CAPABILITIES		See all Features >	

## Import package

# Import package	
import os	## Import os
os.environ["KMP_DUPLICATE_LIB_OK"]="TRUE"	## Prevents hanging
import numpy as np	## Import numpy, using np for numpy
import pandas as pd	## Import pandas, using pd for pandas
import torch	## Import torch
import torch.nn as nn	## Use nn for torch.nn
import csv	## Import csv
from torch import optim	## From Torch import optim
import matplotlib.pyplot as plt	## Import matplotlib
import math	## Import math

# **Import the data**: here is an example of two inputs and one output.

## Import relevant data train = pd.read csv(r"TestI2Sin.csv", usecols=[0,1,2], header = None) train = np.array(train) *## Convert data to numpy arrays* train = torch.FloatTensor(train) *## Turning data into a tensor in pytorch* mydata = pd.read csv(r"Call2Sin.csv", header = None) mydata = np.array(mydata) mydata = torch.FloatTensor(mydata) nl = 2 *## Number of neural network inputs* nH1 = 5 *## Number of neurons in the first hidden layer of the neural network* nH2 = 10 *## Number of neurons in the second hidden layer of the neural network* nO = 1 *## Number of neural network output* x train, y train = torch.split(train,[nI,nO],dim = 1) ## The training set is divided into x train and y train, which are uesd as inputs and output to train the neural network. x data, y data = torch.split(mydata,[nI,nO],dim = 1) result = x data.clone()

S Testl2Sin.csv WPS Office  $\square \times$ 日 2 日 位 2 C ~ 三 文件 2 粘贴v ΓA 格式刷  $\bigcirc f_X = -3$ A1 Α С Е a В 1 -3 0.279415 -0.64651 2 -2.9 0.464602 -0.67883 3 -2.8 0.631267 -0.57986 4 -2.7 0.772764 -0.4528 5 -2.6 0.883455 -0.5933 6 -2.5 0.958924 -0.26734 7 -2.4 0.996165 -0.13823 8 -2.3 0.993691 -0.06019 9 -2.2 0.951602 0.184503 10 -2.1 0.871576 -0.17441 11 -2 0.756802 0.003048 12 -1.9 0.611858 0.005739 13 -1.8 0.44252 -0.01056 14 -1.7 0.255541 -0.45065 15 -1.6 0.058374 -0.26841 16 -1.5 -0.14112 -0.32298 17 -1.4 -0.33499 -0.62905 18 -1.3 -0.5155 -0.62616 19 -1.2 -0.67546 -0.30127 20 -1.1 -0.8085 -0.57055 21 -1 -0.9093 -0.47667 22 -0.9 -0.97385 -0.52933 23 -0.8 -0.99957 -0.64688 24 -0.7 -0.98545 -0.5846425 -0.6 -0.93204 -0.31729 26 -0.5 -0.84147 -0.51072 27 -0.4 -0.71736 -0.06244 28 -0.3 -0.56464 0.011471 29 -0.2 -0.38942 -0.13905 30 -0.1 -0.19867 0.10754431 0 0 0.062445 32 0.1 0.198669 -0.00113 33 0.2 0.389418 0.771977 34 0.3 0.564642 0.598594 35 0.4 0.717356 0.884152 36 0.5 0.841471 0.967547 37 0.6 0.932039 1.010313 38 0.7 0.98545 0.871936

#### Construct neural network: a double hidden layer neural network

```
class net(nn.Module): ## Define the network, net is the network name
  def init (self):
    super(net,self). init ()
    self.hidden1 = nn.Linear(in features = nl, out features = nH1, bias = True)
    ## For example, in features = 2, out features = 5 means 2 inputs and 5 outputs.
    self.active1 = nn.Sigmoid()
    ## Define the activation function layer active1, nn.Sigmoid() as the Sigmoid activation function
    self.hidden2 = nn.Linear(in features = nH1, out features = nH2, bias = True)
    self.active2 = nn.Tanh() ## nn.Tanh() as the Tanh activation function
    self.regression = nn.Linear(in features = nH2, out features = nO, bias = True)
  def forward(self, x): ##Forward propagation path of the network
    x = self.hidden1(x)
    x = self.active1(x)
    x = self.hidden2(x)
    x = self.active2(x)
    output = self.regression(x)
    return output
net = net()
```

#### Train the neural network and calculate the loss value

```
## Train on net and compute the loss function
optimizer = optim.Adam(net.parameters(), lr = 0.001, eps = 1e-08, weight decay = 0)
## Using Adam's Algorithm
## Ir: learning rate
## eps: Terms added to the denominator to increase the stability of numerical calculations
## weight decay: Weight decay (L2 penalty)
loss_func = nn.MSELoss() ## mean square error
trainloss = torch.tensor([]) ## Setting up a storage list for a set of training set loss values
for epoch in range(10000):
  prediction = net(x train)
  train_loss = loss_func(prediction, y_train)
  optimizer.zero grad() ## Gradient to 0
  train loss.backward() ## Backward propagation of the loss to compute the gradient
  optimizer.step() ## Optimization using gradients
  trainloss = torch.cat((trainloss, torch.tensor([train loss])), dim = 0)
time = net(x data)
result = torch.cat((result, time),dim=1)
```

#### Output the parameters of the neural network

```
F = torch.tensor([]) ## weight_hidden1
E = torch.tensor([]) ## bias hidden1
```

```
D = torch.tensor([]) ## weight hidden2
```

```
C = torch.tensor([]) ## bias hidden2
```

```
B = torch.tensor([]) ## weight regression
```

```
A = torch.tensor([]) ## bias_regression
```

```
for j in range(nl):
```

```
F = torch.cat((F, net.hidden1.weight[:,j]), dim = 0)
```

```
E = torch.cat((E, net.hidden1.bias), dim = 0)
for k in range(nH1):
```

for k in range(nH1):

```
D = torch.cat((D, net.hidden2.weight[:,k]), dim = 0)
```

```
C = torch.cat((C, net.hidden2.bias), dim = 0)
```

```
B = torch.cat((B, torch.squeeze(torch.FloatTensor(net.regression.weight), dim = 0)), dim = 0)
```

A = torch.cat((A, net.regression.bias), dim = 0)

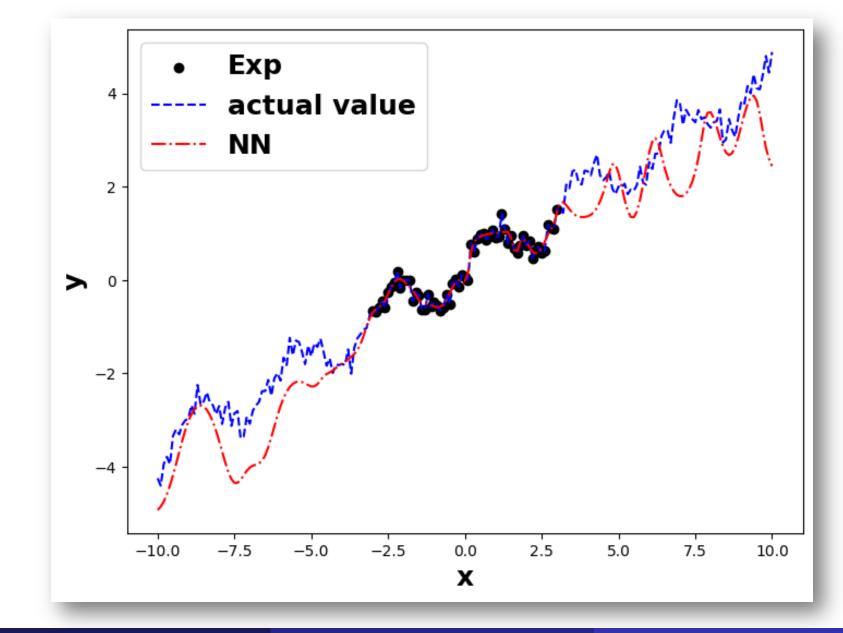
```
np.savetxt('hidden1_weight.csv',F.data.numpy(),delimiter = ',')
np.savetxt('hidden1_bias.csv',E.data.numpy(),delimiter = ',')
np.savetxt('hidden2_weight.csv',D.data.numpy(),delimiter = ',')
np.savetxt('hidden2_bias.csv',C.data.numpy(),delimiter = ',')
np.savetxt('regression_weight.csv',B.data.numpy(),delimiter = ',')
np.savetxt('regression_bias.csv',A.data.numpy(),delimiter = ',')
```

## **Plot figures**

```
plt.figure(num = 1,figsize = (8,6))
```

```
plt.figure(num = 2, figsize =(8,6))
plt.scatter(x_train[:,0], y_train, color = 'black',marker='o',label = 'Exp')
plt.plot(x_data[:,0], y_data,'b--',label = 'actual value')
plt.plot(x_data[:,0], result[:,2].detach().numpy(),'r-.',label = 'NN')
plt.xlabel("x",fontsize = 18,fontweight = 'bold')
plt.ylabel("y",fontsize = 18,fontweight = 'bold')
plt.legend(loc = 'upper left',prop ={'size':18,'weight':'bold'})
plt.show()
```

## Example: Neural network in PyTorch



Niu Zhongming

## Outline

# 1 Introduction

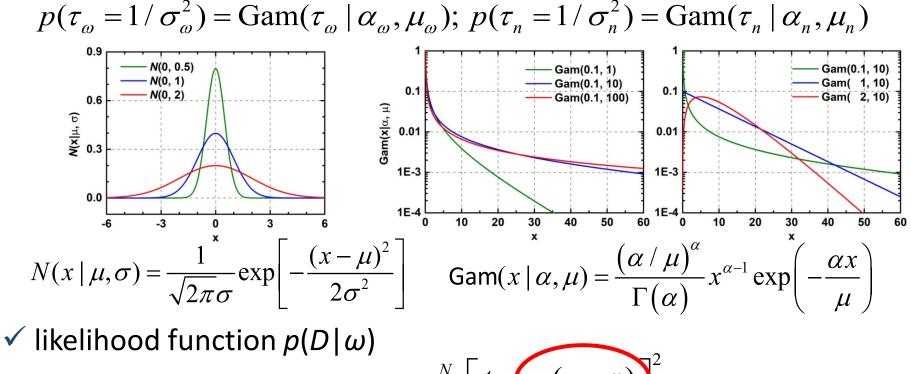
# Bayesian neural network approach

- ★ Bayesian approach
- ★ Neural network
- **★** Bayesian neural network (flexible Bayesian modeling software)
- Results and discussion
  - ★ Nuclear masses
  - **\star** Nuclear  $\beta$ -decay half-lives
  - $\star$  Some other results
- Summary and perspectives

# Bayesian approach in regression problem

• Posterior distributions of parameters are Neal1996Springer  $p(\omega | D) = \frac{p(D | \omega) p(\omega)}{p(D)} \propto p(D | \omega) p(\omega), \quad D = \{(x_1, t_1), (x_2, t_2), \dots, (x_N, t_N)\}$ 

✓ prior distribution  $p(\omega)$ :  $p(\omega) = N(\omega | 0, \sigma_{\omega})$ 



$$p(x,t \mid \omega) = \exp(-\chi^2/2), \ \chi^2 = \sum_{n=1}^{N} \left\lfloor \frac{t_n + y(x_n,\omega)}{\sigma_n} \right\rfloor$$

# Bayesian approach in regression problem

Posterior distributions of parameters are Neal1996Springer

$$p(\omega | D) = \frac{p(D | \omega) p(\omega)}{p(D)} \propto p(D | \omega) p(\omega), \quad D = \{(x_1, t_1), (x_2, t_2), \dots, (x_N, t_N)\}$$

✓ sampling with Markov chain Monte Carlo (MCMC) method

Make predictions

 $\Delta y_n = \sqrt{\langle y_n^2 \rangle - \langle y_n \rangle^2}$ 

$$\langle y_n \rangle = \int y(x_n, \omega) p(\omega \mid D) d\omega = \frac{1}{K} \sum_{k=1}^{K} y(x_n, \omega_k)$$

SNN approach can give the joint probability distribution of all parameters, from which we can get the correlations among parameters, so the number of independent parameters may be much less the number of BNN parameters.

## Monte Carlo method for calculating definite integrals

Replace mathematical expectations with arithmetical averages

$$J = \int_{a}^{b} h(x)dx = \int_{a}^{b} \frac{h(x)}{f(x)}f(x)dx$$

Let  $g(x) = \frac{h(x)}{f(x)} \Rightarrow J = \int_{a}^{b} g(x)f(x)dx$ 

Taking random samples  $x_i$  based on the probability density function f(x), one can replace the integral value with a mathematical expectation

$$J = \int_{a}^{b} g(x) f(x) dx = E(g) = \frac{1}{n} \sum_{i=1}^{n} g(x_{i}) = \overline{g(x)}$$

✓ If f(x) is selected as the probability density function of [a, b] uniform distribution

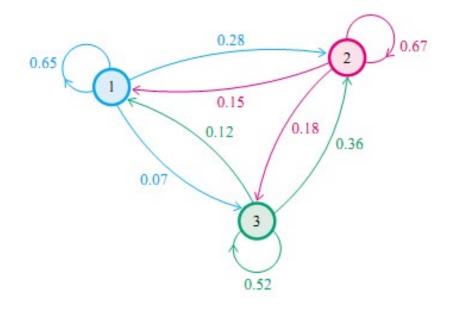
$$f(x) = \frac{1}{b-a} \Longrightarrow g(x) = \frac{h(x)}{f(x)} = (b-a)h(x)$$

$$J = \frac{1}{n} \sum_{i=1}^{n} g(x_i) = \frac{1}{n} \sum_{i=1}^{n} (b-a)h(x_i) = \frac{b-a}{n} \sum_{i=1}^{n} h(x_i)$$

# Markov chain

• Sociologist often divides people into three classes according to their economic status

		Children generation				
5	State	1	2	3		
Parent	1	0.65	0.28	0.07		
generation	2	0.15	0.67	0.18		
-	3	0.12	0.36	0.52		



Matrix of transition probability

	0.65	0.28	0.07
<i>Q</i> =	0.15	0.67	0.18
	0.12	0.36	0.07 0.18 0.52

Suppose the proportion of the current generation in the upper, middle and lower classes is

$$p_0 = [p_0(1), p_0(2), p_0(3)]$$

Then the distribution proportion of their children, grandchildren, ..., the *n*th generation will be

$$p_1 = p_0 Q$$
$$p_2 = p_1 Q = p_0 Q^2$$

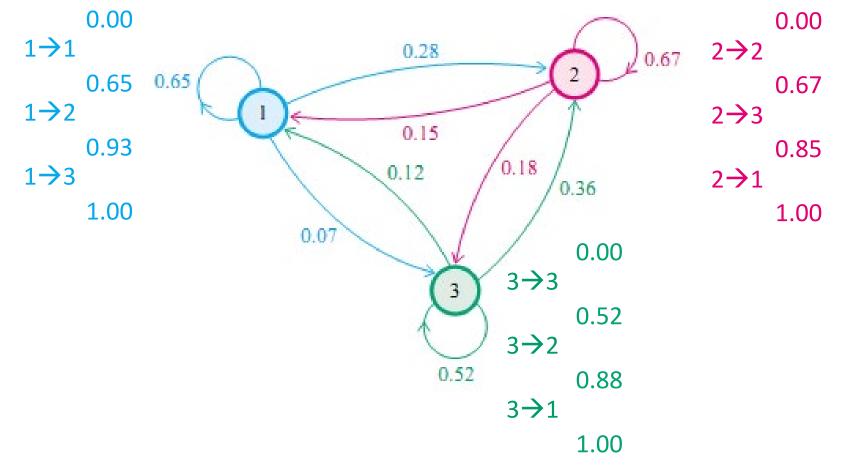
. . .

## Markov chain

generation	lower	middle	upper	generation	lower	middle	upper
0	0.210	0.680	0.110	0	0.75	0.15	0.1
1	0.252	0.554	0.194	1	0.522	0.347	0.132
2	0.270	0.512	0.218	2	0.407	0.426	0.167
3	0.278	0.497	0.225	3	0.349	0.459	0.192
4	0.282	0.490	0.226	4	0.318	0.475	0.207
5	0.285	0.489	0.225	5	0.303	0.482	0.215
6	0.286	0.489	0.225	6	0.295	0.485	0.220
7	0.286	0.489	0.225	7	0.291	0.487	0.222
8	0.289	0.488	0.225	8	0.289	0.488	0.225
9	0.286	0.489	0.225	9	0.286	0.489	0.225
10	0.286	0.489	0.225	10	0.286	0.489	0.225

Even though the initial states are different, when n is large enough, each row of the  $Q^n$  matrix converges stably to the probability distribution [0.286, 0.489, 0.225].

## Markov chain



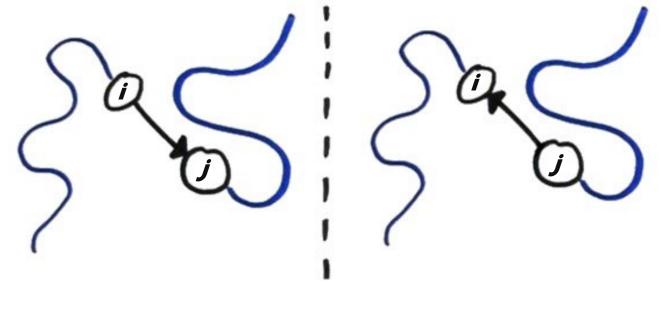
1-(0.61)-1-(0.37)-1-(0.61)-1-(0.68)-2-(0.34)-2-(0.61)-2-(0.88)-1-(0.97)-3-(0.66)-2-(0.55)-2-(0.87)-1-...

→ Sample: 1, 1, 1, 1, 2, 2, 2, 1, 3, 2, 2, 1, ... (the probabilities of occurrence of 1, 2, and 3 are 0.286, 0.489, and 0.225, respectively)

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- Basic idea of Markov chain Monte Carlo method (MCMC):
  - ✓ Given the probability distribution p(x) to be sampled
  - ✓ Construct the transfer matrix *Q* of the Markov chain so that the stationary distribution of this Markov chain is p(x)
  - ✓ Randomly select the initial state  $x_0$
  - ✓ Perform a Markov process transfer to obtain a series of state values: {x<sub>0</sub>, x<sub>1</sub>, …, x<sub>n</sub>, x<sub>n+1</sub>, …}
  - ✓ Check the number of steps at which the Markov process converges, if it is the *n*th step, then {*x<sub>n</sub>*, *x<sub>n+1</sub>*, …} is a sample of the distribution *p*(*x*)

• Detailed balance condition: If the transfer matrix Q and distribution p(x) of the aperiodic Markov chain satisfy:



# p(i)q(i,j) = p(j)q(j,i)

Then p(x) is the stationary distribution of the Markov chain, matrix element q(i, j) of Q represents the transition probability from state i to j, and the above equation is called detailed balance condition.

• Metropolis-Hastings method: there is a Markov chain with a transfer matrix of *Q*, in general:

$$p(i)q(i,j) \neq p(j)q(j,i)$$

that is, the detailed balance condition does not hold, so p(x) cannot be the stationary distribution of this Markov chain. In order to satisfy the detailed balance condition, the acceptance rate  $\alpha(i, j)$  is introduced

Therefore, the Markov chain of the transfer matrix Q' satisfies the detailed balance condition, that is, the stationarity distribution of the Markov chain Q' is p(x).

Metropolis et al., J. Chem. Phys. 21, 1087 (1953); Hastings, Biometrika. 57, 97 (1970)

If the acceptance rate  $\alpha(i, j)$  is too small, the sampling process is easy to stay in place due to the high rejection rate, which makes the Markov chain traverse all the spaces too long and the sampling efficiency is too low. For example:  $\alpha(i, j) = 0.1$ ,  $\alpha(j, i) = 0.2$ , then

 $p(i)q(i,j) \times 0.1 = p(j)q(j,i) \times 0.2$ 

Enlarged both sides of the above equation by a factor of 5

 $p(i)q(i,j) \times 0.5 = p(j)q(j,i) \times 1$ 

The detailed balance condition is still satisfied now, but the acceptance rate is increased. Therefore, in order to improve the acceptance rate,  $\alpha(i, j)$  and  $\alpha(j, i)$  can be scaled up, so that the larger of the two is enlarged to 1, i.e.,

$$\alpha(i,j) = \min\left\{\frac{p(j)q(j,i)}{p(i)q(i,j)}, 1\right\} \stackrel{\text{def}}{=} \min\left\{\frac{p(j)q(i\mid j)}{p(i)q(j\mid i)}, 1\right\}$$

p(x) is no longer required to be a normalized probability distribution

## Metropolis-Hastings sampling steps:

- ✓ Select the proposal distribution q
- ✓ Initialize the state of the Markov chain to  $X_0 = x_0$
- ✓ For t = 0, 1, 2, ..., loop the following process for sampling
  - The state of the Markov chain at the *t*th moment is  $X_t = x_t$ , sampling  $x^* \sim q(x|x_t)$
  - Sample *u* from [0, 1] uniform distribution

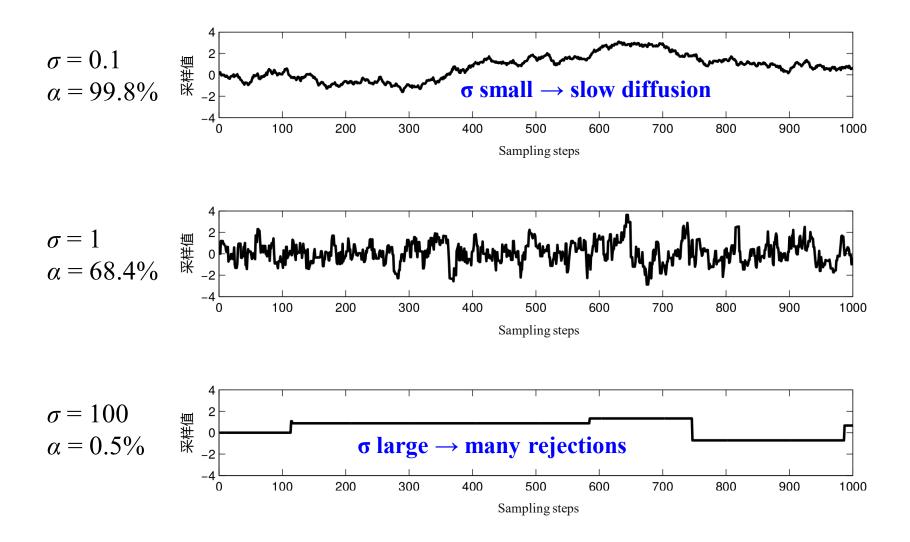
• If 
$$u < \alpha(x_t, x^*) = \min\left\{\frac{p(x^*)q(x_t \mid x^*)}{p(x_t)q(x^* \mid x_t)}, 1\right\}$$
, then accept the transfer,

i.e.  $X_{t+1} = x^*$ ; otherwise do not accept the transfer, i.e.,  $X_{t+1} = x_t$ 

Note: If the proposed distribution q is Gaussian,  $x_t$  is usually taken as the mean of the Gaussian distribution, and its standard deviation  $\sigma$  is the sampling step. If  $\sigma$  is too small,  $\alpha$  will be larger, but the sampling will be slow due to the small step size. If  $\sigma$  is too large, although the step size is large, the sampling efficiency is also low because  $\alpha$  will be too small.

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 $\succ$  Sampling the standard normal distribution using different step sizes  $\sigma$ 



O.234 rule A. Gelman, G.O. Roberts, W.R. Gilks, Bayesian Statistics 5, 599 (1996)
 For a high-dimensional unimodal probability density, e.g.

$$p = N(0, I_d) \text{ with } q(x^* | x_t) = N(x_t, \sigma_d^2 I_d)$$
$$p = N(\mu, \Sigma) \text{ with } q(x^* | x_t) = N(x_t, \sigma_d^2 \Sigma)$$

✓ optimal  $\sigma_d$ :  $\sigma_{d\to\infty} = 2.38 / \sqrt{d}$  (it can hold well when  $d \ge 1$ )

Since the  $\Sigma$  of the actual problem is often unknown, this rule is difficult to use.

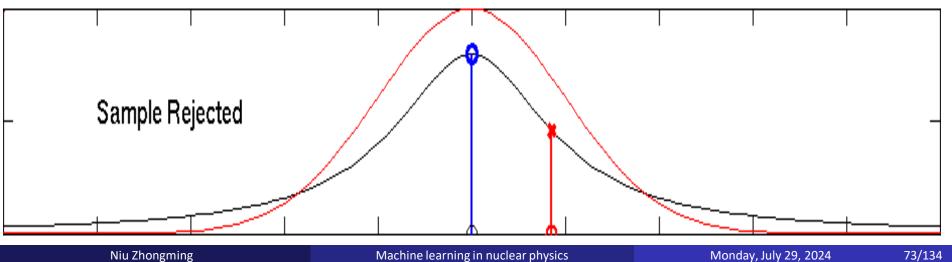
✓ optimal  $\alpha_d$ :  $\alpha_{d \to \infty} = 0.234$  (it can hold well when  $d \ge 6$ )

A reasonable sampling step size is usually chosen based on  $\alpha$ . For practical problems, the sampling efficiency is generally higher when  $\alpha$  around 0.15-0.40.

#### Markov Chain Monte Carlo

#### Sampling process:

$$\begin{aligned} x_{0} \to \begin{cases} x_{*} \in N(x_{0}, \sigma) \\ \alpha(x_{0}, x_{*}) \\ u \in U(0, 1) \end{cases} \to x_{1} &= \begin{cases} x_{0}, \ u > \alpha(x_{0}, x_{*}) \\ x_{*}, \ u \leq \alpha(x_{0}, x_{*}) \end{cases} \\ x_{1} \to \begin{cases} x_{*} \in N(x_{1}, \sigma) \\ \alpha(x_{1}, x_{*}) \\ u \in U(0, 1) \end{cases} \to x_{2} &= \begin{cases} x_{1}, \ u > \alpha(x_{1}, x_{*}) \\ x_{*}, \ u \leq \alpha(x_{1}, x_{*}) \end{cases} \\ x_{*}, \ u \leq \alpha(x_{1}, x_{*}) \end{cases}$$



#### Software for Flexible Bayesian Modeling and Markov Chain Sampling

This software supports flexible Bayesian learning of regression, classification, density, and other models, based on multilayer perceptron neural networks, Gaussian processes, finite and countably infinite mixtures, and Dirichlet diffusion trees, as well as facilities for inferring sources of atmospheric contamination and for molecular simulation. These are implemented using Markov chain Monte Carlo methods. Facilities for Markov chain sampling from distributions specified by simple formulas for the density or for the prior and likelihood are also included.

Before trying to use the software, you may need to read various references that describe the models and the Markov chain methods used.

The software is written in C for Unix, Linux, and macOS systems.

Some of the programs in this package are designed to work wellwith my version of the 'graph' program, see <u>github.com/radfordneal/plotutils</u>, though the data can instead be plotted by whatever plot program you have available.

The source code is available at gitlab.

#### Current release of 2022-04-21:

This release has major new features and performance improvements for neural network models, including support for convolutional networks and for computation on GPUs.

<u>Index to documentation in hypertext form</u> <u>Tar archive of everything (40MB)</u> <u>Gzipped tar archive of everything (12MB)</u>

The tar archives include the complete hypertext documentation, so that you can set it up to be read from your local machine. The documentation is also readable as simple text files. For directions on how to untar a tar archive, see the <u>installation instructions</u> within the above hypertext documentation.

#### Old release of 2020-01-24:

Index to documentation in hypertext form Tar archive of everything

#### https://glizen.com/radfordneal/fbm.software.html

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## **INSTALLING THE SOFTWARE:**

1. Unpack the tar archive files 'fbm.YYYY-MM-DD.tar' by issuing the Unix command: tar xf fbm.YYYY-MM-DD.tar

2. Compile the programs. Go to the directory 'fbm.YYYY-MM-DD' and issue the command ./make-all

3. Put the 'bin' directory in your search path by adding the following command to the '.bash\_profile' file: PATH=\$PATH:/home/zmniu/fbm.2004-11-10/bin export PATH

#### **# Construct a network** net-spec rlog.net 2 15 1 / - 0.05:0.5 0.05:0.5 - x0.05:0.5 - 0.05:0.5 model-spec rlog.net real 0.2:0.5 net-spec rlog.net 2 1 / rdata . $y(x, \omega) = a + \sum_{j=1}^{H} b_j \tanh\left(c_j + \sum_{i=1}^{I} d_{ji}x_i\right)$

- ✓ "rlog.net" is the name of the log file, and the arguments "2", "15", and "1", specify the numbers of input, hidden, and output units. Following the "/", the priors for the various groups of network parameters are given, with a "-" indicating that a parameter group should be omitted. The groups in the above command that are not omitted are the input-hidden weights  $(d_{jj})$ , the hidden biases  $(c_j)$ , the hidden-output weights  $(b_j)$ , and the output bias (a). The "x" in front of the prior for the hidden-to-output weights indicates that the prior should be automatically rescaled based on the number of hidden units, so as to produce an effect that is independent of the number of hidden units (in the limit of large numbers).
- ✓ Specify how the network outputs will be used to model the targets in the data set. "real 0.2:0.5" means the targets are real-valued, and are modeled as the network output plus Gaussian noise, with the noise standard deviation being a hyperparameter having the prior given by the last argument of the command.
- ✓ View the architecture and prior specifications stored in the log file.
- ✓ Specify the training data sets. The "2" and "1" arguments give the numbers of inputs and targets. After the "/", specifications for where to get the training are given, specification "rdata" means that the training inputs come from the file 'rdata'. "." means the target items are on the same lines as the inputs.

# Initialize the network and start the simulation for a few iterations so that the network parameters can take on moderate values

net-gen rlog.net fix 0.5 mc-spec rlog.net repeat 10 sample-noise heatbath hybrid 200:10 0.3 net-mc rlog.net 5 net-plt t r rlog.net

- ✓ The 'net-gen' command stores a network in the log file with index zero, in which the hyperparameters have values of 0.5, and the network parameters are zero. This is the initial state of the simulation run.
- ✓ The 'mc-spec' command specifies the Markov chain operations to be performed in the initial phase. Here, each iteration consists of ten repetitions of the following steps: Gibbs sampling for the noise level, a heatbath replacement of the momentum variables, and a hybrid Monte Carlo update with a trajectory 200 leapfrog steps long, using a window of 10, and a stepsize adjustment factor of 0.3. Note that the hyperparameters are not updated, and hence will remain fixed at values of 0.5.
- ✓ The 'mc-spec' command specifies 5 iterations starting from the initial state and the settings of 'net-gen' and 'mc-spec' commands.
- ✓ The 'net-plt' command is used to output the rejection rate of the sample in order to select the appropriate stepsize. If the rejection rate is too high, such as more than 0.3, then it is necessary to reduce the step size and re-run the last 3 steps until the rejection rate is less than 0.3.

#### # start sampling

mc-spec rlog.net sample-sigmas heatbath hybrid 2500:20 0.3 net-mc rlog.net 2000 & net-display rlog.net

# Output results

net-tbl tw1@w2@w3@w4@ rlog.net > my.dat

- $y(x,\omega) = a + \sum_{j=1}^{H} b_j \tanh\left(c_j + \sum_{i=1}^{I} d_{ji} x_i\right)$
- ✓ The 'mc-spec' command appends a new set of Markov chain operations to the log file, which will override the previous set. These operations are Gibbs sampling for both the hyperparameters and the noise level (the "sigmas"), a heatbath update for the momentum variables, and a hybrid Monte Carlo update with a trajectory 2500 leapfrog steps long, a window of 20, and a stepsize adjustment factor of 0.3. The stepsize may select again in order to find out how large this factor can be while keeping the rejection rate low.
- ✓ The 'net-mc' command will perform 2000-5=1995 iterations of the sampling phase. '&' means one puts the command in the background.
- ✓ The 'net-display' command is used to monitor progress, with which you can look at the parameters and hyperparameters of the last network saved in the log file
- ✓ The 'net-tbl' command outputs the result to the file my.dat, where *t* represents an index of the iterations, i.e. 1, 2, 3,... etc., w1@ represents the input hidden weight parameter group  $(d_{jj})$ , which is output in the order of first looping hidden unit and then looping input variable), w2@ represents the hidden bias parameter group  $(c_j)$ , w3@ represents the hidden output weight parameter group  $(b_j)$ , w4@ represents the output bias parameter group (a).

True :  $y = 0.3 + 0.4x + 0.5\sin(2x)$ 

Data :  $y = 0.3 + 0.4x + 0.5\sin(2x) + 0.2 \times randn$ 

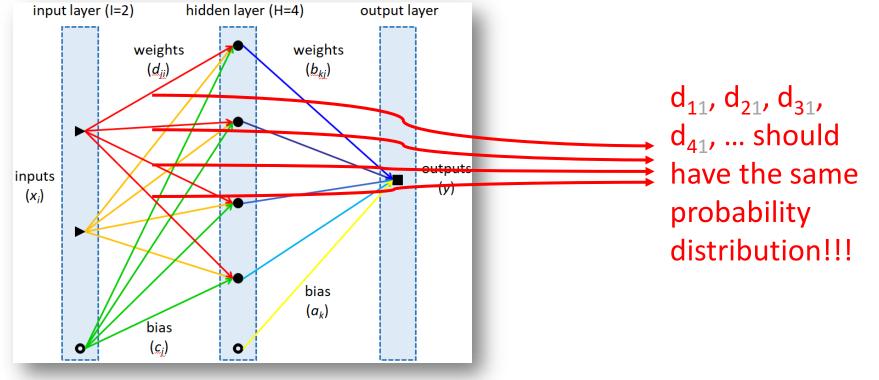
> Number of training data: N=61, x $\in$ [-3, 3]

1 input : y = f(x)

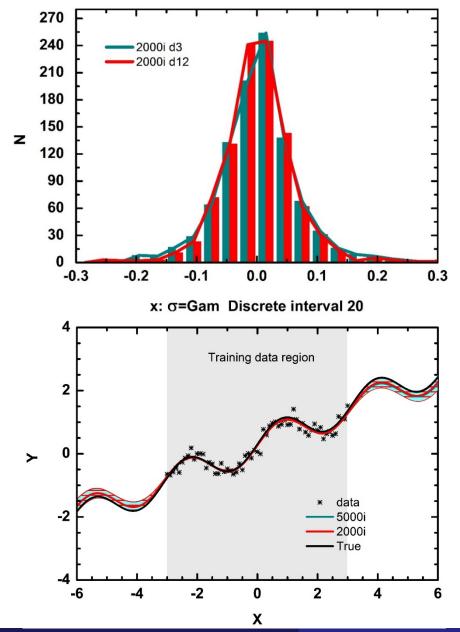
2 inputs :  $y = f[x_1 = x, x_2 = \sin(2x)]$ 

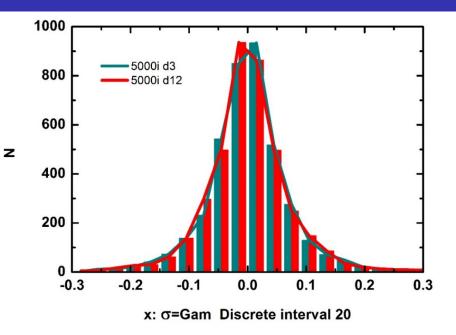
Number of hidden unit: H=20 for f(x); H=15 for f(x<sub>1</sub>, x<sub>2</sub>)

Likelihood function: 
$$p(x, y | \omega) = \exp(-\chi^2 / 2), \ \chi^2 = \sum_{i=1}^{N} \left(\frac{y_i - f(x_i, \omega)}{\sigma}\right)^2$$



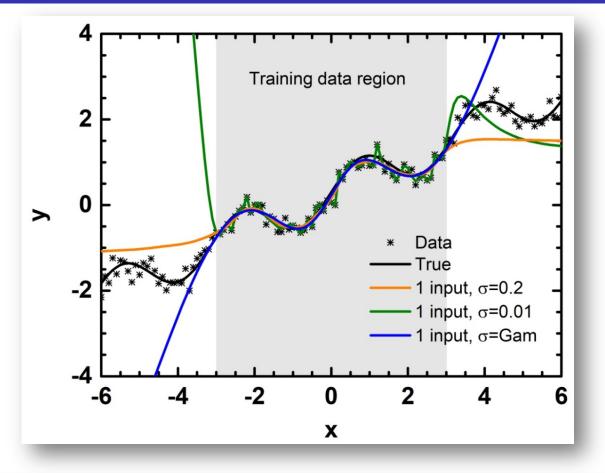
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✓ After 2000 steps of sampling, the distribution of different d parameters is almost the same.

 $\checkmark$  The distribution and prediction results with 2000 and 5000 samples are almost the same.



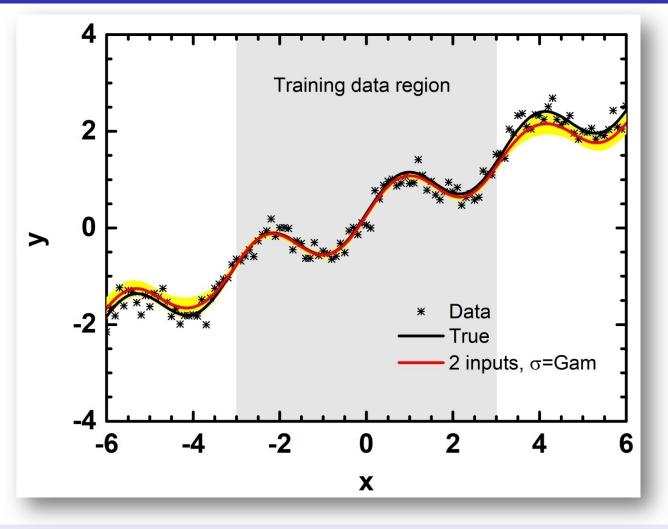
BNN can avoid overfitting if a Gamma distribution is taken as the noise prior.
 Direct BNN fitting with x as the only input variable can only extrapolate around a few steps from known region, while the overfitting would make the extrapolation unacceptable.

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 ✓ Including reasonable variable is very effective for the extrapolation of neural network and the uncertainties of predictions are also reasonable.

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Homework: Please use Tensorflow Playground, 1stOpt, PyTorch, or flexible Bayesian modeling software to perform neural network calculations with some data you have or the following data for the toy model.

$x_1$	$x_2$	У	$x_1$	$x_2$	у
-3.000000	0.279415	-0.646512	0.100000	0.198669	-0.001129
-2.900000	0.464602	-0.678828	0.200000	0.389418	0.771977
-2.800000	0.631267	-0.579860	0.300000	0.564642	0.598594
-2.700000	0.772764	-0.452795	0.400000	0.717356	0.884152
-2.600000	0.883455	-0.593300	0.500000	0.841471	0.967547
-2.500000	0.958924	-0.267339	0.600000	0.932039	1.010313
-2.400000	0.996165	-0.138229	0.700000	0.985450	0.871936
-2.300000	0.993691	-0.060193	0.800000	0.999574	0.930358
-2.200000	0.951602	0.184503	0.900000	0.973848	1.072038
-2.100000	0.871576	-0.174407	1.000000	0.909297	0.917471
-2.000000	0.756802	0.003048	1.100000	0.808496	0.933068
-1.900000	0.611858	0.005739	1.200000	0.675463	1.412228
-1.800000	0.442520	-0.010562	1.300000	0.515501	1.088899
-1.700000	0.255541	-0.450648	1.400000	0.334988	0.784031
-1.600000	0.058374	-0.268406	1.500000	0.141120	0.962315
-1.500000	-0.141120	-0.322984	1.600000	-0.058374	0.685144
-1.400000	-0.334988	-0.629047	1.700000	-0.255541	0.582374
-1.300000	-0.515501	-0.626160	1.800000	-0.442520	0.746519
-1.200000	-0.675463	-0.301273	1.900000	-0.611858	0.944764
-1.100000	-0.808496	-0.570548	2.000000	-0.756802	0.747328
-1.000000	-0.909297	-0.476673	2.100000	-0.871576	0.835506
-0.900000	-0.973848	-0.529326	2.200000	-0.951602	0.470635
-0.800000	-0.999574	-0.646880	2.300000	-0.993691	0.631033
-0.700000	-0.985450	-0.584640	2.400000	-0.996165	0.709430
-0.600000	-0.932039	-0.317289	2.500000	-0.958924	0.577907
-0.500000	-0.841471	-0.510716	2.600000	-0.883455	0.634385
-0.400000	-0.717356	-0.062442	2.700000	-0.772764	1.179861
-0.300000	-0.564642	0.011471	2.800000	-0.631267	1.106616
-0.200000	-0.389418	-0.139052	2.900000	-0.464602	1.098670
-0.100000	-0.198669	0.107544	3.000000	-0.279415	1.521438
0.000000	0.000000	0.062445			

# Outline

Introduction 2 Bayesian neural network approach ★ Bayesian approach ★ Neural network ★ Bayesian neural network Results and discussion  $\star$  Nuclear masses  $\star$  Nuclear  $\beta$ -decay half-lives ★ Some other results Summary and perspectives

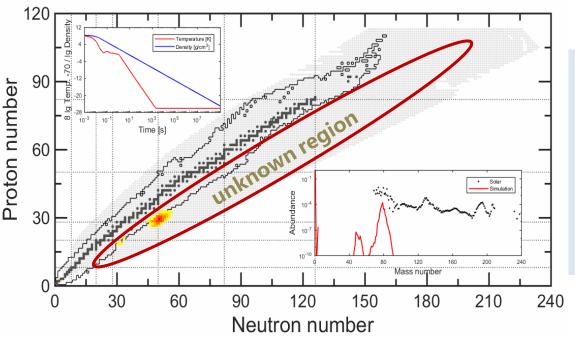
Introduction

Introduction

#### Origin of elements

How were the heavy elements<br/>from iron to uranium made?DISCOVER: The 11 greatest unansweredDISCOVER:<br/>DISCOVER: The 11 greatest unanswered

#### Rapid neutron-capture process (r-process)



Key nuclear physics inputs:

- ✓ Nuclear mass → r-process
   path
- ✓ β-decay half-life → r-process time scale

Accurate theoretical predictions of nuclear masses and β-decay halflives are crucial for understanding the r-process.

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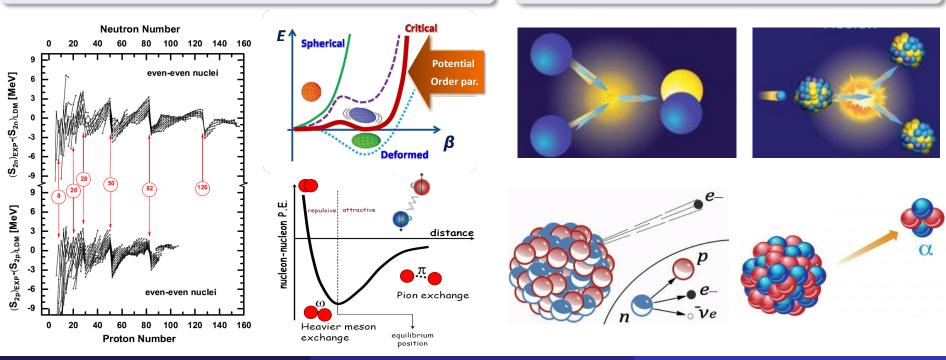
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#### Nuclear masses

Nuclear mass is a fundamental quantity in nuclear physics. It plays important roles not only in various aspects of nuclear physics, but also in other branches of physics, such as astrophysics and nuclear engineering. [Lunney2003RMP, Burbidge1957RMP]

★ Nuclear physics: it contains wealth of nuclear structure information such as magic number and shape transition, and it is widely used to extract nuclear effective interactions. ★ Other branches: it is essential to determine nuclear reaction and decay energies, so it is important in astrophysics and nuclear engineering.

Introduction



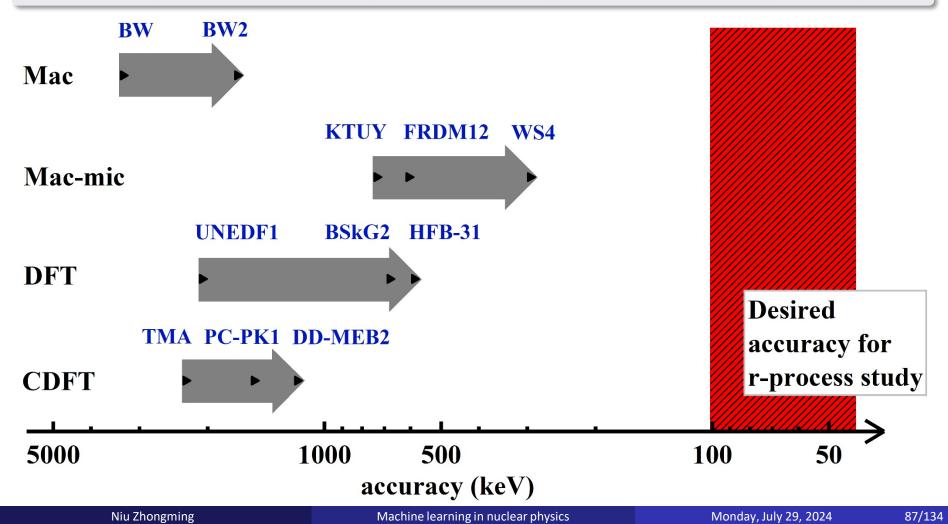
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### Nuclear mass models

★ Macroscopic mass models: BW [Weizsäcker1935ZP, Bethe1937RMP, Kirson2008NPA]
 ★ Macro-microscopic mass models: FRDM, WS4 [Moller2012PRL, Wang2014PLB]
 ★ Microscopic mass models: Skyrme HFB, RMF [Goriely2016PRC, Geng2005PTP]



Introduction

## Influence of masses

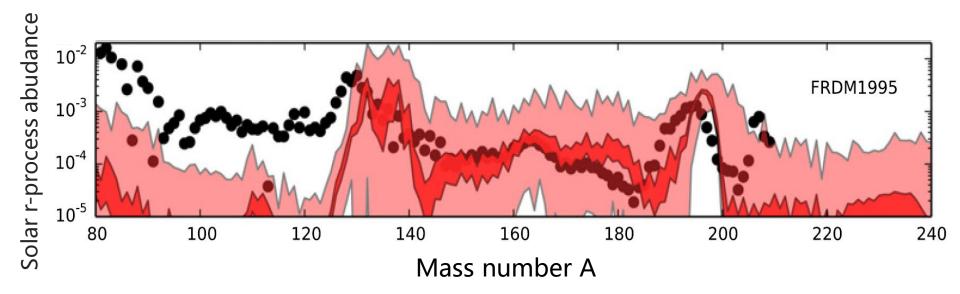


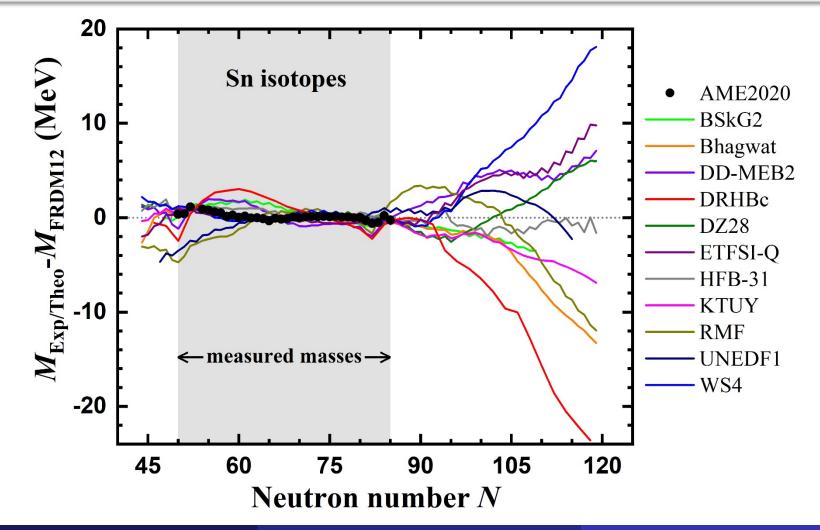
Figure: Variance in isotopic abundance patterns from FRDM1995 mass model predictions compared to the solar data (dots). M.R. Mumpower *et al.*, PPNP 86, 86 (2016)

Lighter and darker shaded bands represent Monte Carlo simulationa with mass model uncertainties of 500 keV and 100 keV

Accurate description of r-process abundance requires nuclear mass accuracy up to 100 keV!

#### Nuclear mass models

★ Different nuclear mass models giving comparable accuracy can extrapolate quite differently out to the neutron drip line.



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**Results and discussion** 

## Numerical details

$$y_{n}(x,\omega) = a + \sum_{j=1}^{H} b_{j} \tanh\left(c_{j} + \sum_{i=1}^{I} d_{ji}x_{in}\right)$$
Data: 2272 nuclei from AME2016  
(Z, N>=8 and  $\sigma^{exp} <= 100 \text{ keV}$ )  
M. Wang et al., CPC 41 030003  

$$M_{n} = 42$$

$$n_{p} = 169$$

$$y_{n} + M_{n}^{\text{th}} : t_{n} = M_{n}^{exp} \Leftrightarrow y_{n} : t_{n} = M_{n}^{exp} - M_{n}^{\text{th}}$$

$$\Rightarrow M_{n}^{\prime \text{th}} = y_{n} + M_{n}^{\text{th}}$$

$$A = M_{n}^{exp} = 169$$

$$y_{n} + M_{n}^{\text{th}} : t_{n} = M_{n}^{exp} \Leftrightarrow y_{n} : t_{n} = M_{n}^{exp} - M_{n}^{\text{th}}$$

$$\Rightarrow M_{n}^{\prime \text{th}} = y_{n} + M_{n}^{\text{th}}$$

$$A = M_{n}^{exp} = 169$$

$$M_{n}^{\prime \text{th}} = y_{n} + M_{n}^{\text{th}}$$

$$A = [(-1)^{Z} + (-1)^{N}]/2, P = v_{n}v_{p}/(v_{p} + v_{n})$$

$$v_{p} = \min(|Z - Z_{0}|), v_{n} = \min(|N - N_{0}|)$$

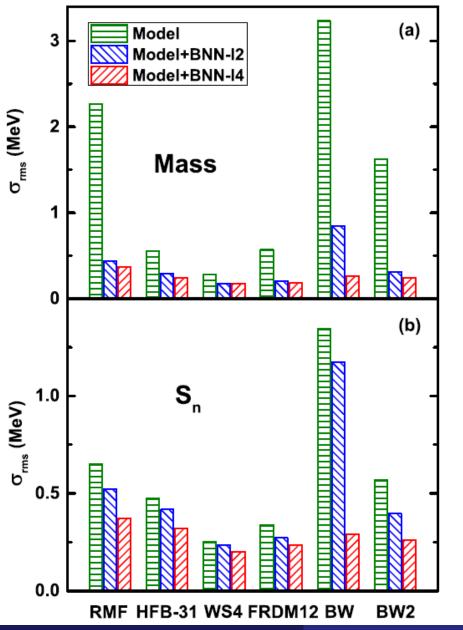
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#### Rms deviations of mass and S<sub>n</sub>

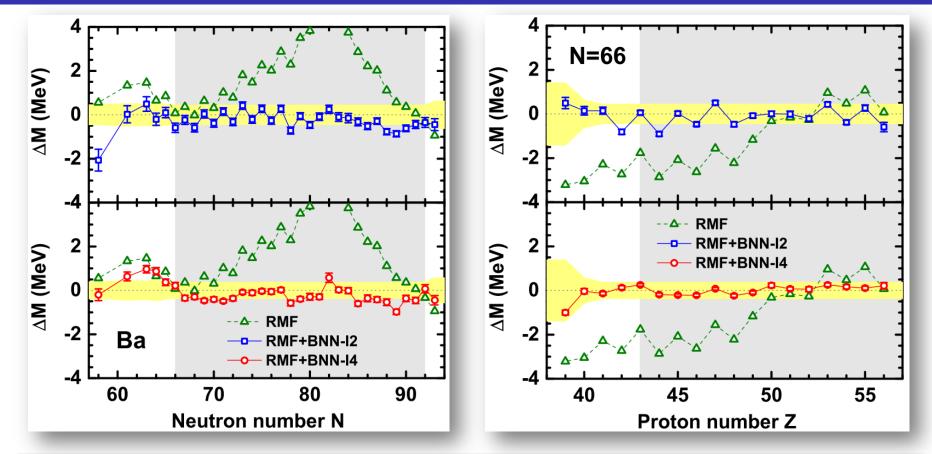


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- The predictions of nuclear mass and neutron-separation energy are significantly improved with the BNN approach.
- After the improvement using the BNN approach with four inputs, the rms deviations are generally around 200 keV.
- ► The BNN with four inputs is more powerful than the BNN with two inputs, especially for the neutron

separation energy.

#### Mass extrapolation



► The smooth deviations can be improved with both BNN approaches, while the odd-even staggering can only remarkably reduced with BNN-I4 approach.

► The BNN corrections are still reasonable if the extrapolation is not far away from the training region. Z.M. Niu and H.Z. Liang, PLB 778, 48 (2018)

#### Mass predictions of RMF+BNN model

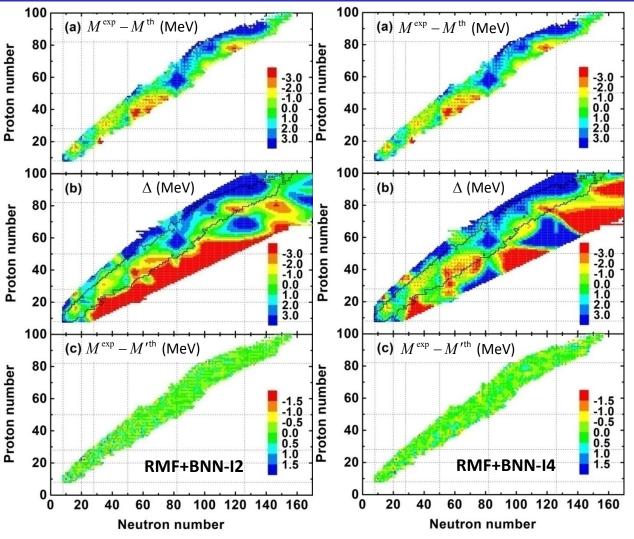


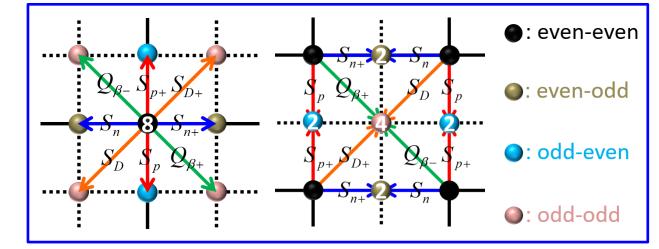
Figure: (a) Mass differences between the experimental data in AME16 and the predictions of the RMF model. (b) BNN corrections. (c) Mass differences after BNN improvement. Niu and Liang, PLB 778, 48 (2018)

Smooth mass deviations can be easily removed by both BNN approaches, while the odd-even staggering can be well reproduced only using BNN-I4 approach.

► The extrapolation of BNN correction show more structure information for the BNN-I4 approach, especially the shell effects around (Z,N)=(28, 82) and (50, 126).

### Idea of BML

• 
$$\delta = [(-1)^{Z} + (-1)^{N}]/2$$
  
= 
$$\begin{cases} 1, \text{ even-even} \\ 0, \text{ old-A} \\ -1, \text{ old-old} \end{cases}$$



$$\overline{M}(Z,N) = M(Z,N); \ \overline{M}(Z+1,N+1) = \sum_{i=1}^{4} M^{i}(Z+1,N+1)/4$$
  
$$\overline{M}(Z,N+1) = \sum_{i=1}^{2} M^{i}(Z,N+1)/2; \ \overline{M}(Z+1,N) = \sum_{i=1}^{2} M^{i}(Z+1,N)/2$$

• 
$$P = v_n v_p / (v_p + v_n), v_p = \min(|Z - Z_0|), v_n = \min(|N - N_0|)$$

$$E_{\text{mic}}^{\text{model}} = M^{\text{model}} - E_{\text{mac}}^{\text{FRDM12}}$$
 or  $E_{\text{mic}}^{\text{model}} = M^{\text{model}} - E_{\text{mac}}^{\text{LDM}}$ 

#### **Extrapolation of BML**

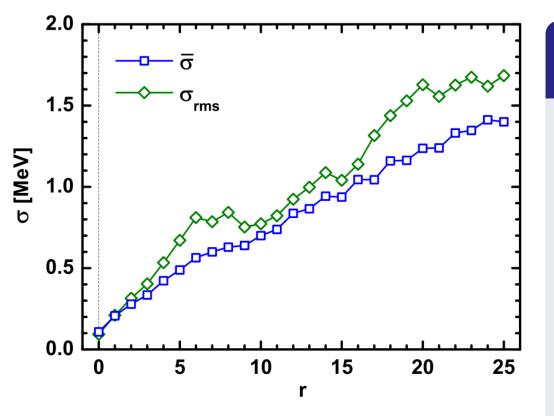


Fig: Average theoretical uncertainties  $\overline{\sigma}$  (squares) of mass predictions by BML as a function of minimum distance r to the isotopes in the learning set. The rms deviations  $\sigma_{rms}$  of BML mass predictions with respect to the corresponding FRDM12 values are shown with diamonds. Taking FRDM12 mass predictions as the Pseudoexperimental data:

★ The BML model can well
 reproduce the pseudoexperimental
 data within 100 keV for nuclei in the
 known region.

★ The rms deviation between the BML predictions and the pseudoexperimental data increases as the increase of the distance r. It is very similar to the average error of BML, which indicates the BML model could give reasonable evaluations of the theoretical uncertainties. **Results and discussion** 

Results and discussion

### **BML predictions**

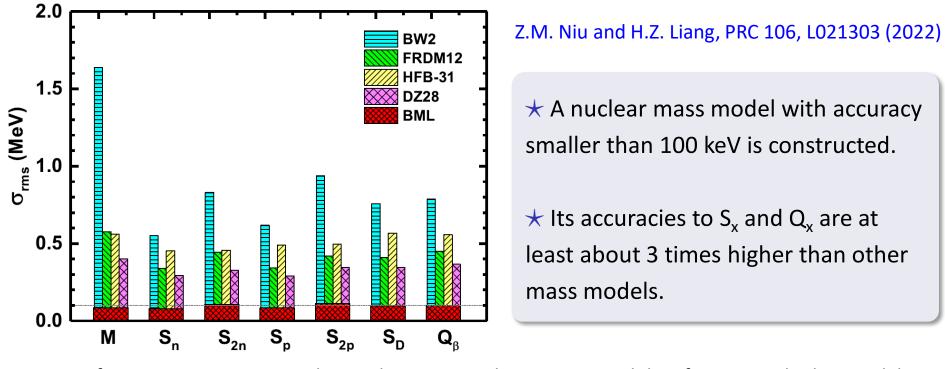


Fig:  $\sigma_{rms}$  of M,  $S_n$ ,  $S_{2n}$ ,  $S_p$ ,  $S_{2p}$ ,  $S_D$ , and  $Q_\beta$  with respect to the experimental data for BML and other models.

Model	Μ	S <sub>n</sub>	S <sub>2n</sub>	Sp	S <sub>2p</sub>	S <sub>D</sub>	Q <sub>β</sub>
FRDM12	0.576	0.340	0.442	0.341	0.420	0.411	0.450
HFB-31	0.559	0.451	0.456	0.489	0.496	0.566	0.557
WS4	0.285	0.254	0.261	0.261	0.300	0.324	0.327
BML	0.084	0.078	0.105	0.083	0.111	0.096	0.099

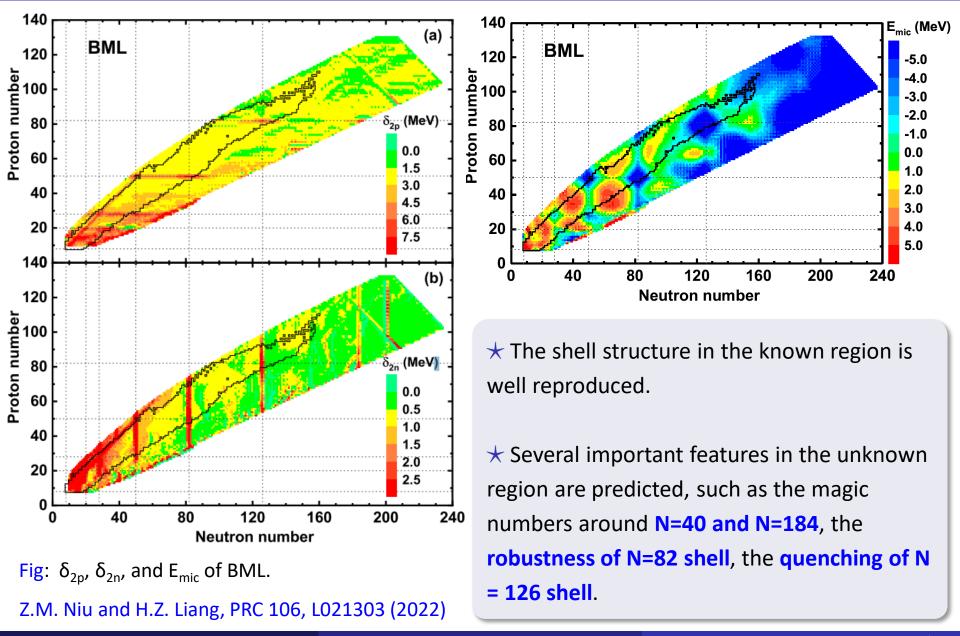
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#### **BML predictions**



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**Results and discussion** 

#### **Comparison of mass predictions**

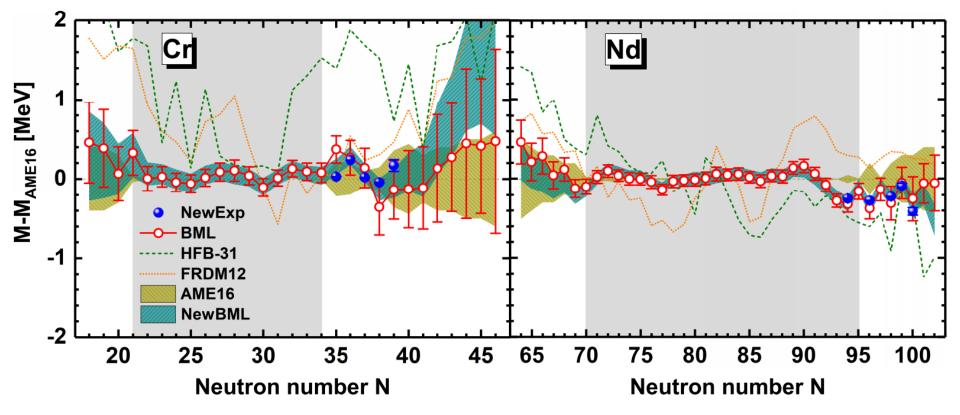


Fig: Mass differences between  $M_{exp}$  in AME16 and  $M_{th}$  from BML, NewBML, HFB-31, and FRDM12 models. The new experimental data from [Mougeot2018PRL; Orford2018PRL] are denoted by spheres.

 $\star$  The BML model well reproduces new experimental masses within errors. If new data are included in Lset, the errors near new data reduce to about half of original values.

#### FNN VS BNN

模型	Mass rms (MeV)		
BW		3.068	
	Adam	RMSprop	SGD
FNN-I2a (Z, N $\rightarrow$ M <sub>exp</sub> )	39.745	33.192	41.226
FNN-I2b (Z, N $\rightarrow M_{exp} - M_{BW}$ )	1.186	2.247	2.812
FNN-I4 (Z, N, $\delta$ , P $\rightarrow$ M <sub>exp</sub> -M <sub>BW</sub> )	0.685	1.066	2.080
BNN-I4 (Z, N, $\delta$ , P $\rightarrow$ M <sub>exp</sub> -M <sub>BW</sub> )		0.333	

4 input: n<sub>H</sub>=28 2 output: n<sub>H</sub>=42 Number of parameter: 169 Reasonable design of the input and output layer can significantly improve the prediction performence of neural networks!

D.C. Tian, S.W. Chen, and Z.M. Niu\*, SSPMA 52, 252007 (2022)

#### FNN VS BNN

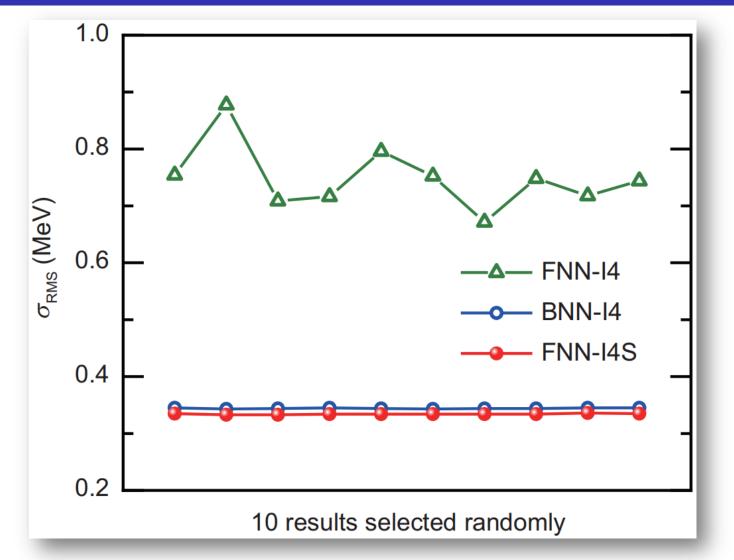


Fig: RMS deviations of nuclear mass between experimental data and FNN-I4, BNN-I4, FNN-I4S results.

D.C. Tian, S.W. Chen, and Z.M. Niu\*, SSPMA 52, 252007 (2022)

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## Outline

Introduction 2 Bayesian neural network approach ★ Bayesian approach ★ Neural network ★ Bayesian neural network Results and discussion ★ Nuclear masses  $\star$  Nuclear  $\beta$ -decay half-lives ★ Some other results Summary and perspectives

## Nuclear models for β-decay half-lives

- Phenomenological formula Pfeiffer2000Report, Zhang2006PRC,2007JPG, Zhou2017SCPMA, Xia2024APS
- Gross theory Takahashi1969PTP, Tachibana1990PTP, Nakata1997NPA, Koura2017PRC, Fang2022PRC
- Shell model Pinedo1999PRL, Caurier2002PRC, Langanke2003RMP, Zhi2013PRC
- Quasiparticle random phase approximation (QRPA)

Nilsson BCS+QRPA: Staudt1990ADNDT, Hirsch1993ADNDT, Nabi1999ADNDT

FRDM+QRPA: Möller1997,2018ADNDT, Möller2003PRC

Woods-Saxon+QRPA: Ni2012JPG

SHF BCS+QRPA:

SHF(BCS)+(Q)RPA:

RHB+QRPA:

Sarriguren2005, 2010, 2011PRC

DF(Fayans)+CQRPA: Borzov1996ZPA, Borzov2003,2005PRC, Borzov2008NPA

ETFSI(Skyrme)+CQRPA: Borzov1997NPA, Borzov2000PRC

Bai2010PRL, Minato2013PRL, Minato2022PRC

SHFB+QRPA/FAM/QPVC: Engel1999PRC, NiuYF2015PRL,2018PLB, FAM: Ney2020PRC

Nikšić2005PRC, Marketin2007,2016PRC, Wang2016JPG, NiuZM2013PRC(R)

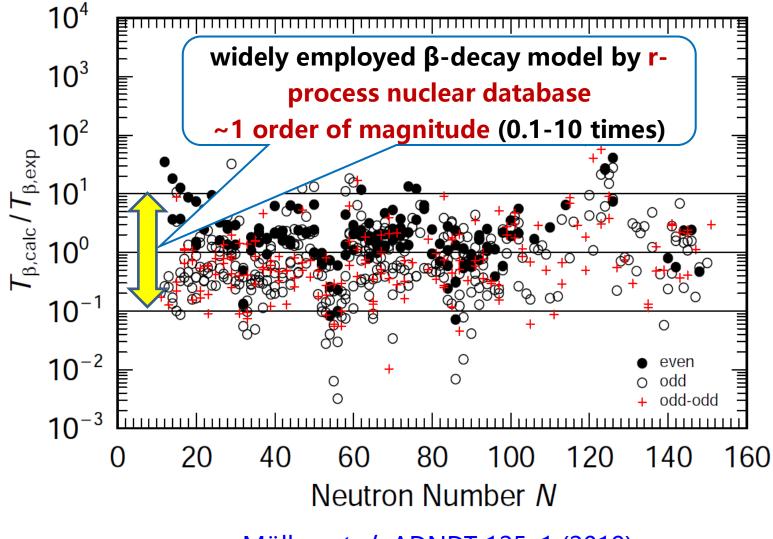
RHFB+QRPA: <u>NiuZM2013PLB</u>

Machine learning Costiris2009PRC, Li2022SSPMA, Niu2019PRC, Li2024JPG

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## Nuclear models for β-decay half-lives



Möller et al., ADNDT 125, 1 (2019)

#### Influence of half-lives

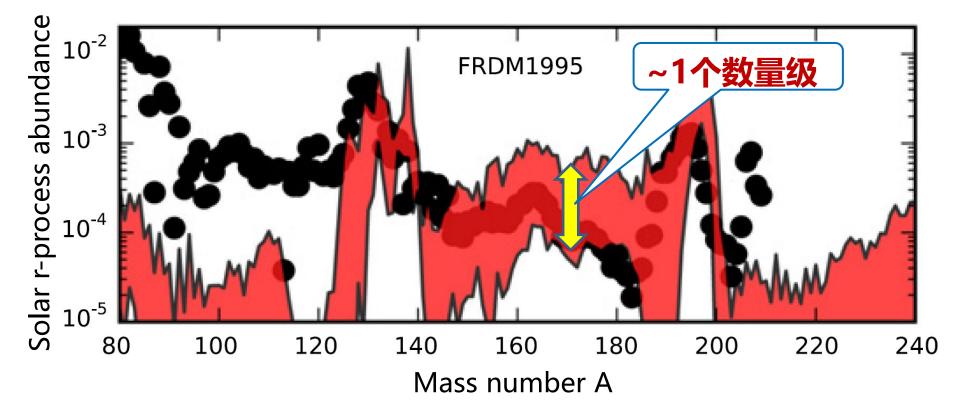


Figure: Variance in isotopic abundance patterns from FRDM1995 mass model predictions compared to the solar data (dots). M.R. Mumpower *et al.*, PPNP 86, 86 (2016)

**Results and discussion** 

**Results and discussion** 

## Numerical details

$$y_{n}(x,\omega) = a + \sum_{j=1}^{H} b_{j} \tanh\left(c_{j} + \sum_{i=1}^{I} d_{ji}x_{in}\right)$$
Data: 1009 nuclei in NUBASE2016 (*Z*,  
*N*>=8 and  $\beta$ -decay fraction=100%)  
G. Audi et al., CPC 41, 030001 (2017)  

$$y_{n} + \log(T_{n}^{\text{th}}) : \log(T_{n}^{\exp}) \Leftrightarrow y_{n} : \log(T_{n}^{\exp} / T_{n}^{\text{th}})$$

$$\Rightarrow \log(T_{n}^{\prime\text{th}}) = y_{n} + \log(T_{n}^{\text{th}})$$

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Z+1, N-1

**Z**, N

# Nuclear β-decay half-lives

• The nuclear  $\beta$ -decay half-life in allowed GT approximation reads as follows:

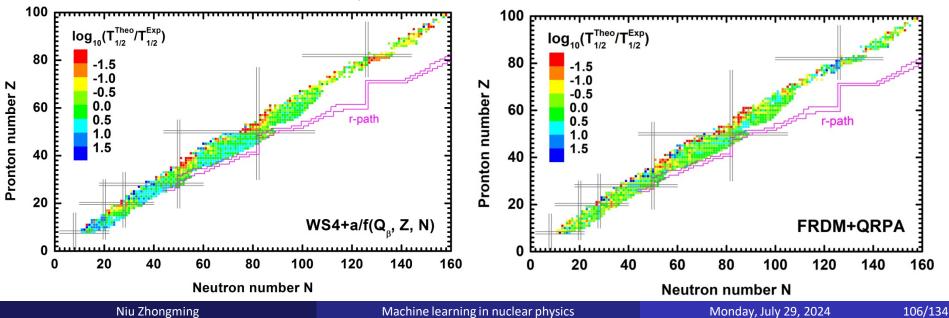
$$T_{1/2} = \frac{\ln 2}{\lambda_{\beta}} = \frac{D}{g_{A}^{2} \sum_{m} B_{GT}(E_{m}) f(Z, A, E_{m})}$$
  

$$\Rightarrow T_{1/2} = a / f(Z, A, E_{m} = Q_{\beta} - c(\delta - 1) / \sqrt{A})$$

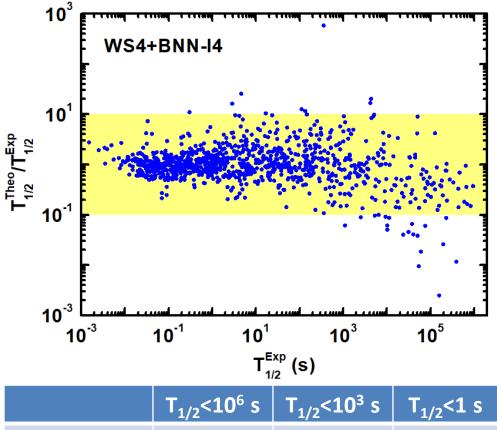
where  $D = \frac{\hbar^7 2\pi^3 \ln 2}{g^2 m_e^5 c^4} = 6163.4 \text{ s}, g_A = 1, B_{GT}(E_m)$  is the transition probability, and  $E_m$  is the maximum value of  $\beta$ -decay energy.

The phase volume is

$$f(Z, A, E_m) = \frac{1}{m_e^5} \int_{m_e}^{E_m} p_e E_e (E_m - E_e)^2 F(Z, A, E_m) dE_e,$$



## Half-lives of BNN approaches



	1 <sub>1/2</sub> <10° S	1 <sub>1/2</sub> <10° S	1/2 <sup>×1</sup> S
WS4+a/f	0.8060	0.6302	0.5631
WS4+BNN-I2	0.4766	0.3542	0.2383
WS4+BNN-I4	0.3999	0.3146	0.2036
FRDM+QRPA	0.8190	0.5969	0.3906
RHB+QRPA	1.8844	1.6196	0.4631

The WS4+BNN-I4 approach usually better reproduce the halflives of short-lived nuclei.

 The WS+BNN-I4 approach gives the best results, which can describe nuclear half-lives around 10<sup>0.2</sup>=1.6 times of experimental data for nuclei with half-lives shorter than 1 s.

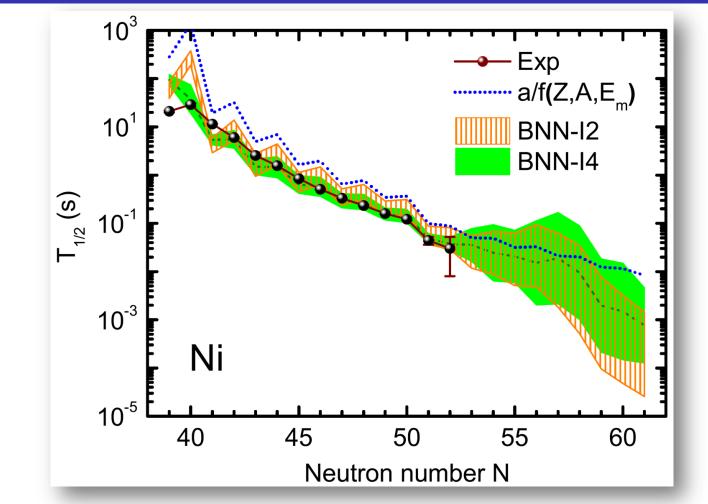
$$\sigma_{\rm rms} = \sqrt{\frac{\sum_{i=1}^{n} \left[\log_{10}\left(T_{1/2}^{\rm Exp} / T_{1/2}^{\rm Theo}\right)\right]^2}{n}}$$

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### Half-lives with BNN approaches

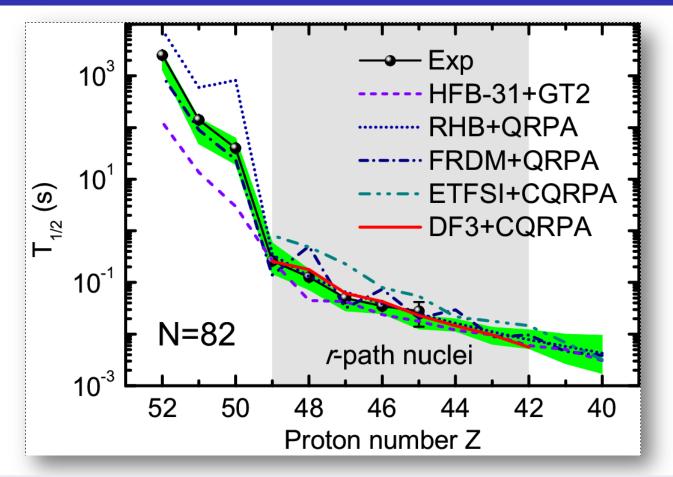


T<sub>1/2</sub>=a/f(Q<sub>β</sub>, Z, N) generally overestimates the odd-even staggering in half-lives.
 BNN-I2 approach cannot easily remove odd-even staggering in half-lives, while BNN-I4 approach well reproduce the experimental data. Z. M. Niu et al., PRC 99, 064307 (2019)

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# Predictions of nuclear half-lives



The results of WS4+BNN-I4 approach are in good agreement with the experimental data, even completely agree with the experimental data within uncertainties for short-lived nuclei.
 When extrapolate from known region, the results of other models generally agree with WS4+BNN-I4 predictions within uncertainties.
 Z. M. Niu et al., PRC 99, 064307 (2019)

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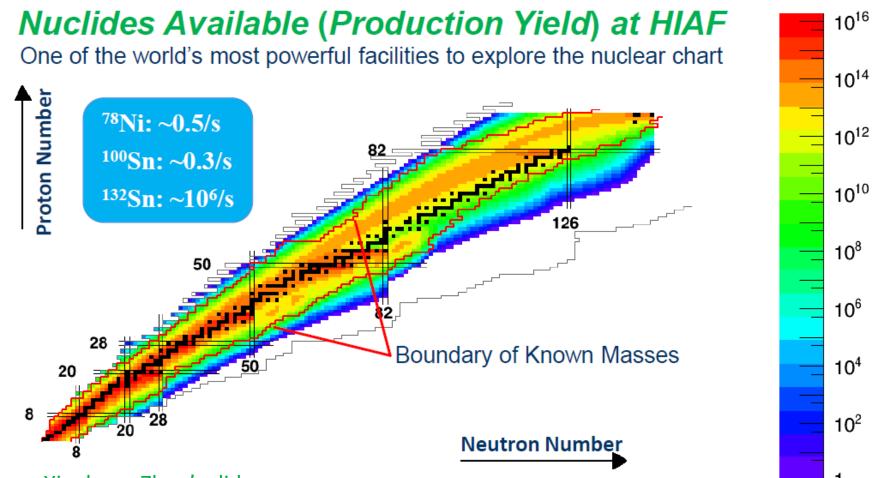
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Results and discussion

Results and discussion

# **Capability of Producing Nuclides**



#### From Xiaohong Zhou's slide

Prolific sources of nuclides far away from the stability line will be provided using projectile fragmentation, in-flight fission, multi-nucleon transfer, and fusion reactions. The limits shown are the production rate of one nuclide per day, which enable the "discovery experiments"

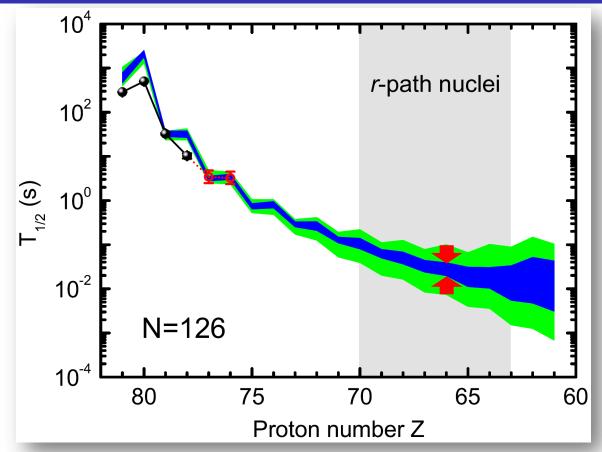
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# Predictions of nuclear half-lives



 $\bigcirc$  If we can further measure three more  $\beta$ -decay half-lives for each isotopes

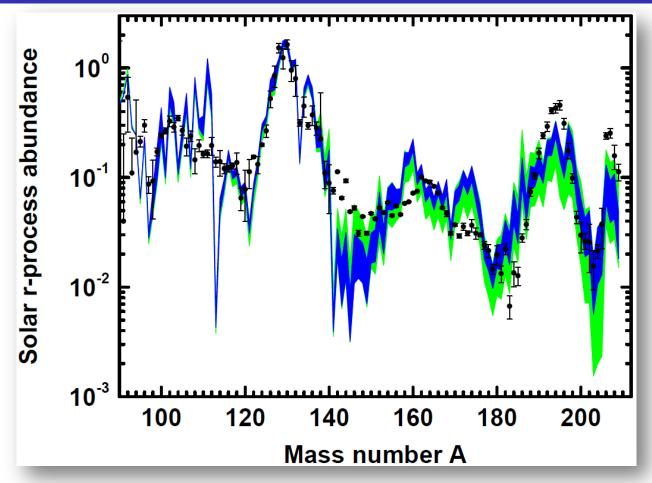
- $\checkmark$  uncertainties of BNN predictions are similar in the training region
- $\checkmark$  they will be decreased about 3 times when extrapolate to the region far

from known region.

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Z. M. Niu et al., PRC 99, 064307 (2019)

# Predictions of r-process abundances



• Uncertainties from  $\beta$ -decay half-lives lead to large uncertainties for the *r*-process abundances of elements with A>~140, which can be remarkably reduced if we can further measure three more  $\beta$ -decay half-lives. Z. M. Niu et al., PRC 99, 064307 (2019)

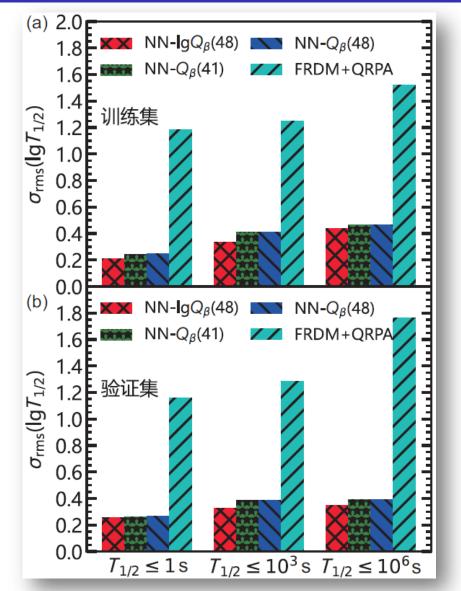
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# Predictions of nuclear half-lives

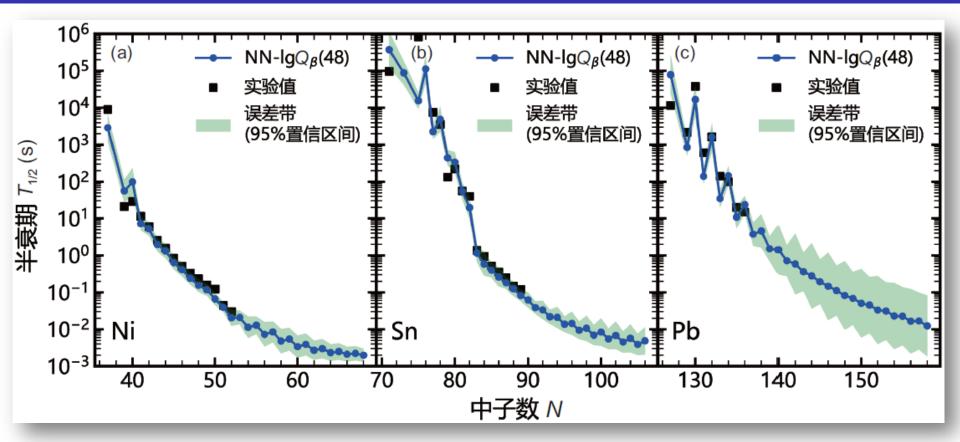


• Compared with FRDM+QRPA, the accuracy of the description of half-lives is improved by about 2.6 times.

For the nuclei with half-lives of
 < 1 s, the rms value reaches</li>
 10<sup>0.22</sup>=1.66.

P. Li, J.H. Bai, Z.M. Niu, and Y.F. Niu\*, SSPMA 52, 252006 (2022)

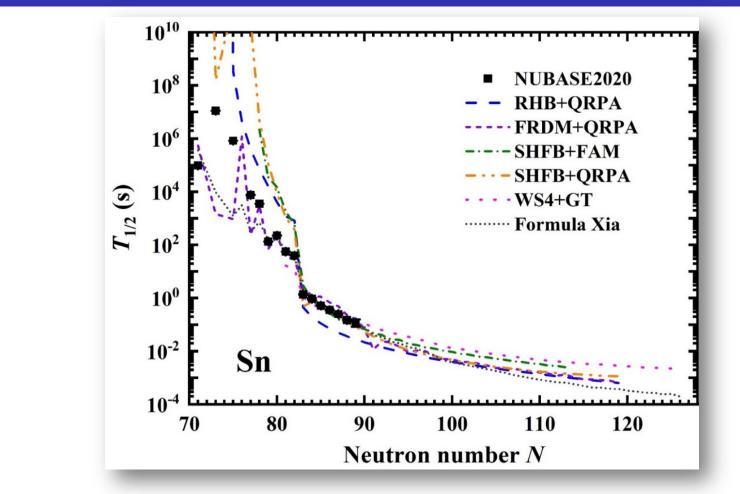
# Predictions of nuclear half-lives



The NN can reproduce the experimental values well, including the jumps at the magic numbers for Ni and Sn isotopes and the odd-even oscillations of Pb isotopes.
 The error bands becomes larger and larger as move away from the known region.

P. Li, J.H. Bai, Z.M. Niu, and Y.F. Niu\*, SSPMA 52, 252006 (2022)

#### Nuclear models for β-decay half-lives



 Different models generally better reproduce β-decay half-lives of short-lived nuclei. The deviations between different predictions slowly increase to an order of magnitude even out to the drip line.

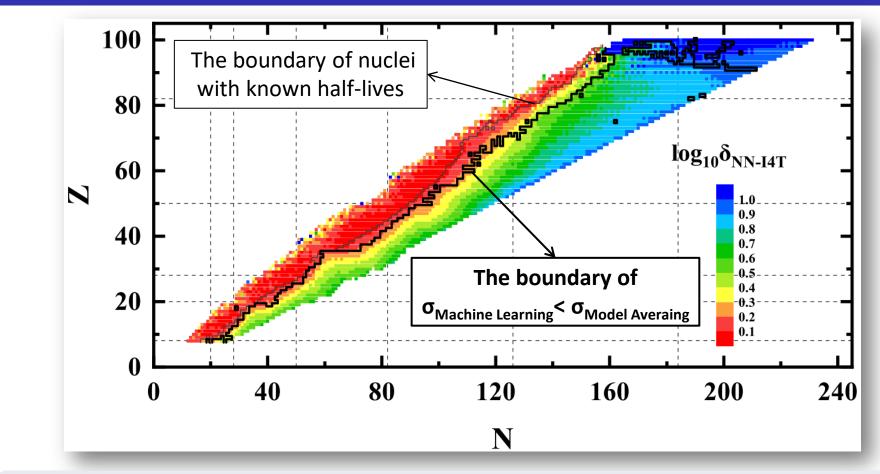
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Results and discussion

Results and discussion

#### β-decay half-lives from machine learning



• The half-life uncertainties of the neural network are still smaller than those of the model averaging method within about 5–10 steps for nuclei with  $35 \lesssim Z \lesssim 90$ . W. F. Li *et al.*, J. Phys. G 51, 015103 (2024)

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# Outline

Introduction 2 Bayesian neural network approach ★ Bayesian approach ★ Neural network ★ Bayesian neural network Results and discussion ★ Nuclear masses  $\star$  Nuclear  $\beta$ -decay half-lives  $\star$  Some other results Summary and perspectives

# Outline

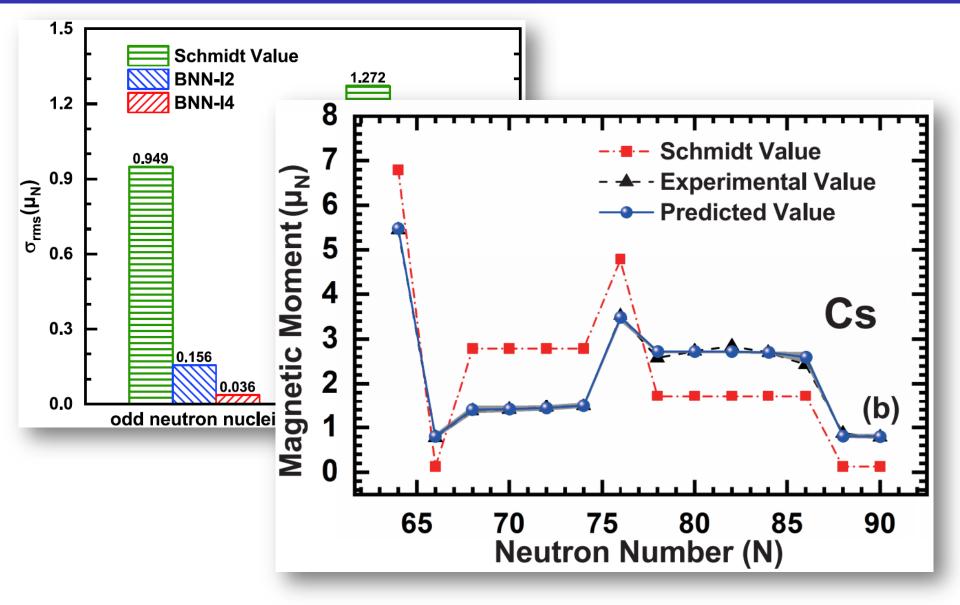
# 1 Introduction

- Bayesian neural network approach
- Results and discussion
  - $\star$  Some other results
    - ✓ Other properties with enough data or theoretical results
    - ✓ Less controlled model parameters
    - ✓ Construct theory guaranteed by physics, e.g. DFT
    - ✓ New applications, e.g. data selection or evaluation

# Summary and perspectives

**Results and discussion** 

#### Magnetic moments: BNN



Z.L. Yuan, D.C. Tian, J. Li\*, and Z.M. Niu\*, CPC 45, 124107 (2021)

# Low-lying excitation spectra: BNN

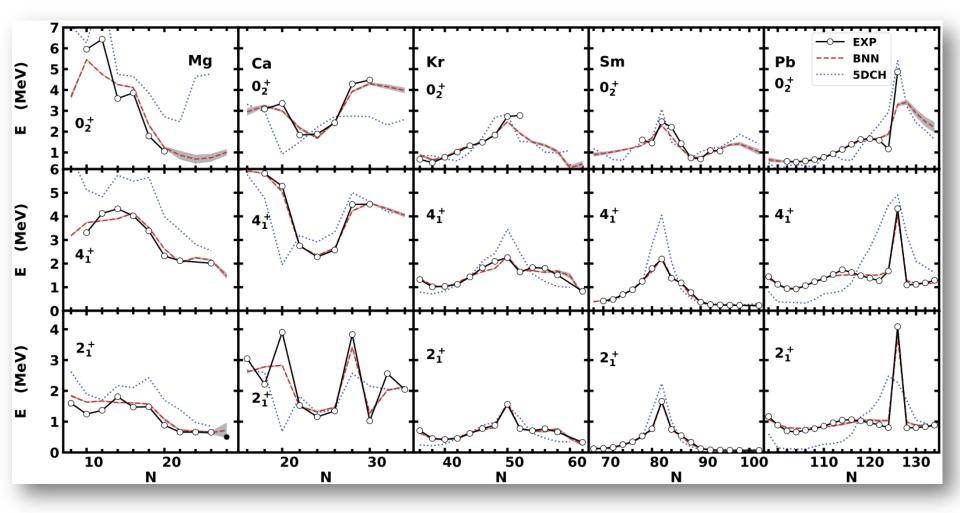
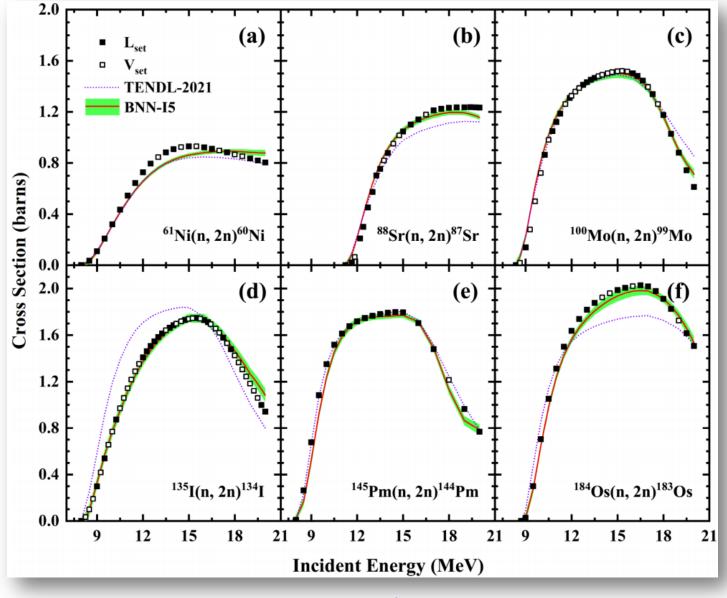


Fig:  $E(0_2^+)$ ,  $E(2_1^+)$ , and  $E(4_1^+)$  of Mg, Ca, Kr, Sm, and Pb isotopes predicted by BNN and 5DCH.

Y.F. Wang, X.Y. Zhang, Z.M. Niu\*, and Z.P. Li, PLB 830, 137154 (2022)

#### Cross section: BNN



W. F. Li, L. L. Liu, Z. M. Niu\*, Y. F. Niu, and X. L. Huang, PRC 109, 044616 (2024)

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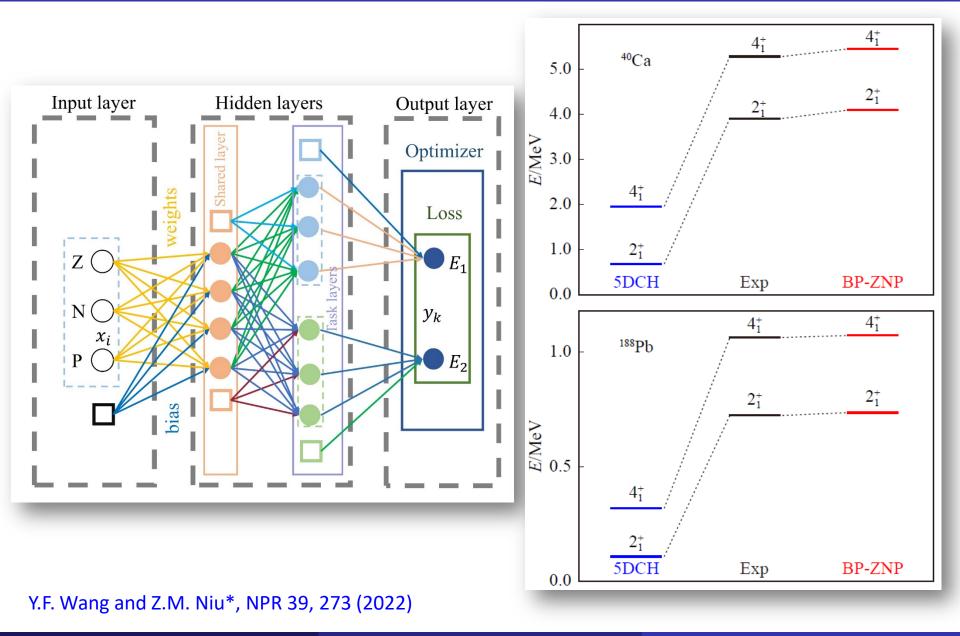
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Results and discussion

**Results and discussion** 

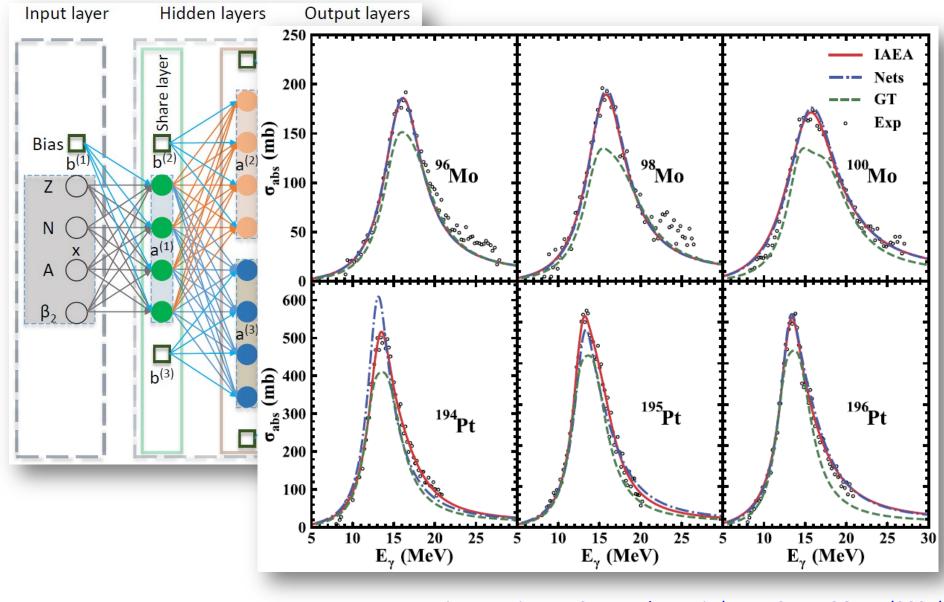
# Low-lying excitation spectra: MTNN



Results and discussion

**Results and discussion** 

# Giant dipole resonance key parameters: MTNN



J.H. Bai, Z.M. Niu, B.Y. Sun, and Y.F. Niu\*, PLB 815, 136147 (2021)

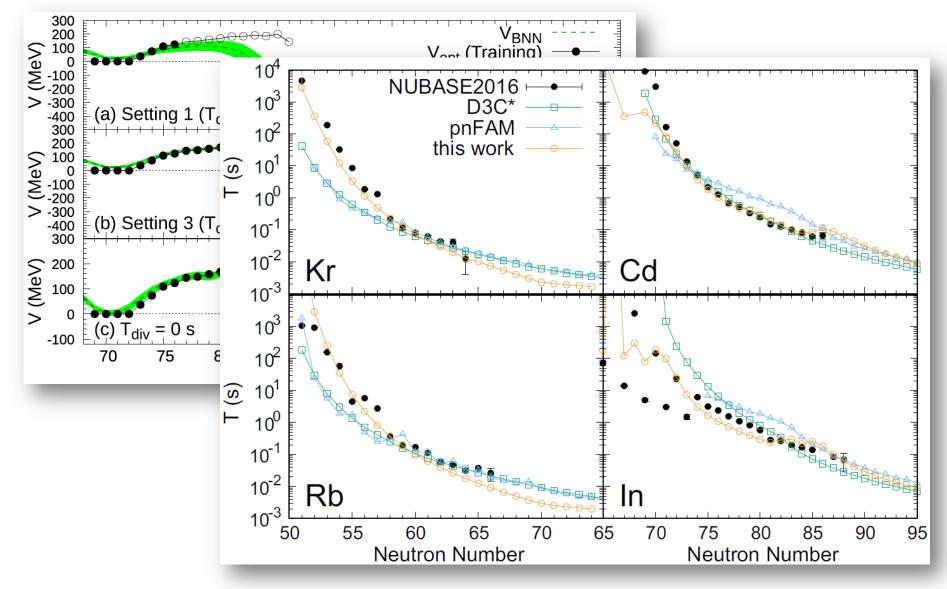
# Outline

# 1 Introduction

- Bayesian neural network approach
- Results and discussion
  - $\star$  Some other results
    - ✓ Other properties with enough data or theoretical results
    - ✓ Less controlled model parameters
    - ✓ Construct theory guaranteed by physics, e.g. DFT
    - ✓ New applications, e.g. data selection or evaluation
- Summary and perspectives

Results and discussion

# Isoscalar pairing strengths: BNN



F. Minato\*, Z. M. Niu\*, and H. Z. Liang\*, PRC 106, 024306 (2022)

Niu Zhongming

# Outline

# 1 Introduction

- Bayesian neural network approach
- Results and discussion
  - $\star$  Some other results
    - ✓ Other properties with enough data or theoretical results
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- Summary and perspectives

# **Density Functional Theory**

- The aim of density functional theory (DFT) is
  - ➤ to reduce the many-body quantum mechanical problem formulated in terms of N-particle wave functions Ψ to the one-particle level with the local densitydistribution  $\rho(x)$ .
- Hohenberg-Kohn theorem [Phys. Rev. 136, B864 (1964)]
  - ✓ There exist a universal density functional  $F_{\text{HK}}[\rho(x)]$ .
  - ✓ The ground-state energy  $E_{g.s.}$  attains its minimum value when the density  $\rho(\mathbf{x})$  has its correct ground-state value.
- HK variational principle

#### Goal: $F_{\rm HK}[\rho(x)]$

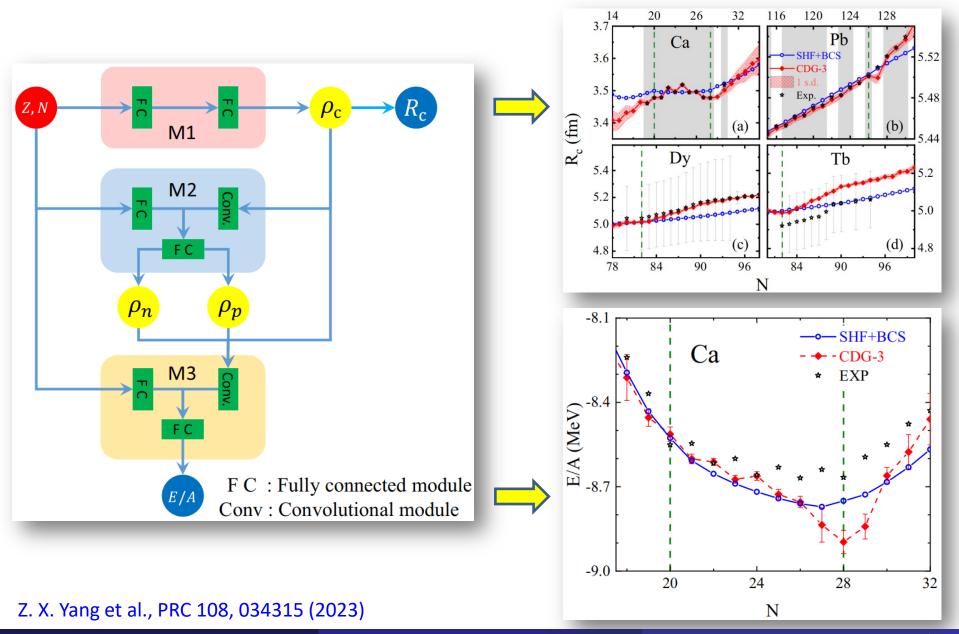
$$E_U = \inf_{\rho} \left\{ F_{\mathrm{HK}}[\rho(x)] + \int \mathrm{d}^d x U(x) \rho(x) \right\}$$

where  $F_{\text{HK}}[\rho(x)] = \min_{\Psi_{\rho}} \langle \Psi_{\rho} | \hat{T} + \hat{V} | \Psi_{\rho} \rangle$  is a universal functional, which is valid for any number of particles N and for any external field U(x).

Results and discussion

Results and discussion

# Density functional: FCNN+CNN



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# Outline

# 1 Introduction

# Bayesian neural network approach

# Results and discussion

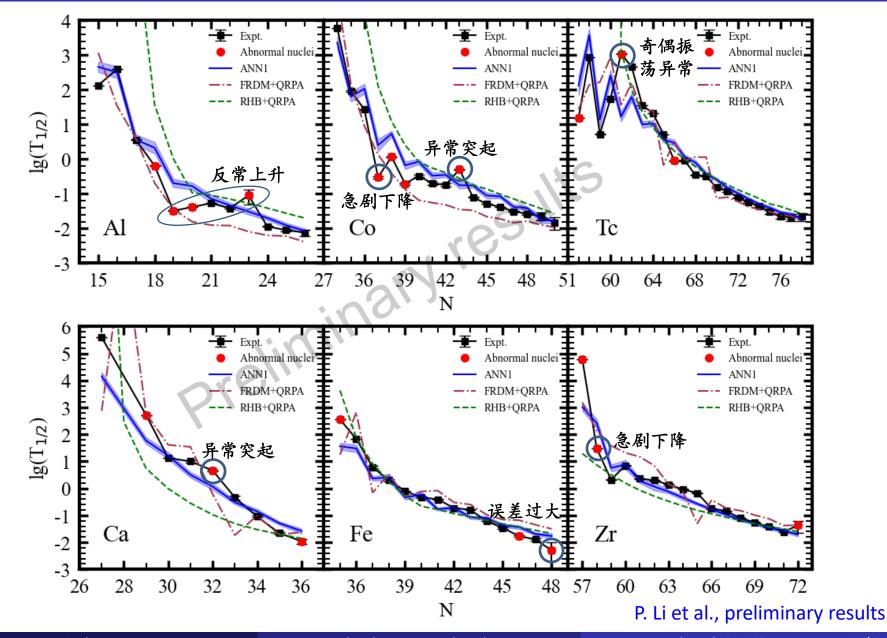
# $\star$ Some other results

Other properties with enough data or theoretical results

- ✓ Less controlled model parameters
- ✓ Construct theory guaranteed by physics, e.g. DFT
- ✓ New applications, e.g. data selection or evaluation

# Summary and perspectives

#### Selection of abnormal β-decay half-lives: ANN

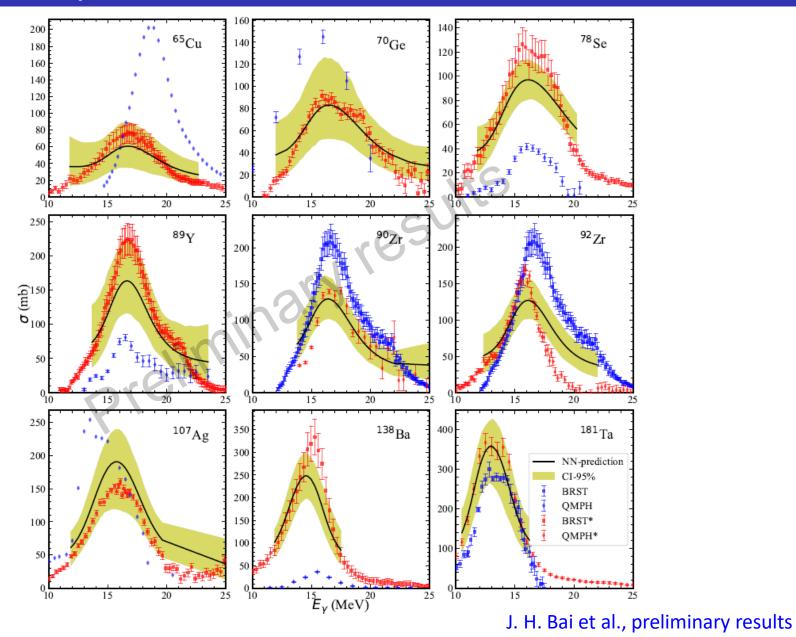


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#### Evaluation of photonuclear data



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# Outline

- 1 Introduction
- Bayesian neural network approach
- Results and discussion
  - ★ Toy model
  - ★ Nuclear masses
  - **\star** Nuclear  $\beta$ -decay half-lives
  - ★ Some other results
- Summary and perspectives

#### Summary and perspectives

Summary: BP neural network and BNN approach are introduced in detail and they are applied to predict various nuclear properties:

- ★ Neural network approach can significantly improve the prediction accuracies of various nuclear properties, e.g. nuclear masses, half-lives, nuclear properties, and low-lying excitation spectra.
- $\star$  It is found that the inclusion of more physics is very important to achieve better predictive performance.

Perspectives:

- **★** Other nuclear properties with enough data or theoretical results
- ★ Less controlled model parameters
- ★ Construct the theory guaranteed by physics, e.g. DFT
- $\star$  New applications, e.g. data selection or evaluation

#### Acknowledgements

#### **Collaborators:**

Anhui University: J. Y. Guo, Y. F. Wang, W. F. Li

Beihang University: B. H. Sun

Jilin University: J. Li, Z. L. Yuan, D. C. Tian, T. S. Shang

Lanzhou University: W. H. Long, Y. F. Niu, B. Y. Sun, J.H. Bai, P. Li

Japan Atomic Energy Agency: F. Minato

The University of Tokyo: H. Z. Liang, Z. X. Yang

Thank you!

# Influence of noise variance

Model	Fixed	Gamma
RMF	0.732	0.443
HFB-31	0.354	0.296
WS4	0.203	0.178
FRDM2012	0.282	0.208
BW	1.035	0.850
BW2	0.497	0.313

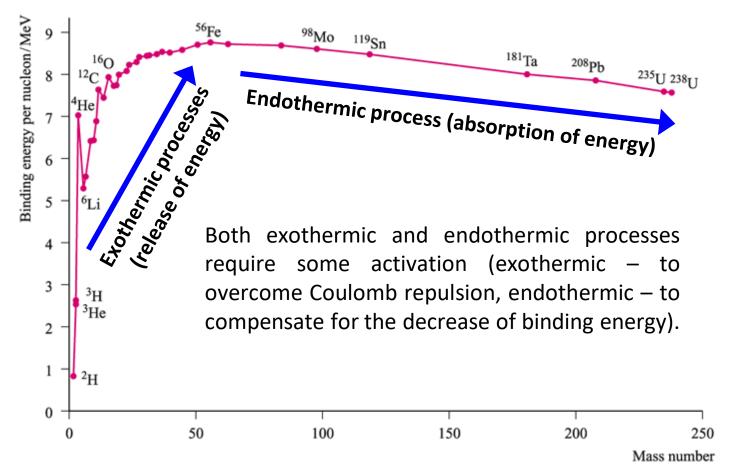
Figure: rms deviations between experimental data and mass predictions for various models improved by BNN approach. The 2<sup>nd</sup> and 3<sup>rd</sup> columns denote the results with fixed value and gamma distribution for noise variance, respectively.

$$\chi^{2} = \sum_{n=1}^{N} \left[ \frac{t_{n} - y_{n}(x, \omega)}{\sigma_{n}} \right]^{2}$$

The BNN approach can
 automatically find the optimal
 value for the noise variance,
 which can reduce the rms
 deviations by about 20%.

# Stellar nucleosynthesis

#### Stellar nucleosynthesis



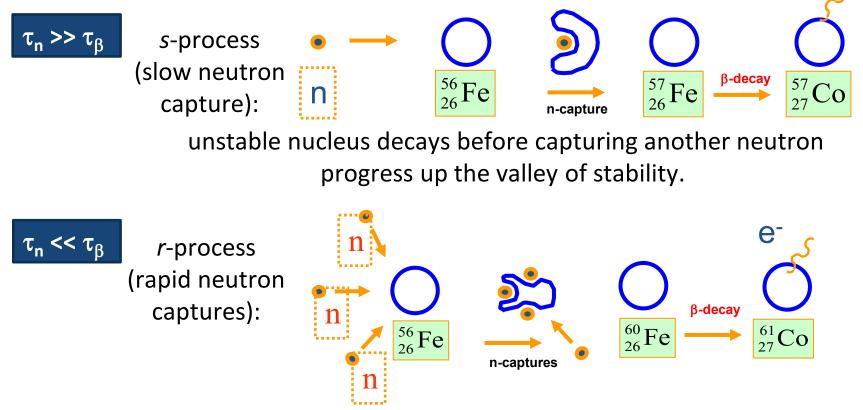
• Exothermic processes: H burning, He burning, and C, Ne, O, Si burning (source of stellar energy)

Endothermic process: r-process, s-process, rp-process, p-process (γ-process)

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# Neutron capture process

#### **Neutron capture process**



fast neutron capture until the nuclear force is unable to bind an extra neutron. Then, a beta decay occurs, and in the new chain the neutron capture continues.

# These processes require energy, occur only at high densities & temperatures (e.g., *r*-processes occur in core-collapse supernovae).

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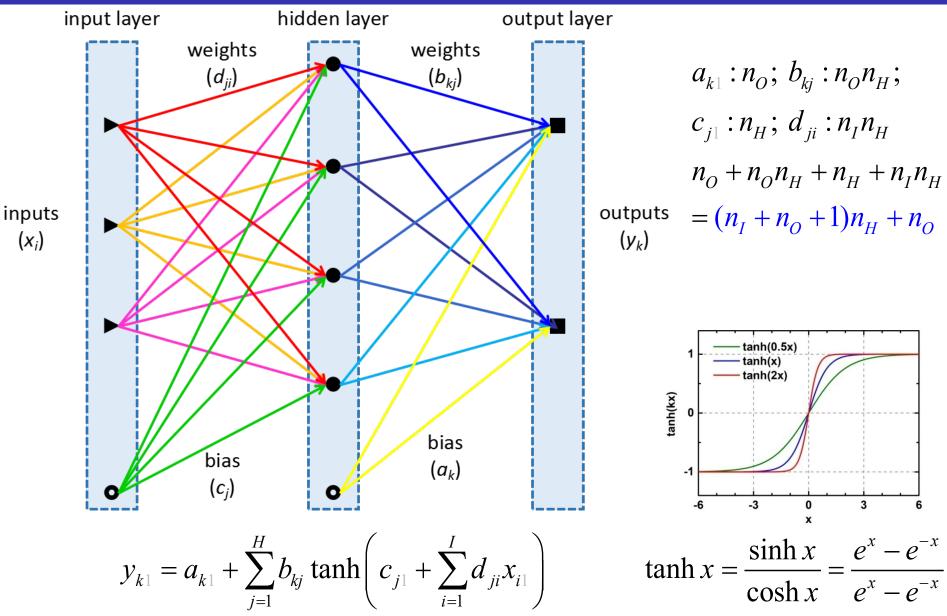
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#### Introduction

Introduction

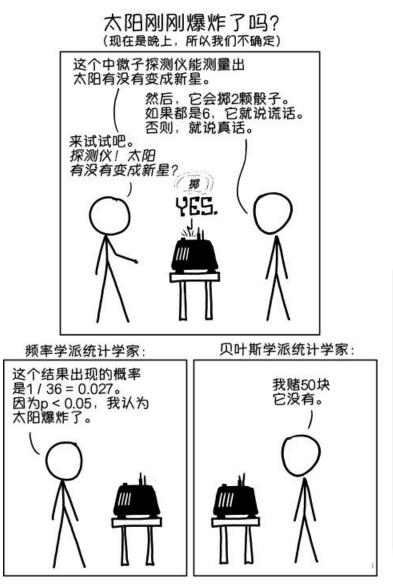
# **Details: Neural network**



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# Influence of prior

#### Differences between Bayesians and frequentists





机器说假话的概率:  
$$p = \frac{1}{6} \times \frac{1}{6} = \frac{1}{36} \approx 0.028 < 5\%$$

● 频率学派:因p<5%,位于可置信区间内,所以机器可信,即认为太阳爆炸了</p>

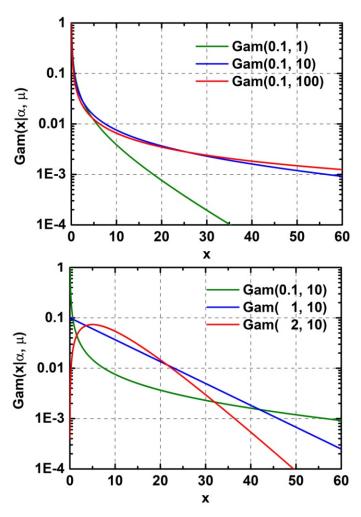
#### ● 贝叶斯学派:

- ✓ 因为太阳不容易爆炸,假设太阳爆 炸的先验概率为0.000000001
- ✓ 即使p<5%,但后验概率仍然很小, 所以认为太阳没有爆炸。

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# Details: Gamma distribution

$$\operatorname{Gam}(x \mid \alpha, \mu) = \frac{\left(\alpha \mid \mu\right)^{\alpha}}{\Gamma(\alpha)} x^{\alpha - 1} \exp\left(-\frac{\alpha x}{\mu}\right) \xrightarrow[\mu \to 1/w^2]{} \operatorname{Gam}(x \mid \alpha', w) = \frac{\left(\alpha' w^2 \mid 2\right)^{\alpha' \mid 2}}{\Gamma(\alpha' \mid 2)} x^{\alpha' \mid 2 - 1} \exp\left(-\frac{\alpha' w^2 x}{2}\right)$$



Smaller α and larger μ (smaller width w) will lead to more vague distribution, i.e. the probabilities of very small and very large x are relatively larger.

w:α′		μ,α
0.05:0.5	$\rightarrow$	400, 0.25 (for parameters)
0.2:0.5	$\rightarrow$	25, 0.25 (for noise)
1:0.2	<b>&gt;</b>	1, 0.1 (upper figure)
0.316227766:0.2	<b>&gt;</b>	10, 0.1 (upper figure)
0.1:0.2	<b>&gt;</b>	100, 0.1 (upper figure)
0.316227766:0.2	$\rightarrow$	10, 0.1 (lower figure)
0.316227766:2	$\rightarrow$	10, 1 (lower figure)
0.316227766:4	$\rightarrow$	10, 2 (lower figure)

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# ● 单位均匀分布的随机数

最简单且最基本的连续型随机变量的分布是<mark>单位均匀分布,即[0</mark>, 1]上的均匀分布,其分布密度函数为:

 $f(x) = \begin{cases} 1, & 0 \le x \le 1 \\ 0, & \notin tete \end{cases}$ 

 ✓ 随机数表:随机数表由等概率出现的0,...,9十个数字组成, 依次取出表中*n*个相邻的数字合并在一起作为随机数。
 ✓ 物理方法:利用某些随机物理现象,如计算机固有噪声,通 过某些特殊设备,可以在计算机上直接产生随机数。

✓ 伪随机数: 同余法

$$x_{n+1} = (ax_n + c) \mod m$$
  
$$\xi_{n+1} = x_{n+1} / (m-1)$$

# a、c和m分别为乘子、增量和模, x<sub>0</sub>为初值。

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#### ● 直接抽样法(反函数法)

设随机变量X的分布密度函数为f(x)

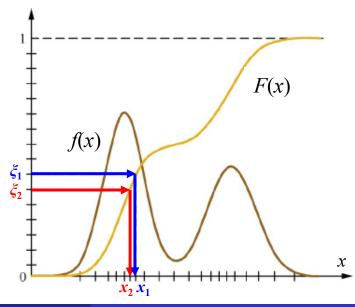
$$0 \le F(x) = \int_{-\infty}^{x} f(t) dt \le 1$$
 f(x)必须归一!

产生[0,1]均匀分布的随机数 $\xi$ , 令 $\xi = F(\eta)$ 或 $\eta = F^{-1}(\xi)$  $1d\xi = dF(\eta) = F'(\eta)d\eta = f(\eta)d\eta$ 

即按反函数计算出的ŋ就是服从分布密度函数ƒ(x)的随机变量。

# ▶ 抽样步骤:

(1) 计算f(x)的分布函数F(x)
 (2) 产生[0, 1]均匀分布随机数ζ
 (3) 计算F<sup>-1</sup>(ζ), 令η=F<sup>-1</sup>(ζ)
 (4) 重复(2)和(3)





#### > 例: 对指数分布的直接抽样

分布密度函数为:

$$f(x) = \begin{cases} \lambda e^{-\lambda x}, \ x > 0, \lambda > 0\\ 0, \qquad x \le 0 \end{cases}$$

积分得到分布函数:

$$F(\eta) = \int_{-\infty}^{\eta} f(x) dx = \int_{0}^{\eta} \lambda e^{-\lambda x} dx = 1 - e^{-\lambda \eta}$$

令 $\xi = F(\eta) = 1 - e^{-\lambda \eta}$ ,则指数分布随机变量的抽样为:

$$\eta = -\frac{1}{\lambda} \ln(1-\xi) = -\frac{1}{\lambda} \ln \xi$$
(1-\xi)和
(1-\xi)和
(1-\xi)和
(1-\xi)和
(1-\xi)和
(1-\xi)和
(1-\xi)和
(1-\xi)和
(1-\xi)

# 随机变量的抽样



若对*f*(*x*)的抽样比较复杂,而对*g*(*y*)的抽样已知且简单。设法找 到变换关系: *y=y*(*x*),使得

f(x)dx = g(y)dy

按变换x=x(y)计算出的x就是服从分布密度函数f(x)的随机变量。

≻ 抽样步骤:

(1) 找到变换关系y=y(x)

(2) 对g(y)进行抽样得到y

(3) 计算*x=x(y*)

(4) 重复(2)和(3)

若g(y)为[0, 1]的均匀分布,则 f(x)dx = dy $\Rightarrow dy/dx = y' = f(x)$  $\Rightarrow y(x) = \int_{-\infty}^{x} f(x)dx = F(x)$  $\Rightarrow x = F^{-1}(y)$ 即直接抽样法。



 $\sigma$ 



$$J = \int_{a}^{b} g(x) f(x) dx = \frac{1}{n} \sum_{i=1}^{n} g(x_{i})$$

$$^{2} = \int_{a}^{b} [g(x) - J]^{2} f(x) dx = \frac{1}{n} \sum_{i=1}^{n} [g(x_{i}) - J]^{2}$$

**当**g(x)**在定义域内有显著起伏变化时**,方差σ<sup>2</sup>较大,进而蒙卡积 分*J*的误差σ/√N较大。

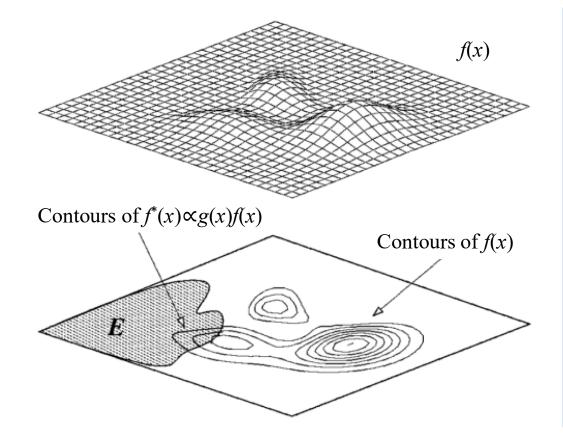
✓ 适当选取偏倚分布密度函数 $f^*(x)$ , 使得 $g^*(x)$ 在定义域内变化比较平坦或者g(x)f(x) 大的地方 $f^*(x)$ 值也较大。然后产生分布密度函数为 $f^*(x)$ 的随机变量 $x_i$ , 则有

$$J = \int_{a}^{b} g(x)f(x)dx = \int_{a}^{b} \frac{g(x)f(x)}{f^{*}(x)} \frac{f^{*}(x)dx}{f^{*}(x)} = \int_{a}^{b} g^{*}(x)f^{*}(x)dx = \frac{1}{n}\sum_{i=1}^{n} g^{*}(x_{i})$$

偏何刀巾名反凶奴

# 随机变量的抽样

$$J = \int_{a}^{b} g(x)f(x)dx = \int_{a}^{b} \frac{g(x)f(x)}{f^{*}(x)}f^{*}(x)dx = \int_{a}^{b} g^{*}(x)f^{*}(x)dx = \frac{1}{n}\sum_{i=1}^{n} g^{*}(x_{i})$$

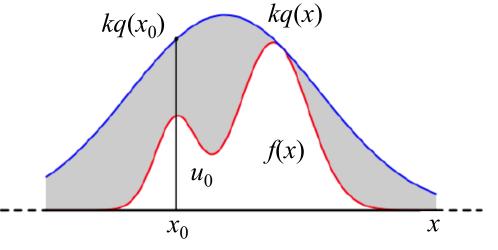


例
$$J = \int_0^\infty e^{-x/\lambda} f(x) dx$$
  
取 $f^*(x)$ 为指数分布 $e^{-x/\lambda}/\lambda$   
 $J = \int_0^\infty \frac{e^{-x/\lambda} f(x)}{f^*(x)} f^*(x) dx$   
 $= \lambda \int_0^\infty f(x) f^*(x) dx$   
按照 $f^*(x)$ 抽样 $x_i$   
 $J = \frac{\lambda}{n} \sum_{i=1}^n f(x_i)$ 

# 随机变量的抽样



分布,然后按照一定规则拒绝某些样本,实现对f(x)的抽样



## ≻ 抽样步骤:

- (1) 确定q(x)和常量k, 使得f(x)总在kq(x)的下方
- (2) x轴的方向: 从q(x)分布抽样取得 $x_0$
- (3) y轴的方向:  $M[0, kq(x_0)]$ 均匀分布中抽样得到 $u_0$



● **马尔科夫链**: 设{*X<sub>n</sub>*, *n*=1, 2, ...}是一个随机序列, 状态空间*E*为有限或可列集, 对于任意的正整数*n*, 若*j*, *i<sub>k</sub>*∈*E*(*k*=1, ..., *n*-1, *n*), 有

 $P\{X_{n+1} = j \mid X_n = i_n, X_{n-1} = i_{n-1}, \dots, X_1 = i_1\} = P\{X_{n+1} = j \mid X_n = i_n\}$ 

则称 $\{X_n, n=1, 2, ...\}$ 为马尔科夫链,  $P\{X_{n+1}=j | X_n=i_n\}$ 称为转移概率。

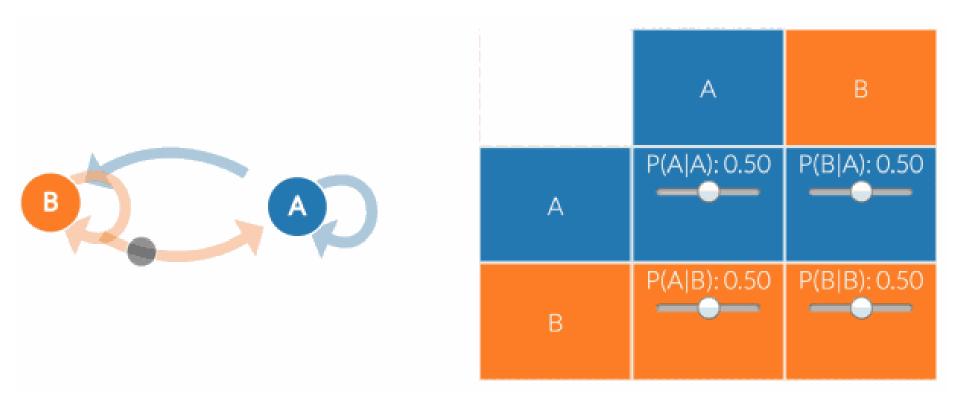
- ? 放回的袋中取球问题
- ?不放回的袋中取球问题
- ? 布朗运动
- ? 多次复习的记忆曲线
- 齐次马氏链: 设{X<sub>n</sub>, n=1, 2, ...}是一个马氏链, 若P{X<sub>n+1</sub>=j | X<sub>n</sub>=i<sub>n</sub>}
   与n无关, 即

$$P\{X_{n+1} = j \mid X_n = i_n\} = p_{ij}$$

则称{ $X_n$ , n=1, 2, ...}为时齐的马氏链(也称时齐马氏链),  $p_{ij}$ 为系统 由状态*i*转移到状态*j*的转移概率。

# ● 转移矩阵:由转移概率p<sub>ij</sub>组成的矩阵P称为转移矩阵,其具有性质 (1)对一切i, j ∈ E, 0 ≤ p<sub>ij</sub> ≤1 (2)对一切i ∈ E, ∑p<sub>ij</sub> =1

i∈E



**齐次马氏链的遍历性:** 设齐次马氏链{X<sub>n</sub>, n=1, 2, ...}的状态空间
 为*E*={1, 2, ...}, 若对于一切状态*i*, *j*∈*E*,存在不依赖于*i*的常数π<sub>j</sub>,
 为其转移概率的极限,即

$\lim_{n \to \infty} p_{ij}^{(n)} = \pi_j,  i, j \in E$											
$P^{(n)} = P^n =$	$(p_{11})$	$p_{12}$	•••	$p_{1j}$	)	$\xrightarrow{n \to \infty}$	$(\pi_1)$	$\pi_2$	•••	$\pi_{_j}$	)
	<i>p</i> <sub>21</sub>	$p_{22}$	•••	$p_{2j}$	•••		$\pi_1$	$\pi_2$	•••	$\pi_{_j}$	
	•••	•••	•••	•••	•••		•••	•••	•••	•••	•••
	$p_{i1}$	$p_{i2}$	•••	$p_{ij}$	•••		$\pi_1$	$\pi_2$	•••	$\pi_{_j}$	•••
	(	•••	•••	•••	)		(	•••	•••	•••	)

则称此齐次马氏链具有遍历性。若 $\pi_j, j \in E$ 满足 $\pi_j \ge 0, \sum_i \pi_j = 1$ 

则称其为转移概率的极限分布。备注:有限状态的遍历马氏链必存在极限分布,无限(即可列)状态的遍历马氏链不一定存在极限分布,只有其极限概率构成概率分布时才存在极限分布。

Niu Zhongming

# **齐次马氏链的平稳分布**: 设{X<sub>n</sub>, n=1, 2, ...}为一齐次马氏链, 若 存在实数集合{π<sub>i</sub>, j∈E}, 满足

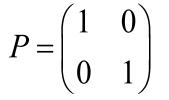
$$\begin{cases} \pi_j \ge 0, \ j \in E \\ \sum_{j \in E} \pi_j = 1 \end{cases}$$

则称 $\{\pi_i, j \in E\}$ 为概率分布。如果此概率分布满足

$$\pi_j = \sum_{i \in E} \pi_i p_{ij}, j \in E$$

则{*X<sub>n</sub>*, *n*≥0}是一平稳齐次马氏链,并称{*π<sub>j</sub>*, *j*∈*E*}为该过程的一个平 稳分布。备注:有限马氏链转移概率的极限分布一定是平稳分布, 因此有限状态遍历马氏链的极限分布就是平稳分布;但无限马氏链 转移概率的极限分布不一定是平稳分布。

**例**: 设齐次马氏链的状态空间为E={1,2}, 其转移概率矩阵为



可见 $P^n=P$ , 但 $P^n$ 某一列的所有元素并不是同一值,所以此马氏链不 是遍历的。设有 $\pi_1, \pi_2$ ,满足 $\pi_1+\pi_2=1$ 且0< $\pi_1, \pi_2$ <1,有

$$\begin{pmatrix} \pi_1 & \pi_2 \end{pmatrix} = \begin{pmatrix} \pi_1 & \pi_2 \end{pmatrix} \begin{pmatrix} 1 & 0 \\ 0 & 1 \end{pmatrix}$$

可见,平稳分布是存在的,而且有无穷多个。

备注: 虽然遍历的马氏链具有平稳性,但是平稳的马氏链不一定具 有遍历性,即不遍历的马氏链也可以具有平稳性。

● 遍历定理1: 对于有限状态的齐次马氏链{X<sub>n</sub>, n=1, 2, ...}, 设状态
 空间为*E*={1, 2, ..., k}, 若存在正整数m, 对任意状态i, j∈E, 其m步的转移概率均大于0, 即

$$p_{ij}^{(m)} > 0$$

则此马氏链具有遍历性,且 $\{\pi_j\}=\{\pi_1,\pi_2,...,\pi_k\}$ 是方程组

$$\pi_j = \sum_i \pi_i p_{ij}$$

满足条件 $\sum_{j} \pi_{j} = 1, \pi_{j} > 0$ 的唯一解。

备注:利用该定理,可以判断有限状态齐次马氏链的遍历性以及求 出稳态概率π<sub>i</sub>,此时稳态概率即为平稳分布。

例:设齐次马氏链的状态空间为E={1,2,3},其转移概率矩阵为

 $P = \begin{pmatrix} 1/2 & 1/2 & 0\\ 1/2 & 0 & 1/2\\ 0 & 1/2 & 1/2 \end{pmatrix}$ 

试问此链是否具有遍历性? 若有, 试求其稳态概率。

解: 
$$P^{(2)} = P^2 = \begin{pmatrix} 1/2 & 1/2 & 0 \\ 1/2 & 0 & 1/2 \\ 0 & 1/2 & 1/2 \end{pmatrix} \begin{pmatrix} 1/2 & 1/2 & 0 \\ 1/2 & 0 & 1/2 \\ 0 & 1/2 & 1/2 \end{pmatrix} = \begin{pmatrix} 1/2 & 1/4 & 1/4 \\ 1/4 & 1/2 & 1/4 \\ 1/4 & 1/4 & 1/2 \end{pmatrix}$$

可见所有的二步转移概率均大于0,由上面定理可知,此链具有遍历性。再由转 移概率与稳态概率满足的方程组得

**遍历定理2:**对于不可约且非周期的**可列状态**的齐次马氏链{*X<sub>n</sub>*, *n*=1, 2, ...},设状态空间为*E*={1, 2, ...},其存在平稳分布的充要条件是,这个链所有状态都是正常返的,并且此时极限分布

