

# Facial Emotion Recognition

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## Abstract

Facial expressions are among the most common ways that people communicate. In this paper, we implement numerous deep learning models to go in-depth for recognizing facial expressions (FER). Facial expression recognition is crucial to people's daily lives and jobs. Facial expression-based automatic emotion recognition is an intriguing study area that has been presented and used in number of fields, including safety, health, and human-machine interactions. Researchers in this discipline are interested in creating methods to decipher, encode, and extract these characteristics from facial expressions in order to improve computer prediction. Due to its built-in feature extraction process from images, Deep Neural Networks, particularly the Convolutional Neural Network (CNN), are employed extensively in FER. Only a few layers have been used in number of initiatives that have been published on CNN to address FER issues. Standard shallow CNNs, on the other hand, have a limited ability to extract features that can extract emotional information from high-resolution photos using simple learning algorithms. The fact that most current approaches only take into account frontal photos and overlook profile views from different angles out of convenience is a noteworthy flaw, as these views are crucial for a workable FER system.

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## 1 Introduction

Applications that improve human life and work are developed to create information technology. Artificial intelligence technology, or simply "Artificial intelligence," is the current trend in the development of modern information technology (AI). The introduction of new forms of interaction, such as the use of buttons, screens, touch screens, voice commands, security control systems, human-computer interfaces, and other applications, changed the way modern technological developments were made. The first step of human recognition face is also one of these new forms of interaction. The study's citation, "Musa 2017 analysis," suggests an EEG signal filtering procedure that modifies data on human emotional features utilizing wavelet packet decomposition (WPD) and empirical mode decomposition (EMD) methodologies. The usage of a face expression recognition system is one of her methods for figuring out user reactions. [1]

As a kind of nonverbal communication, facial expressions are the outcome of facial movements or expressions that display the position of the human facial muscles. They are crucial for conveying one's emotions as a form of sentiment, intention, or desire. It is a tool. Additionally, there are other people's opinions. [2]

Humans are conditioned to read the feelings of others; in fact, at the age of just 14 months, infants can already discern between happy and sad emotions. But can technology access human emotions more quickly and efficiently than humans? We developed a deep-learning neural network that enables a computer to deduce details about human emotional states in order to react. To put it another way, we offer them the ability to see what we see. Simple classes for human facial expressions encompass happy, unhappy, surprised, scared, indignant, disgusted, and impartial. Unique agencies of facial muscle groups are brought about when one experiences facial emotion. Those changing tiny but complicated indicators in one's facial expressions regularly display a wealth of statistics approximately how one is feeling. One can without difficulty and inexpensively examine the outcomes that content material and services have on audiences and customers by using

face emotion recognition. Shops might make use of these indicators, as an instance, to gauge customer interest. Having extra know-how approximately the emotional situation of patients while receiving treatment can assist healthcare carriers to serve patients better. So one can continuously supply preferred cloth, and amusement manufacturers can song target market participation in the course of activities.

The initiative point of this project was to find a data set that can be used to work with. FER 2013 data set was chosen for the purpose of learning and experimenting. FER stands for Facial emotion recognition data set

which includes 48 x 48 pixel gray scale images of faces from seven different classes given in labels from 0 to 6 (0=Angry, 1=Disgust, 2=Fear, 3=Happy, 4=Sad, 5=Surprise, 6=Neutral). The data set is distributed into testing and training sets. The training set consists of 28,709 examples and the public test set consists of 3,589 examples. Work began with the exploratory data analysis which was done in order to identify any error, get better understanding of data, detect outliers, and to understand dataset variables and the relationship among them. Then proceeded it with the feature extraction process where SIFT (Scale-Invariant Feature Transform) [3] is an algorithm in computer vision to detect and describe local features of an image. After this process, a few of ML models were taken into account like K-nearest neighbour, decision tree, naive bayes model, logistic regression, and support vector machine and DL models like CNN. [4] The objective of this research is to determine which emotions a person's face transmits from a gray-scale image of their face. Using real-time facial feature recognition with synthetic intelligence within the device can enhance accuracy. This allows direct recognition of facial expressions. The accuracy for each emotion will serve as our evaluation metric, and a confusion matrix will be included to show certain emotions are more accurately identified than others.

## 2 Related Work

Artificial intelligence and psychological human emotion perception are two distinct fields of research that are crucial to automatic emotion recognition (AI). A person's emotional state can be ascertained using the verbal and non-verbal information gathered by the various sensors, including changes in facial expression,

speech tones, and physiological reactions. According to Mehrabian's research from 1967, 55% of emotional information is visual, 38% is vocal, and 7% is linguistic. The majority of scholars are particularly interested in this modality since changes in the face during communication are the first indicators of the emotional state that is being sent. In order to get a better classification, it is a challenging and delicate task to extract features from one face to another.

Ekman and Friesen, who were some of the first researchers to become interested in facial expression [5], developed the FACS (Facial Action Coding System) in 1978. The human face was divided into 46 AUs, each of which was connected to one or more facial muscles.

Compared to certain other modalities of statistics created by, the automated FER is the one that researchers have researched the most. Philipp et al [6], however, it is a difficult undertaking because everyone expresses emotion differently. Some of the challenges and issues that one should not disregard in this sector include the variation in head postures, luminosity, age, species, and backdrop, as well as the problem of occlusion generated by sunglasses, scarves, skin diseases, etc.

Geometrical and texture features like the Gabor wave, local binary patterns, facial action units, and development practitioners patterns are used in traditional methods for extracting facial features. Deep learning has lately shown to be a very successful and effective approach as a result of the outcomes provided by its architectures, such as the convolutional neural network CNN and the recurrent neural RNN, that enable the automatic features to be extracted and categorized. This is what led researchers to begin applying this method to recognize human emotions. Researchers have made several attempts to create deep neural networks. network topologies, which in this regard yield quite pleasing results.

Deep features for automated face expression and emotion detection produce state-of-the-art outcomes, according to recent studies by Li and Deng, who also won the Emotion Recognition in the Wild Challenge [7] (EmotiW) and the Facial Expression Recognition and Analysis Challenge (FERA). Therefore, in this work, deep neural networks are used to directly learn the features needed to

describe the collected information rather than creating them from scratch.

The primary methods utilized to recognize emotions at the time are physiological signal detection, scale approach, and lab simulation. Each of these methods has the drawback of relying on data on people's emotions that are being monitored in real

time. A technique for illumination augmentation with adaptive attenuation quantification was put forth by Boubenna and Leet to reduce the challenging lighting influence on facial photography [8]. Kang and Yoon developed a multi-structure [9], variable-parameter expressions processes can be classified that fixes the vanishing gradient problem caused by having too many network layers while preserving these sequential features of facial expressions.

Fan et al. extracted these sequential features from the facial expression images [10] after performing block-based preprocessing on them. They then used the emotional index to measure the correlations between the various facial expressions and emotions, leading to continuous description of distinct facial expressions and effective emotion recognition.

The micro-facial expressions were recognised by Balouchian and Foroosh [11] using an end-to-end deep neural network. They employed the focus loss function to minimise the imbalance between both the various classes of micro-expression data and changed the parameters of the pretrained model using transfer learning to make up for the limited size of the sample set.

### 3 Dataset And Data Analysis

#### 3.1 Source of the Dataset

1. The FER2013 (Facial Expression Recognition 2013) data set has been taken from the research paper of Stanford University "Facial Expression Recognition with Deep Learning" [12].
2. Pierre-Luc Carrier and Aaron Courville presented the 2013 Facial Expression Recognition data set (FER-2013) at the International Conference on Machine Learning (ICML) in 2013. [13]
3. Each face in this data-set has been classified according to various mood categories. The FER2013 data-set is not balanced, though, as it includes pictures of seven different facial expressions, including angry (4,953), dis-gusted (547), fear (5,121), happy (8,989), sad (6,077), surprise (4,002), and neutral (6,198)

**Table 1:** Attribute Table

Attribute Labels	Test Images	Training Images	Total Images
Angry 0	958	3995	4953
Disgust 1	111	436	547
Fear 2	1024	4097	5121
Happy 3	1774	7215	8989
Sad 4	1274	4830	6077
Surprise 5	831	3171	4002
Neutral 6	1233	4965	6198
Total 7	7178	28709	35887

#### 3.2 Size of the Dataset

The FER2013 (Facial Expression Recognition 2013) dataset includes pictures of people and categories that describe their emotions. The 48x48 pixel grayscale images in the dataset depict seven various emotions, including rage, disgust, fear, happiness, sadness, surprise, and neutrality. There are 28709 training examples, 3589 examples in the public testing set, and 3589 examples in the private testing set in the dataset. (refer Table 1).

#### 3.3 Exploratory data analysis

Observations made:

1. Analysis made from Fig. 1:
  - (a) Type of the variable is Multiclass.
  - (b) Happiness is the most frequently detected emotion, and there are also the most images of it in the dataset.
  - (c) Disgust is least identified data.
2. The plot for training set which shows the images containing happy emotions are maximum (more than 7000) and the images of disgust emotions are very less (less than 1000) (Fig. 2)
3. The plot for test set which shows the images containing happy emotions are maximum (nearly 1750) and the images of disgust emotions are very less (less than 250) (Fig. 3)

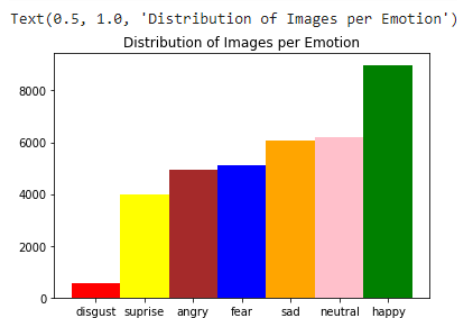


Fig.1: The bargraph displays data instances for each class.

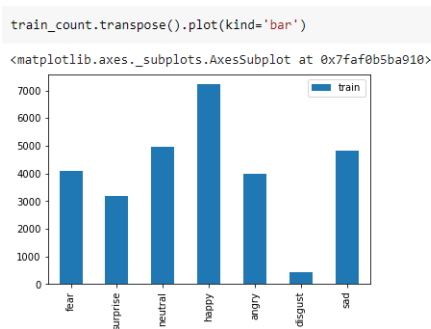


Fig.2: Plot for training set for FER(2013) Dataset

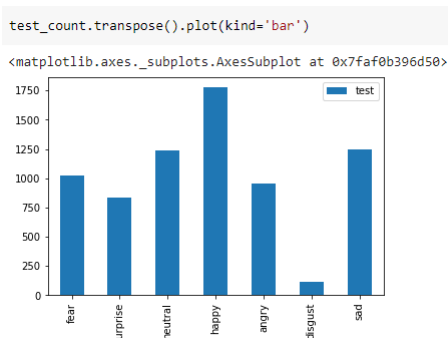


Fig.3: Plot for test set in FER(2013) Dataset

### 3.4 Feature Extraction

The dimensionality reduction method, which divides and condenses a starting set of raw data into smaller, easier-to-manage groupings,

includes feature extraction. As a result, processing will be simpler. Features are elements or patterns that assist in identifying an object in an image. For instance, a square has four corners and four edges, which are known as the square's characteristics and aid in human recognition of the shape. Features include things like ridges, corners, edges, and points of interest.

Observations made:

1. Edge detection is a method of image processing that locates the edges of objects in pictures. It operates by looking for changes in brightness. In fields including image processing, machine learning, and machine vision, edge detection is utilized for image segmentation and data extraction. The images are shown in Fig.4 and Fig.5

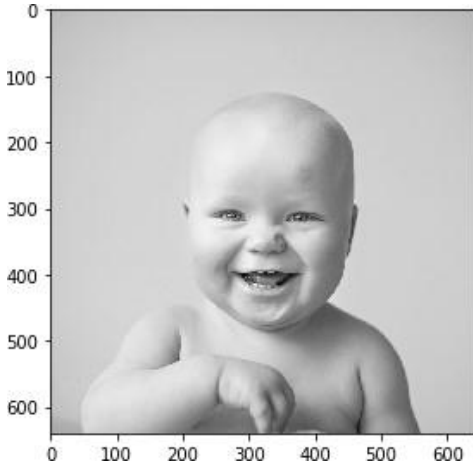


Fig.4: Grayscale image of 'happy' emotion



Fig.5: Grayscale image of 'happy' emotion after applying edge algorithm

2. SIFT: In image classification problems, the scale-invariant feature transform(SIFT) is a popular feature extraction technique. Local features in an image, also referred to as "key points" in the image, can be found using SIFT. As they are scale- and rotation-invariant, these fundamental concepts can be applied to a number of computer vision tasks, including picture matching, object detection, and scene detection.

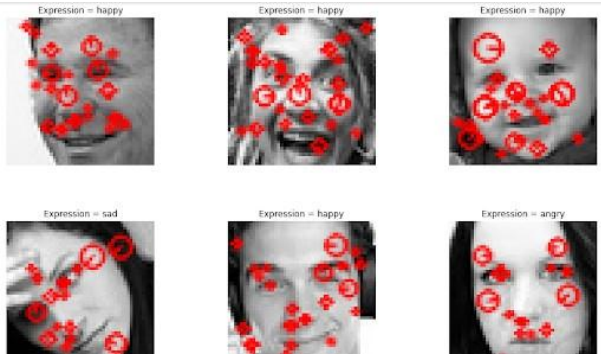


Fig.6: Images showing key points after applying SIFT algorithm

## 4 Experiments Design

### 4.1 ML MODELS

Models of machine learning are computer algorithms that have been trained to identify trends in new data and predict consequences. These are a mathematical function that gets input from a model and requests are made in the form of input data, and the data is processed to provide estimations before providing an output. These are the first models or a set of data is used to train, after which an algorithm is provided to individuals so they can review the information, look for patterns, and understand based on the data. These simulations can be used to predict the unforeseen after being trained on a dataset.

In the domain of machine learning, categorization refers to the process of choosing the type or class of an item from a limited set of alternatives. The outcome of classification is always a categorical variable. Identifying whether an email is spam or not is an example of a typical binary classification task. Several key models for classification problems will now be listed.

1. k-Nearest neighbour algorithm.
2. Decision tree
3. Logistic Regression
4. Support vector machine.
5. Naive Bayes Model.

#### 4.1.1 k-NEAREST NEIGHBOUR (KNN) Model

The k-Nearest Neighbors method for pattern recognition algorithm (also known as k-NN) is a non-parametric technique that utilized for regression and classification. The output of k-NN classification is a class member. Objects are categorized by a majority of their the object being a member of the class most similar to its typical of its k closest neighbours (k is a positive number) k1 (integer). The item is just assigned to if k = 1 the category of that particular closest neighbour. [14]

```
print(confusion_matrix(y_val,y_pred))

[[147  9  46 118  47  18  82]
 [  6 20  5  8  6  5  6]
 [ 69  9 133 115  65  39  66]
 [ 82  8  84 413  92  47 169]
 [104 15  77 160 139  21 137]
 [ 38  6  60  63  22 173  53]
 [ 56 11  76 161  78  35 190]]
```

Fig.7: confusion matrix for KNN

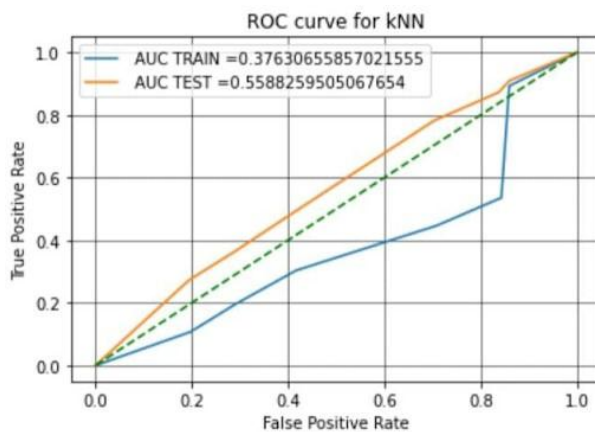


Fig.8: ROC curve for KNN Model

### 4.1.2 DecisionTreeModel

Decision trees and other guided machine learning techniques require ongoing data segmentation based on a certain parameter. The two elements that can be utilized to explain the tree are decision nodes and leaves. [15]

Confusion matrix

```
[[ 37  0  0 369  57  28  0]
 [  4  0  0  43  5  3  0]
 [ 39  0  0 394  53  42  0]
 [ 35  0  0 750  71  23  0]
 [ 34  0  0 442  90  28  0]
 [ 22  0  0 272  43  79  0]
 [ 17  0  0 508  72  29  0]]
```

Fig.9: confusion matrix for Decision Tree Model

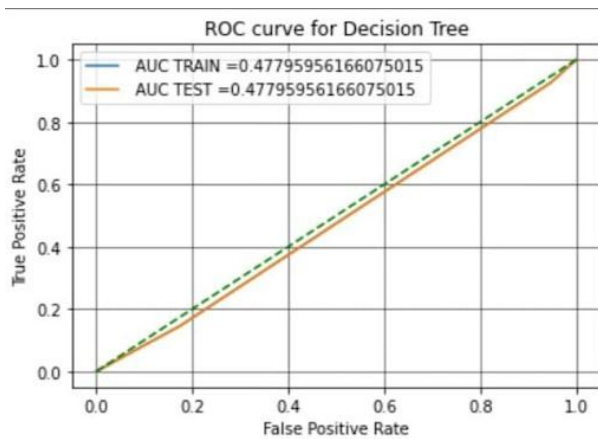


Fig.10: ROC curve for Decision Tree Model

### 4.1.3 LogisticRegressionModel

Using prior observations from a data set, a statistical analysis technique called logistic regression predicts a binary outcome, including such as yes or no. The technique of logistic regression has risen in significance in the field of machine learning. It enables machine learning algorithms to categorize incoming input based on previous data. By enabling data sets to be processed for analysis by putting them into precisely defined buckets throughout the extract, transform, and load process, logistic regression can also be used in data preparation operations. [16]

```
[[ 40  1  78 145  3 197  27]
 [  5  0  12  17  0  17  4]
 [  9  1  98 114  4 272  30]
 [ 24  0  49 536  5 230  35]
 [ 32  1  93 164  8 232  64]
 [  2  0  30  56  2 317  9]
 [ 20  0  80 157  8 264  97]]
```

Fig.11: confusion matrix for linear regression

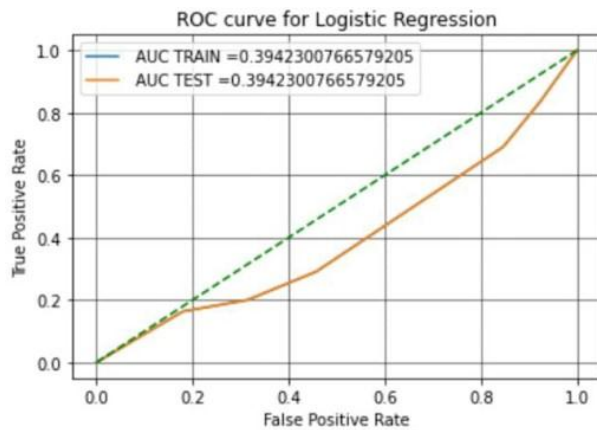


Fig.12:ROCcurveforLogisticRegressionModel

#### 4.1.4 Support Vector Machine(SVM)Model

Support Vector Machine is a supervised computer vision approach that can be applied to classification or regression problems. However, classification-related issues are the application that is most frequently used. The SVM algorithm converts each data point into a point inside an  $n$ -dimensional dimension, where  $n$  represents the number of features, so each feature's value is assigned to a specific place. Then, classification is carried out by identifying the hyper-plane that correctly divides the two groups. [17]

Confusion Matrix

[ 109	0	46	142	96	20	78]
[ 7	3	3	24	6	2	10]
[ 39	0	122	131	111	50	75]
[ 25	0	30	636	101	18	69]
[ 35	0	50	136	241	11	121]
[ 13	0	40	68	31	219	45]
[ 28	0	25	182	101	15	275]]

Fig.13:confusionmatrixforSupportVectorMachine

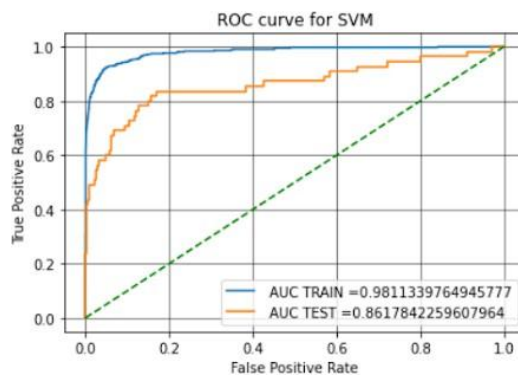


Fig.14:ROCcurveforSVM



### 4.1.5 NaiveBayesModel

The Naive Bayes classification algorithm is a probabilistic classifier. Probability models with strong independence assumptions serve as its cornerstones. The independence factors frequently have no impact on reality. As a result, they are seen as being naive. [18]

Confusion Matrix

```

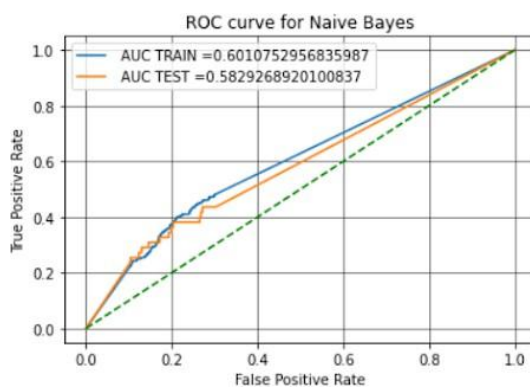
[[ 94  58  94  70  24  63  88]
 [  8  14   9  12   0   6   6]
 [ 73  59 101  75  19 109  92]
 [111  71 133 254  36 103 171]
 [ 93  77  99  97  46  79 103]
 [ 36  31  80  51  16 145  57]
 [ 51  76  95 110  24 103 167]]
    
```

**Fig.15:** confusion matrix for Naive Bayes Model

Classification Report

	precision	recall	f1-score	support
0	0.20	0.19	0.20	491
1	0.04	0.25	0.06	55
2	0.17	0.19	0.18	528
3	0.38	0.29	0.33	879
4	0.28	0.08	0.12	594
5	0.24	0.35	0.28	416
6	0.24	0.27	0.25	626
accuracy			0.23	3589
macro avg	0.22	0.23	0.20	3589
weighted avg	0.26	0.23	0.23	3589

**Fig.16:** Classification Report of Naive Bayes Model



**Fig.17:** ROC curve for Naive Bayes Model

## 4.2 DL MODEL

### 4.2.1 Convolutional Neural Network (CNN)

1. In deep learning, convolutional neural networks (CNN/ConvNet) are indeed a family of deep neural networks that are often used to analyse visual input.
2. CNN is a specific kind of deep learning network design that is used for processing pixel input and performing image recognition.
3. Classification of images and segmentation, detection, video analysis, natural language processing, and speech recognition are a few of CNN's intriguing application areas. Deep CNN's great learning capacity is explained by its extensive usage of extracting features phases, which may automatically discover representations from data. [19]
4. Evaluation:
  - (a) Test Loss: 0.89
  - (b) Test Accuracy: 0.67
5. Loss plot and accuracy plot is given in fig. 18.
6. Confusion matrix is given in fig. 19.

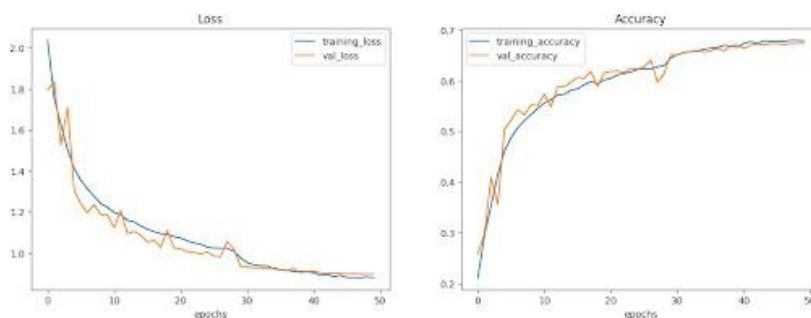


Fig.18: Loss plot and accuracy plot for CNN model

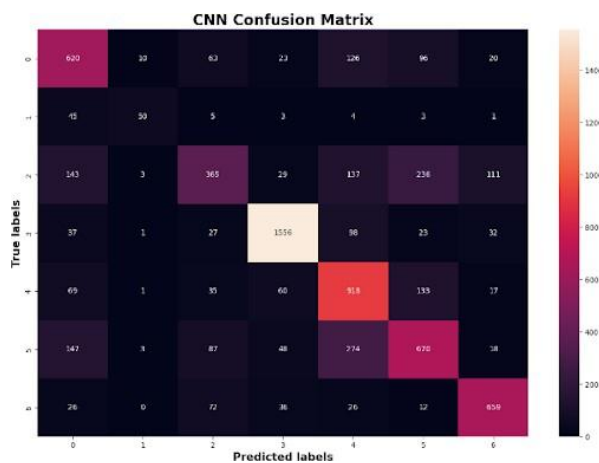


Fig.19: confusion matrix

### 5 Fine Tuning

The technique of fine-tuning involves adjusting model parameters to better fit a specific observation. Applying or utilizing transfer learning involves fine-tuning. In particular, fine-tuning is the process of altering or optimising a model that has already been trained to carry out a specific task in order to carry out a second, related task.

1. Test Loss: 0.90
2. Test Accuracy: 0.70

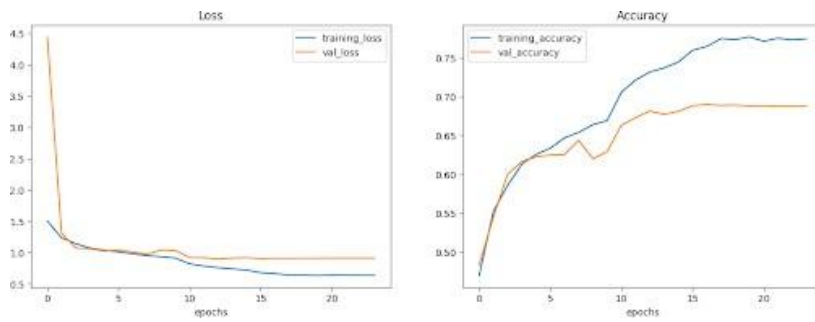


Fig.20: Loss and Accuracy plot of ResNet50V2 model

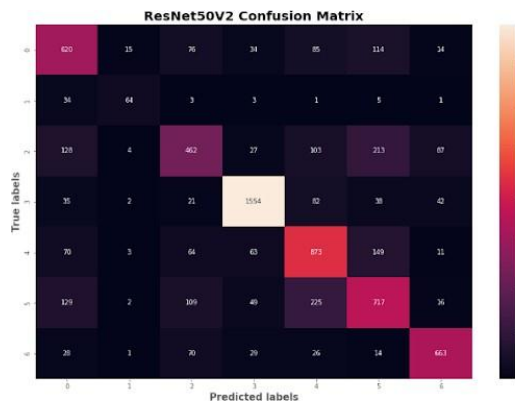


Fig.21: confusion matrix

### 6 Data Augmentation

The process of creating new data points or providing significantly modified versions of already existing data is known as data augmentation. This entails either utilizing machine learning models to create additional data points in the subspace of the original data or adding to the dataset by making small adjustments to the data. This serves as regularisation and lowers over-fitting when machine learning models are trained. This and oversampling in data gathering are closely related.

### 7 Transfer Learning

Transfer learning is indeed a deep vision research problem that is concerned with storing knowledge obtained while resolving one problem and using it to solve another problem that is closely related. For instance, while attempting to identify trucks, knowledge obtained through learning to identify cars can be used.

Accuracy: 0.30  
F-1 Score: 0.30

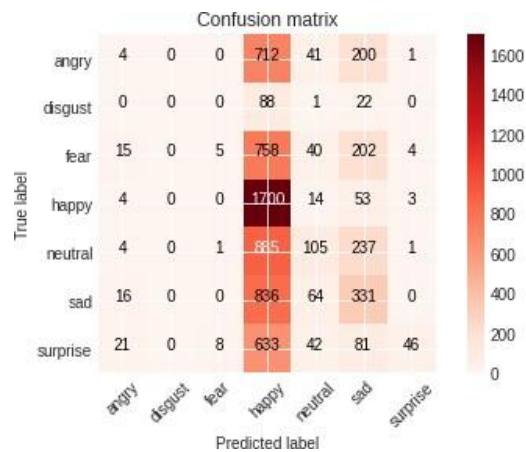


Fig.22: Confusion matrix

```

Confusion matrix, without normalization
[[ 4  0  0 712  41 200  1]
 [ 0  0  0  88  1  22  0]
 [15  0  5 758  40 202  4]
 [ 4  0  0 1700  14  53  3]
 [ 4  0  1  885  105 237  1]
 [16  0  0  836  64 331  0]
 [21  0  8  633  42  81  46]]
    
```

Fig.23:Confusionmatrix

## 8 Ensemble Learning

Ensemble methods use multiple learning algorithms to achieve better predictive performance than can be achieved with individual learning algorithms alone. The process of creating multiple models such as B. the process of building numerous models, such as B. Classifiers or experts, then strategically combining them to address certain issues in artificial intelligence. Ensemble learning is primarily useful for improving (classification, prediction, function approximation, etc.). [20]

### 8.1 Hybrid Model

Ensemble learning is a wide meta-strategy to machine learning that tries to enhance predictive performance by combining the results from several models. Although you can create an

apparently endless amount of ensemble to solve your predictive modelling issue. [21]

Accuracy of Logistic Regression Model was 0.35. Accuracy of Decision Tree Model was 0.27.  
 Accuracy of Support Vector Machine was 0.41. Accuracy of k-NN Model was 0.30.  
 Accuracy of Naive Bayes Model was 0.21. Accuracy of Ensembled Model was 0.55.

## 9 Result

1. The Observations for ML models are given in the table 2.
2. The Accuracy for DL and other operations are given in the table 3.
3. Comparing results from base research paper:
  - (a) In the Fig. 24 the training accuracy is reaching over 0.8 and testing accuracy is marking nearly 0.7, this is the case of over-fitting.
  - (b) In the Fig. 25 the training and testing accuracy are overlap-ping and both reaching to 0.7.

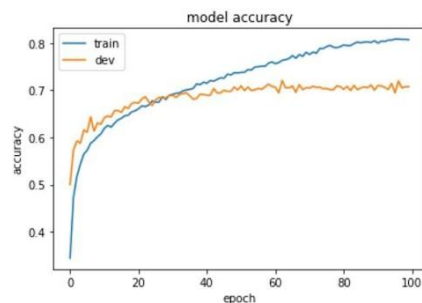


Fig.24:Accuracy plot for “Facial Expression Recognition with Deep Learning”: Stanford University- CS230 Deep Learning (2020)

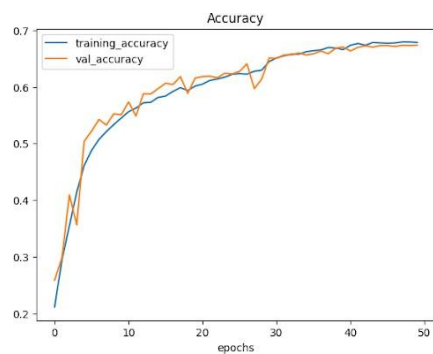


Fig.25:Accuracyplotoffourmodel

Table2:MLModels

S.No	Models	Accuracy	Recall	Precision	F-1Score
1	NaiveBayes	0.21	0.23	0.26	0.23
2	DecisionTree	0.27	0.27	0.17	0.17
3	LogisticRegression	0.35	0.37	0.33	0.34
4	KNN	0.30	0.34	0.34	0.34
5	SVM	0.41	0.45	0.45	0.43

Table3:Models

S.No	Models	Accuracy
1	CNN	0.67
2	FineTuning	0.70
3	TransferLearning	0.30
4	EnsembleLearning	0.55

## 10 Limitations,ConclusionsandFutureWork

### 10.1 Conclusion

This project had two goals, one was to achieve higher accuracy and to apply models to the real world. We explored several models including k-NN, decision tree, naive Bayes, support vector machine, logistic regression, and CNN. We have also performed fine tuning, data augmentation, transfer learning, and ensemble learning on the data set. After ensembling the several ML models results we have achieved the accuracy to 0.55. The model is recognising the images and predicting their emotions on the basis of the training of the model.

### 10.2 Limitations

The FER 2013 data set has only few range of emotions, as an improvement we will try to implement the same process with data set having wide range of emotions. The images in the data set are only grey scaled, we will also try to implement to work on colored images for the better result to come. As an improvement in this project, we will try to implement the same process on the real time videos.

### 10.3 FutureWork

To make our model more reusable and accessible, we intend to offer it a website interface. We aim to use facial landmark recog

nitiation and alignment, selective attention CNNs, and retrain the network by obstructing facial features unrelated to emotion recognition to further enhance the accuracy of four models.

Additionally, we think pipeline models, which feed typically incorrect emotion pairs (such neutral and depressed) to secondary networks having higher accuracy levels between those particular emotions, have a lot of room for improvement. We intend to incorporate current psychological research, particularly the arousal-valence emotional framework, as well as multi-label classification to more effectively handle images with numerous potential emotion labels in order to further adapt their models to the real world.

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