iJRASET
International Journal For Research in Applied Science and Engineering Technology

INTERNATIONAL JOURNAL FOR RESEARCH

IN APPLIED SCIENCE & ENGINEERING TECHNOLOGY

Volume: 13 **Issue:** V **Month of publication:** May 2025

DOI: https://doi.org/10.22214/ijraset.2025.71136

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International Journal for Research in Applied Science & Engineering Technology (IJRASET)
ISSN: 2321-9653; IC Value: 45.98; SJ Impact Factor: 7.538
Volume 13 Issue V May 2025- Available at www.ijraset.com

Captioning Images with Words: A Transformer-based Image Captioning Model

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Abstract: ***Image captioning represents a complex interdisciplinary task that merges computer vision and natural language processing to produce coherent and contextually meaningful descriptions of visual content. This research focuses on the development of a custom transformer-based model aimed at addressing the limitations of traditional captioning approaches, particularly in terms of semantic accuracy and contextual relevance. The proposed architecture incorporates pre-trained convolutional neural network (CNN) for effective image feature capturing, followed by transformer-based mechanisms for generating natural language descriptions. To assess the effectiveness of the model, a comparative evaluation is conducted against a widely used LSTM-based captioning framework. Experiments are carried out on the Flickr8k dataset, with performance measured using BLEU scores. Results indicate that the transformer- based approach offers notable improvements in the quality and relevance of generated captions, demonstrating its potential for practical applications in areas such as media content analysis, e- commerce, and assistive technologies.***

Keywords: Image Captioning, Transformers, LSTM, CNN, Deep Learning, Vision-Language Models, Flickr8k Dataset, BLEU Score

I. INTRODUCTION

The generation of descriptive captions from images holds considerable potential across various domains, including the enhancement of accessibility for individuals with visual impairments and the advancement of personalized content recommendation systems. This research focuses on the design and implementation of a sophisticated image captioning framework that integrates state-of-the-art image processing techniques with advanced natural language generation models. Interpreting and translating visual data into coherent textual descriptions presents a complex and intellectually engaging challenge. Foundational models such as CLIP and other vision- language frameworks have significantly advanced this field by establishing effective methods for multimodal understanding. Building on this foundation, the present study introduces a custom transformer-based architecture optimized for lightweight and efficient caption generation. This approach addresses critical issues such as adaptability to diverse datasets and computational efficiency, while also enhancing caption quality through advanced encoding and decoding mechanisms designed to preserve contextual relevance and semantic depth. This work highlights the convergence of cutting-edge technologies with practical applications, demonstrating the synergy between computer vision and natural language processing. By emphasizing efficiency and scalability, the proposed framework is positioned as a versatile solution capable of addressing a broad spectrum of real-world use cases across various domains.

II. LITERATURE REVIEW

Image captioning has evolved substantially with the advancement of deep learning, particularly through the combination of computer vision and natural language processing. One of the earliest neural approaches was proposed by Vinyals et al. [1], introducing an encoder-decoder framework where a pre-trained Convolutional Neural Network (CNN) was used to extract image features and uses a Long Short- Term Memory (LSTM) network for generating captions. This model marked a shift from template-based methods to end-to-end trainable systems. However, its reliance on global image features limited its capacity to capture finer details within an image.

To address this limitation, attention mechanisms were introduced by Xu et al. [2], allowing models to focus on specific spatial regions during caption generation. The use of soft and hard attention mechanisms enabled more contextually relevant and visually grounded captions. These improvements laid the foundation for attention to become a core component in modern captioning models.

Transformers have since emerged as a powerful alternative to recurrent models. Cornia et al. [3] proposed the Meshed-Memory Transformer, incorporating multi-head attention and meshed connections to enhance the interaction between visual features and linguistic elements. This architecture included a memory module that facilitated complex reasoning over image regions, resulting in improved caption fluency and accuracy.

Further developments by Zhang et al. [4] introduced a multimodal transformer-based model that effectively combined visual and textual features, enabling more coherent and detailed descriptions.

Reinforcement learning techniques have also been employed to refine caption quality beyond traditional supervised learning. Liu et al. [5] applied deep reinforcement learning to optimize captions based on reward signals such as fluency and semantic relevance. Chen et al. [6] focused on aligning visual and semantic spaces, encouraging consistency between generated captions and the visual content through embedding-based optimization.

Context-aware models have further contributed to captioning performance. Sun and Yang [7] enhanced attention mechanisms by integrating broader contextual information from the image, resulting in more precise and relevant captions. Similarly, Zhang and Liu [8] developed a hierarchical attention network that captured both global and local image features, improving the richness of generated descriptions.

Recent innovations include the adoption of Vision Transformers (ViT) and contrastive learning. Dosovitskiy et al. [9] introduced ViT, which treats image patches as tokens and applies self-attention mechanisms across them. This approach captured both local and global dependencies effectively. Reddy and Babu [10] extended this concept to captioning tasks, utilizing ViT as an encoder for robust image understanding. In addition, models such as CLIP, while not originally intended for caption generation, have influenced the field by providing strong, transferable visual- language representations that improve model generalization and reduce the need for task-specific data.

The evolution from LSTM-based to Transformer-based architectures, and the integration of pretraining approaches like CLIP and ViT, has progressively improved image captioning quality.

While LSTM models established the foundation, attention mechanisms added contextual relevance, and Transformers brought scalability and richer feature modeling. CLIP and ViT have further expanded the horizon, enabling robust transfer learning and multimodal reasoning. This progression highlights the importance of leveraging both task- specific and pretraining strategies to advance the state of image captioning.

III. PROPOSED METHODOLOGY

This study investigates the implementation and comparative analysis of two distinct architectures for image captioning: a Transformer-based model and an LSTM-based model enhanced with an attention mechanism.

A. Transformer-Based Model

This section de describes about the architecture of the Transformer-based image captioning model in detail.And

It was implemented using PyTorch. Transformers have proven to be highly effective for sequence-to-sequence tasks, and their application to image captioning has yielded promising results, primarily due to their capability to capture intricate dependencies between both visual content and generated text. The following outlines the components and structure of the Transformer-based model developed for this study.

1) Model Architecture

The core idea behind the transformer-based image captioning model is to use an encoder-decoder framework [Fig 1] where the encoder processes image features, and the decoder generates a sequence of words (captions) from these features. Unlike traditional RNN-based models like LSTMs, transformers majorly focused on self-attention mechanisms, enabling them to handle long-range dependencies quite efficiently.

a) Encoder

- Feature Extraction: A pre-trained Convolutional Neural Network such as InceptionV3 was utilized to extract high- level image features. These models, which are pre- trained on large datasets like ImageNet, are capable of extracting rich and detailed image representations.
- Feature Transformation: After the image features are extracted, they are transformed into a fixed-length embedding vector that serves as the input to the decoder. This transformation enables the transformer model to manage image data efficiently and prepare it for sequential generation by the decoder.

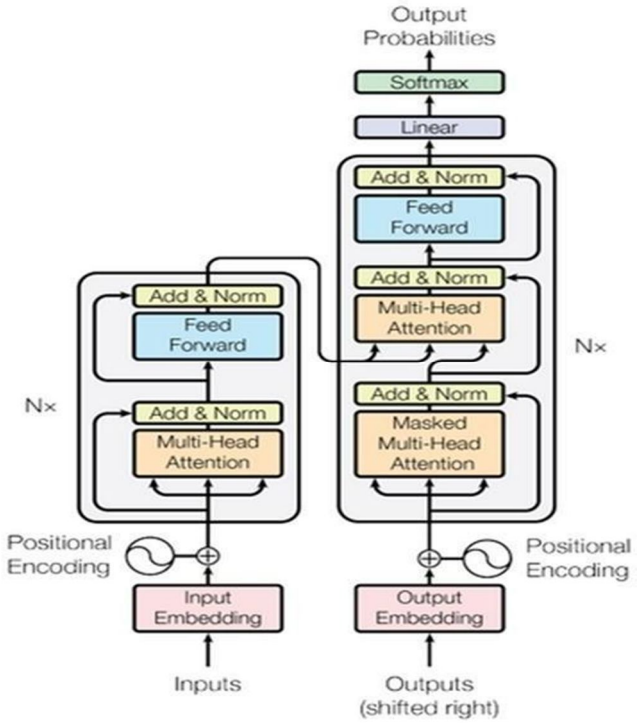

Fig 1 Transformer Architecture

b) Decoder

The decoder is implemented using a multi-layer transformer architecture, which consists of self-attention layers and encoder-decoder attention layers.

- Self-Attention Layers: These layers allow the model to focus on different parts of the sequence (words in the caption) at each decoding step. By attending to different words in the sequence, the model can understand and build context for every word it generates.
- Decoder Attention Layers: These layers enable the decoder to use the image features extracted by the encoder to inform its caption generation. This ensures that each word generated is contextually linked to the visual content of the image.

2) Model Implementation

The transformer-based image captioning model was implemented using PyTorch, a widely used deep learning framework that provides flexibility and ease of model construction. The implementation consists of several key components they are listed of below.

3) Data Preparation

The dataset used is the Flickr8k Dataset, containing 8,000 images with multiple annotated captions for each image. Each caption describes the visual content of the corresponding image.

To facilitate efficient data handling, the textual captions were parsed, and a dictionary was created to map each image to its corresponding list of captions. This structured representation ensured streamlined retrieval and processing of the dataset for further analysis and model training.

The preprocessing steps included:

- Image Preprocessing: Images were resized to a uniform resolution of 224 x 224 pixels to maintain consistency across the dataset. Pixel values were normalized for optimal compatibility with the pre- trained encoder.
- Text Preprocessing: Captions were tokenized into individual words, with special tokens <start> and <end> added to mark the beginning and end of each caption.
- Vocabulary Creation: A unique vocabulary of words was created from the captions, with infrequent words (occurring less than 5 times) replaced by an<unk> token to handle out-of-vocabulary terms effectively.

Dataset Splitting

The dataset was split into:

- Training Set (70%): The majority of the data which was used to train the model.
- Validation Set (20%): 20 percent of the data were used to monitor the model performance and adjust hyperparameters.
- Test Set (10%): Reserved data was used for evaluating the final model on unseen data to gauge generalization.

4) Model Setup

- Feature Extraction: The images are passed through a pre-trained ResNet or Vision Transformer to extract image features. The output is a fixed-length vector that represents the image's content in a high-dimensional space.
- Embedding Layer: Both image features and the text tokens (words in the caption) are passed through embedding layers to transform them into a common representation space that is compatible with the transformer model.
- Transformer Decoder: The core of the model is the transformer decoder, which consists of multiple layers of self-attention and encoder-decoder attention mechanisms. These layers are followed by feed- forward layers and layer normalization steps to stabilize training.
- Caption Generation: The decoder generates captions one word at a time. The model takes the previously generated word (or a special start token in the case of the first word) as input along with the image features and generates the next word in the sequence. This continues until the end token is generated, signaling the completion of the caption.

The PyTorch implementation takes advantage of torch.nn.Module to define the model layers and operations. The training process includes defining a loss function (such as CrossEntropyLoss) and an optimizer (such as Adam) to minimize the error between predicted and actual captions.

5) Training and Evaluation

Training the transformer-based model involves feeding the images and their corresponding captions through the encoder- decoder network. The model is trained using cross- entropy loss to minimize the error between the predicted words and the true words in the captions. The optimizer adjusts the model's weights during training to minimize this loss.

- Loss Function: Cross-entropy loss was used to measure the difference between original and model predicted captions. Teacher forcing was employed during training to guide the model using ground-truth tokens.
- Optimizer: The Adam optimizer was used to adapt the learning rate dynamically during training.
- Evaluation Metrics: The model's performance was assessed using BLEU scores, which measure n-gram overlap between predicted and actual captions.
- Training Process: The model was trained for 20 epochs on the training set. Validation BLEU scores were monitored to prevent overfitting, and checkpoints were saved at regular intervals.

B. LSTM Model

This section outlines the architecture of the LSTM-based image captioning model, which has been enhanced with an attention mechanism and developed using TensorFlow. The self-attention mechanism makes the model to particularly focus on relevant areas of the image during the captioning process, thereby improving the generation of contextually accurate and detailed captions. The following context provides a description of the components and implementation of this model in detail.

1) Model Architecture

The architecture is based on an encoder-decoder framework augmented with an attention mechanism. The encoder processes the image to extract features, while the decoder, an LSTM, generates captions word by word by attending to relevant image regions at each step.

a) Encoder

- Feature Extraction: A pre-trained Convolutional Neural Network such as InceptionV3, is used to extract high-dimensional image features. The extracted features are saved as a fixed-length vector and stored in a compressed form to optimize memory usage and computational efficiency.
- Feature Transformation: The extracted image features are reshaped into a 2D tensor to make them compatible with the attention mechanism. This enables the model to apply attention to different parts of the image during caption generation.

b) Decoder

- Attention Layer: The attention mechanism computes weights for each image feature to determine its relevance at each time step of caption generation. This enables the model to focus on different regions of the image while generating captions. The attention weights are used to form context vectors that inform the captioning process.
- LSTM Network: The core of the decoder is an LSTM network. The LSTM processes the attended image features (context vectors) along with the already generated word to predict the next word in the caption sequence.
- Embedding Layer: The embedding layer converts the input tokens (words) into dense vector representations that are compatible with the LSTM.
- Output Layer: A fully connected layer projects the LSTM's output to the vocabulary space, generating a probability distro over the possible words for the next suitable word for the caption in the sequence.

2) Model Implementation

The implementation of the LSTM with attention model consists of several key components:

a) Data Preparation

The dataset used is the **Flickr8k Dataset**, containing 8,000 images with multiple annotated captions for each image. Each caption describes the visual content of the corresponding image.

Data Processing

To facilitate efficient data handling, the textual captions were parsed, and a dictionary was created to map each image to its corresponding list of captions. This structured representation ensured streamlined retrieval and processing of the dataset for further analysis and model training.

The preprocessing steps included:

- Image Preprocessing: Images were resized to a uniform resolution of 224 x 224 pixels to maintain consistency across the dataset. Pixel values were normalized for optimal compatibility with the pre- trained encoder.
- Text Preprocessing: Captions were tokenized into individual words, with special tokens <start> and
- <end> added to mark the beginning and end of each caption
- Vocabulary Creation: A unique vocabulary of words was created from the captions, with infrequent words (occurring less than 5 times) replaced by an<unk> token to handle out-of-vocabulary terms effectively.
- Dataset Splitting: The dataset was split into:
    1. Training Set (70%): The majority of the data which was used to train the model.
    2. Validation Set (20%):20 percent of the data was used to monitor the model performanceand adjust hyperparameters.
    3. Test Set (10%): Reserved data was used for evaluating the final model on unseen data to gauge generalization.

b) Model Setup

- Feature Extraction: The images are passed through a pre-trained CNN (InceptionV3) to extract image features. These features are reshaped and stored for use during training. The CNN acts as an encoder, converting the image into a feature vector suitable for the attention mechanism.
- Attention Mechanism: The attention mechanism calculates context vectors by applying learned weights to the encoder's image features. These vectors are then used to guide the decoder at each time step of caption generation. The attention weights makes the lstm model to focus on particular areas of the image that are most suitable for current word.
- LSTM Decoder: The LSTM decoder processes the embedding vectors and the already generated word to predict the next suitable word for the caption. This sequential generation continues until the end token is generated.
- Caption Preprocessing: The captions are tokenized, and sequences are padded to ensure consistent input sizes. Start and end tokens are added to mark the beginning and end of each caption. This preprocessing ensures the model can effectively learn the structure of the captions.
- Teacher Forcing: During training, teacher forcing is used, where the true token from the ground truth of the caption uses the next input to the decoder instead of using the model's own prediction. This helps the model learn the correct sequence more quickly.

The TensorFlow implementation leverages custom classes and functions for building the encoder, decoder, and attention mechanism. The model utilizes batching and sequence padding for computational efficiency, ensuring that the training process is scalable.

3) Training and Evaluation

The model was trained on the f Flickr8k Dataset consisting of approximately 8,000 images. Precomputed image features are used to speed up the training process and ensure efficient model learning. During training, attention weights are visualized to interpret which regions of the image the model is focusing on when generating each word. This provides insight into how the attention mechanism is working and whether the model is attending to relevant parts of the image.

- Loss Function: A cross-entropy loss function is used to penalize incorrect word predictions at each time step. The loss is computed for all words in the sequence and summed across the batch. This makes the LSTM model to predict and generate the captions that are as close to the ground truth as possible.
- Optimizer: The Adams optimizer was employed to update the model's weights. Adam adjusts the learning rate dynamically to ensure smooth convergence, making it particularly effective for training deep neural networks with large datasets.
- Evaluation Metrics: The model's performance is evaluated using BLEU (Bilingual Evaluation Understudy) scores.

Fig 2 Predicted Caption: "man is sitting on bench with woman and man who is looking at the camera"

Fig 3 Predicted Caption: "man in red shirt is climbing rock"

IV. OBSERVATION AND RESULTS

A. Transformer-Based Model

The Transformer-Based Model implemented using PyTorch demonstrated superior performance, particularly in generating long and complex captions with greater contextual accuracy. This success can be attributed to the model's use of self attention mechanisms, which efficiently used to capture complex dependencies in the data. The model achieved a BLEU score of 0.463, highlighting its potential for real-world image captioning tasks. The **Figures 2 ,3, 4, and 5** showcase examples of the predicted from the model.

Fig 4 Predicted Caption: "two men are posing for picture"

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Fig 5 Predicted Caption: "a boy in a red shirt is standing on a rock overlooking a stream"

B. LSTM with Attention-Based Model

This research explores the application of an LSTM model with attention mechanisms for image captioning, serving as an educational exercise to better understand its architecture and assess its performance. Although the primary focus was on Transformer-based models, the LSTM implementation offered valuable insights into the captioning process. During the course of the study, significant challenges arose ,an Computational resource limitations hindered the effective loading and processing of the dataset. Despite these challenges, the LSTM- based model demonstrated competitive performance, particularly in generating concise captions in less complex contexts. **Figures 5-6** showcase the examples of the predicted captions by the LSTM model.

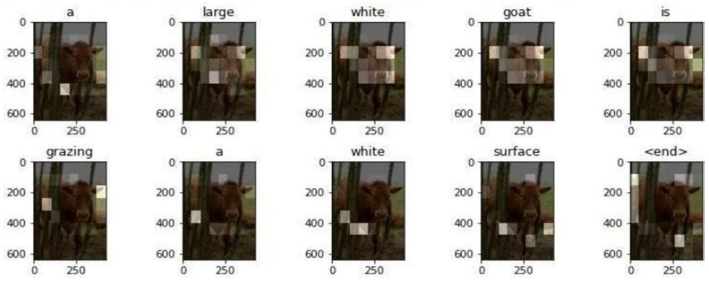

Fig 6 Predicted Caption: "a large white goat is grazing a white surface"

Fig 7 Predicted Caption: "a individual is holding a tennis racket looks to the water"

Table 1 Comparative Analysis of Models Performance

Metric	BLEU- 1	BLEU- 2	BLEU- 3	BLEU - 4	ROUGE- L	CIDEr
Transformer s	0.34	0.10	0.04	0.02	0.34	0.55
LSTM	0.3141	0.1409	0.0697	0.0344	0.1271	0.226

The **Table 1** describes the analysis of the Transformer and CNN- LSTM models on the Flickr8k dataset using standard evaluation metrics. The Transformer consistently outperforms the LSTM across all metrics. It achieves higher scores in BLEU-1 and BLEU-4, ROUGE-L, and notably in CIDEr (0.53 vs. 0.226), indicating its stronger ability to generate more accurate and descriptive captions. These metrics analysis highlights the effectiveness of the Transformer's self attention mechanism in capturing complex image-text relationships compared to the sequential processing of LSTM.

V. LIMITATIONS

While both the transformer-based and LSTM with attention- based models showed promising results in generating image captions, there were several limitations faced during the project that affected the scope and efficiency of the work.

A. Computational Constraints

One of the main limitations in this project was the lack of sufficient computational resources, particularly the unavailability of a high-performance GPU. Although the CLIP model (Contrastive Language-Image Pretraining) was initially considered for extracting image-text embeddings, it was not feasible to use due to the high GPU requirements. CLIP, known for its ability to generate high-quality image captions by aligning vision and language, could not be integrated into the project due to hardware limitations. This meant that it was unable to leverage the potential benefits of CLIP in improving the image captioning results, especially for more complex image datasets.

B. Data Preprocessing Challenges

Ensuring the high quality and consistency of the dataset proved to be more time-consuming than anticipated. Some images required significant cleaning, including the removal of corrupted or irrelevant files, and annotation corrections. The cleaning process was particularly challenging as it required manual intervention to ensure that the captions matched the corresponding images. Additionally, some captions were found to be ambiguous or incomplete, which required careful curation and preprocessing before they could be used for training.

C. Dataset Bias and Diversity

Balancing the diversity of the dataset to avoid bias in model predictions was another challenge encountered during the research work. The Flickr8k dataset, although rich and diverse, still had inherent biases in terms of the types of images and captions it contained. For example, certain categories of objects or actions were more prevalent than others, leading to potential biases in model predictions. Significant time and effort were spent addressing this imbalance, including efforts to augment the dataset and balance the representation of different categories of images to ensure that the models generalized well across various scenes and objects.

D. Model Limitations

The Flickr8k dataset, despite being a standard benchmark for image captioning tasks, posed its own set of challenges. Due to its size, our system struggled with even basic operations such as loading or downloading the images. The vast number of images and the large file sizes often led to system crashes, preventing efficient data handling and processing. This limitation significantly slowed down the model training and evaluation process, restricting the scope of experimentation.

VI. CONCLUSION AND FUTURE WORK

This research work investigates the development of two distinct image captioning models: one utilizing the transformer architecture and the other incorporating an LSTM with an attention mechanism. Both models successfully generated meaningful captions for images, highlighting the potential of deep learning in interpreting and describing visual content. The transformer-based model, leveraging its self-attention mechanism, offered an efficient method for sequence generation, while the LSTM model with attention effectively concentrated on relevant image features, enhancing the overall quality of the captions.

Looking forward, there is considerable potential to enhance the current models. One promising area for improvement is the integration of the Vision Transformer (ViT) model. Specifically designed for visual tasks, the ViT leverages a transformer-based architecture known for its robustness and effectiveness in handling complex image data. While our project concluded in the early stages of experimenting with the ViT, future research will aim to explore its capabilities further. The ViT has demonstrated potential in capturing detailed image features, which could significantly improve captioning accuracy, presenting an exciting direction for future advancements in image captioning.

Additionally, addressing the limitations of the current dataset and improving the model's generalization capabilities by expanding the dataset diversity and enhancing computational resources are crucial for advancing the field. Future work may also involve exploring advanced image captioning evaluation

In conclusion, this research work successfully demonstrated the use of transformer and LSTM-based models for image captioning, the exploration of more robust models, like ViT, coupled with enhanced computational resources, promises to significantly improve caption quality and generalization across diverse datasets.

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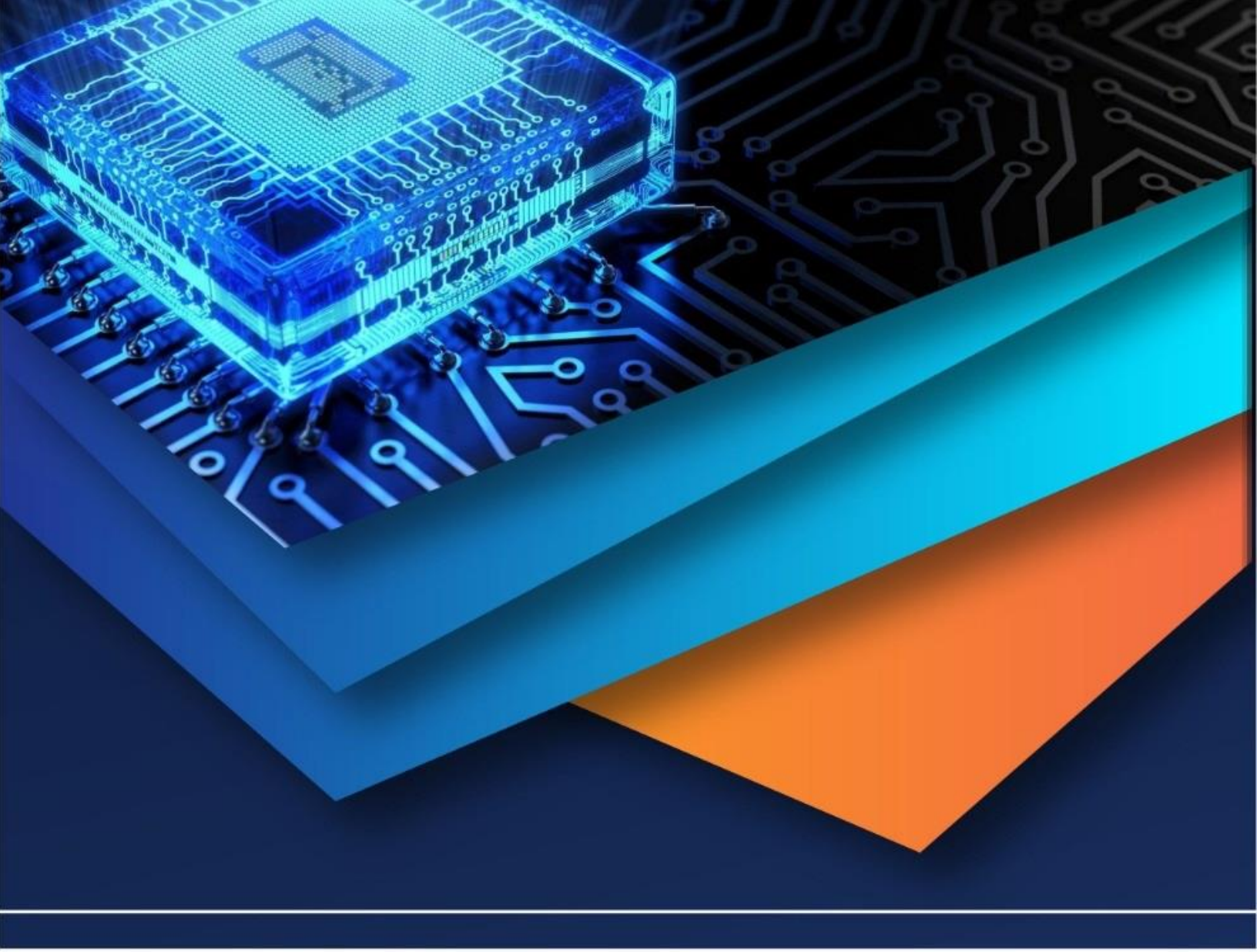

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